



Figure II-3-2 Implementation Schedule of the Project

Work Items	2016	2017 (1st)	2018 (2nd)	2019 (3rd)	2020 (4th)	2021(5th)	2022 (6th)	2023 (7th)	2024 (8th)	2025 (9th)	2026 (10th)	2027 (11th)
<b>4. Improvement of Small Scale Rural Infrastructure</b>												
<b>4-1 Tender</b>												
4-1-1 1st Batch					■							
4-1-2 2nd Batch						■						
4-1-3 3rd Batch							■					
<b>4-2 Construction</b>												
4-2-1 1st Batch					■							
4-2-2 2nd Batch						■						
4-2-3 3rd Batch							■					
<b>4-3 Operation and Maintenance</b>												
4-3-1 1st Batch						■	■	■	■	■	■	■
4-3-2 2nd Batch							■	■	■	■	■	■
4-3-3 3rd Batch								■	■	■	■	■
4-3-4 Orientation and Guidance on Operations and Maintenance of Infrastructure							■	■	■			
<b>5. Support for Livelihood Development</b>												
<b>5-1 Assistance in Identification/Selection of Priority Livelihood Options</b>												
5-1-1 Workshops for Identification/Selection of Livelihood Options (1st Batch and 2nd Batch)					■	■						
5-1-2 Survey on potential model sites for livelihood development (1st Batch and 2nd Batch)					■	■						
<b>5-2 Marketing Survey</b>												
5-2-1 Procurement of Contractor/s				■								
5-2-2 Marketing Survey				■								
<b>5-3 Development of Demonstration/Model Plots and Provision of Training Courses on Selected Livelihood Development Options</b>												
5-3-1 Training on Key Techniques for DAECs and Commune Extension Workers					■							
5-3-2 Developmet of Demonstration Plots						■	■					
5-3-3 Technical Training on Livelihood Development at the Demonstration Plots for Communities						■	■					
<b>5-4 Assistance in Management and Use of Payments made to the Village Working Groups</b>												
5-4-1 Guidance on the Mode of Payments from PFMBs/SUFMBs to the Village Working Groups				■	■	■	■					
5-4-2 Workshops/Discussions on the Use of Saving Funds of the Village Working Groups							■	■				
5-4-3 Training on Financial Management							■	■				
5-4-4 Assistance in the Preparation of Business Plans on Potential Income Generating Activities							■	■	■			
<b>5-5 Inter-district or province Cross Field Visit</b>							■	■	■	■		
<b>6. Forest Fire Prevention</b>												
<b>6-1 Provision of Equipment for Forest Fire Control</b>												
6-1 Provision of Equipment for Forest Fire Control		■			■							
<b>6-2 Forest Fire Control Training</b>												
6-2-1 Training of Forest Rangers					■							
6-2-2 Training of Village Leders and Village Working Groups on Forest Fire Control Planning					■							
6-2-3 Forest Fire Control Drills at the Communes					■			■				

Figure II-3-2 Implementation Schedule of the Project

Work Items	2016	2017 (1st)	2018 (2nd)	2019 (3rd)	2020 (4th)	2021(5th)	2022 (6th)	2023 (7th)	2024 (8th)	2025 (9th)	2026 (10th)	2027 (11th)
<b>7. Project Management</b>												
<b>7-1 Information Dissemination</b>												
7-1-1 Project Orientation (including M&E system)			■									
(1) Project Orientation to CPMUs/MARD			■									
(2) Project Orientation to PPMUs/DARDs			■									
(3) Project Orientation to DPCs/PFMBs/SUFMBs			■									
(4) Project Orientation to CPCs and Village Working Groups			■									
7-1-2 Annual Planning Workshop			■									
(1) At the Central Level (with CPMU)			■									
(2) At the Provincial Level (with PPMUs)			■									
7-1-3 Orientation and Guidance on Annual Work Plan and Guidelines			■									
(1) To Forest Owners (PFMBs/SUFMBs)			■									
(2) To DPCs, CPCs, and Village Working Groups			■									
7-1-4 Orientation and Guidance on Benefit Sharing Mechanism								■				
(1) Orientation to CPMUs/MARD								■				
(2) Orientation to PPMUs/DARDs								■				
(3) Orientation to DPCs/PFMBs/SUFMBs								■				
(4) Orientation to CPCs and Village Working Groups								■				
<b>7-2 Production and Publication of Project Documents</b>												
7-2-1 Project Brief (Leaflets)			■									
7-2-2 Project Newsletter			■		■	■	■	■	■	■	■	■
7-2-3 Awareness Raising Materials					■	■	■	■	■	■	■	■
<b>7-3 Study Tours</b>												
7-3-1 Study Tours to JICA 2 Sites for PPMUs and Forest Owners (PFMBs/SUFMBs)			■			■						
7-3-2 Study Tours to SNRMP Sites for Forest Owners (PFMBs/SUFMBs) and Village Working Groups				■	■	■						
7-3-3 Overseas Study Tours for CPMU/MBFPs and PPMUs/DARDs					■		■					
<b>7-4 Review Meetings</b>												
7-4-1 Bi-annual Review Meetings at the Central Level		■	■	■	■	■	■	■	■	■	■	■
7-4-2 Bi-annual Review Meetings at the Provincial Level		■	■	■	■	■	■	■	■	■	■	■
<b>7-5 Technical Guidance to PPMBs and/or PFMBs/SUFMBs and ContractorS</b>												
7-5-1 Guidance on PLUP (for PPMBs, PFMBs/SUFMBs, and Contractors)			■									
7-5-2 Guidance on Demarcation with GPS and Use of GIS (for PPMBs/SUFMBs)				■	■	■						
<b>7-5 Project Monitoring and Evaluation</b>												
7-5-1 Establishment of Monitoring, Supervision, and Evaluation System for the Project			■									
7-5-2 Regular Supervision and Monitoring of the Project												
7-5-3 Periodic Monitoring, Assessment, and Evaluation												
(1) Initial Evaluation		■										
(2) Mid-term Evaluation						■						
(3) Terminal Evaluation												■
<b>7-6 Forest Monitoring</b>												
7-6-1 Guidance on Provincial Forest Monitoring System to PPMUs, PFMBs/SUFMBs			■									
7-6-2 Procurement of Equipment for Provincial Forest Monitoring System			■									
7-6-3 Annual Monitoring of Forest Reseources												
<b>8. Consulting Services</b>												

## ***Annexes***

## ***Annex A***

**Annex A     Result of Socio-Economic Survey and Stakeholder  
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**Annex A: Result of Socio-Economic Survey and Stakeholder  
Consultation Meetings**

**A.1. Result of Socio-Economic Survey**

**Japan International Cooperation Agency (JICA)**  
Sustainable Forest Management in Northwest of Vietnam Project (JICA3)

**Summary report on:**

**THE SOCIO-ECONOMIC SURVEY**

**IN FOUR TARGET PROVINCES**

**(HOA BINH, SON LA, DIEN BIEN AND LAI CHAU**

**PROVINCES”**

*July, 2016*

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## I. INTRODUCTION

### 1.1 Objectives of the survey

The Japan International Cooperation Agency (hereinafter referred to as JICA) and the Government of Vietnam agreed on the conduct of captioned preparatory survey targeting four (4) provinces, namely Lai Chau, Dien Bien, Son La and Hoa Binh between March and August 2016 to prepare an implementation plan for a new loan project on sustainable forest development and management in the Northwestern sub-region in Vietnam.

In order to select potential project communes/areas properly and formulate a down-to-earth project plan, a captioned survey was carried out to grasp the characteristics of current socio-economic conditions in 12 selected communes of four provinces (three communes in each province) for clarifying the rural/livelihood development in need for minimizing human pressure on the forest resources as well as identifying the key drivers of deforestation. The survey specifically aimed to find out:

- 1) Socio economic conditions in 12 selected communes (including ethnicity, demography, social status, well-being, land use, economic condition, characterization of the poor/marginalized/economically vulnerable groups in the target communes etc.);
- 2) Key stakeholders influencing land and forest use and conduct a basic stakeholder analysis;
- 3) Key drivers of deforestation and forest degradation as well as the underlying drivers of these trends (human pressure on forest resources; identify the human activities which have caused deforestation and forest degradation; current forest management and development activities);
- 4) Gender differences in the use of natural resources and other livelihood activities;
- 5) Any potential social issues which may result from strengthened forest conservation, protection and development activities and the necessary actions to minimize adverse effects on socio economic conditions of the poor or economically vulnerable people that are heavily dependent on forest resources; and,
- 6) Development needs among male and female groups in the target communes (including necessary intervention for the better forest management).

### 1.2 Survey target communes and villages

The survey was carried out in 12 different communes of 12 districts in Hoa Binh, Son La, Dien Bien and Lai Chau provinces. Prior to the survey, JICA consultants have discussed with provincial leaders in the each province to introduce about the need of the survey and come to an agreement on 3 communes in three different districts. There are including Ngoc Lau, Tien Phong and Pa Co communes of Hoa Binh province; Muong Giang, Chieng Xuan and Ban Lam communes of Son La province; Muong Nha, Ta Ma and Muong Tung communes of Dien Bien province; and Nam So, Pa Mu and Phang So Lin communes of Lai Chau province.

The survey team has visited the 12 proposed communes to discuss with commune leaders about the proposed project, as well as to explain clearly nature, objectives, target subjects and timeframe of the survey. The teams have also discussed and selected one village for an in-depth survey applying PRA in each commune. Selection of the villages was based on the following conditions:

- Have barren hill land area at medium scale;
- Accessible for car even in heavy rainy season;
- Forest protection has been at medium quality;
- People living in the village must represent for major ethnic in the commune;
- Villagers must be supportive and willing to take part in development project;
- Village leaders shall be supportive and have solid management capacity;
- Have both protection and production forest at medium scale.

These conditions were flexible depending on particular situation in each commune, and commune leaders have full authority to suggest the village they believe the best-meet with the proposed conditions. As a result, the following communes and villages were selected as the target for the survey.

**Table 1: Surveyed communes and villages**

No	District	Commune	Village	Forest Management Board
<b>【Dien Bien Province】</b>				
1	Dien Bien District	Mường Nhà commune	Xom village	Dien Bien PFMB
2	Tuan Giao District	Ta Ma commune	Na Dang village	Tuan Giao PFMB
3	Muong Cha District	Mường Tùng commune	Moi village	Muong Cha PFMB
<b>【Lai Chau Province】</b>				
4	Tan Uyen District	Nậm Sô commune	Nam Danh village	Tan Uyen PFMB
5	Sin Ho District	Phan Xu Lin commune	To Lo Phin village	Nam Ma PFMB
6	Than Uyen District	Pha Mu commune	Huoi Bac village	Than Uyen PFMB
<b>【Son La Province】</b>				
7	Thuan Chau district	Ban Lam comune	Bam Lam A village	Thuan Chau PFMB
8	Quynh Nhai district	Muong Giang commune	Pa Uon village	Quynh Nhai PFMB
9	Van Ho district	Chieng Xuan commune	Dup Ken village	Xuan Nha SUFMB
<b>【Hoa Binh Province】</b>				
10	Lac Son district	Ngoc Lau commune	Xom Den village	Nac Son-Ngoc Son SUFMB
11	Mai Chau district	Pa Co commune	Sa Ling village	Hang Kia-PC SUFMB
12	Da Bac district	Tien Phong commune	Xom dien village	DRW-PFMB

### 1.3 Survey methodology

The survey was qualitative oriented combining with secondary data collection at commune and village levels. The key approach was PRA meetings with both local leaders and local people. The team paid two visits in each commune. In the first visit, the team briefly introduced local leaders with basic information about the proposed project and the survey as well as explained clearly nature, objectives, target subjects and timeframe of the survey. Basic socio-economic information and forest condition of the commune was collected. The team asked commune leaders for their agreement about the second visit, which would be three days later. In the first half day of the second visit, the survey team had a meeting with all villager chairpersons in the commune and key representatives from CPC. A checklist of requested information was prepared and passed to every village leader in the first visit so as people would have time to provide all requested data and information in the checklist. In this meeting, before collecting the checklists, the survey team also briefly introduced participants with basic information about the proposed project and the survey as well as explained clearly nature, objectives, target subjects and timeframe of the survey. It was followed by quick interviews and discussions about socio-economic situations of each village. This meeting lasted for about 2 hours and a half excluding 30 minutes for coffee break.

The team spent one day and a half in the selected village that had been proposed by CPC in

the first meeting. There were 4 meetings organized in the village that described as followed:

- The first meeting was with all village leaders, aiming to gather comprehensive socio-economic and background of the village including but not limit to population, ethnicity, poverty rate, land use, income source, forest management, etc.
- The second meeting was with 40-50 people in the village representing for gender, economic status, age and occupational background. In this meeting, the team and the people worked together to map out village landscape including land use, forest management. People were also asked to explain about the changes related to their landscape and their forest over the last 5 years. Participants were also asked to describe the difference among 4 different economic background household including the better off, the medium, the near poor and the poor. This exercise aimed to collect local definition about each certain economic situation and its meaning in local context.
- The third meeting was with 20-25 women who were asked to describe and to explain their forest resource ranking. It was followed with asking people about forest degradation driver raking. This exercise's last activity was asking people to rank livelihood activities they believed would have positive impacts on their lives, and would reduce their dependency on forest.
- The fourth meeting was with 20-25 men, who were asked to describe and to explain their forest resource ranking. It was followed with asking people about forest degradation driver raking. This exercise's last activity was asking people to rank livelihood activities they believed would have positive impacts on their lives, and would reduce their dependency on forest.

#### **1.4 Organization of the survey team**

The survey team consisted of 9 people, including one team leader, one vice team leader, three key facilitators and four assistants. The survey team consisted of team leader of the survey team, one key facilitator and one assistant. The team leader has twenty two years working with socio-economic survey, community and livelihood development plan, and forest policy development for a large number of projects supported by international donors in Vietnam in general and the north upland region in particularly. The vice facilitator has 18 years of carrying both qualitatively and quantitatively socio-economic surveys in Vietnam with solid understanding about ethnic minority people. He has also taken part in JICA previous projects. Other three key facilitators have had ten years working with qualitatively and quantitatively socio-economic surveys in different projects. They also have good knowledge on forest management situation in the north upland region of Vietnam. Four facilitators are high educated people and good working experiences with qualitative survey and with ethnic minority people in Lai Chau, Dien Bien, Son La and Hoa Binh province. List of members of survey team and their field sites are given in the table below.

Sub-team in charge of survey works in each province consisted of the team leader, one key facilitator and one assistant. Team leader was responsible for designing the survey method, guideline for PRA, tables for collecting secondary data, questionnaires for key informants interview, working schedule, advance contact with the communes and villages and report revision. The key facilitator was responsible for leading the survey including all PRA discussions, on- site activities management and report writing. Meanwhile, the assistant worked with logistic supports, secondary data collection and note-taking during PRA meetings.

**Table 2: List of members of survey team and their survey site**

No	Name of consultant	Position	Sub-team arrangement	Survey site
1	Le Quang Trung	Team leader		Lai Chau, Dien Bien, Son La and Hoa Binh
2	Nguyen Cong Thao	Vice team leader and key facilitator	Sub-team 1	Hoa Binh and Son La
3	Duong Minh Lam	Key facilitator	Sub-team 2	Dien Bien
4	Ha Van Tiep	Key facilitator	Sub-team 3	Son La
5	Nguyen Trung Kien	Key facilitator	Sub-team 4	Lai Chau
6	Do Thi Thanh Duong	Assistant	Sub-team 2	Dien Bien
7	Dang Quang Hung	Assistant	Sub-team 4	Lai Chau
8	Ngo Si Minh	Assistant	Sub-team 1	Hoa Binh
9	Nguyen Hong Quang	Assistant	Sub-team 3	Son La

## 1.5 Overall schedule and program

The survey was carried out in during 4<sup>th</sup> to 27<sup>th</sup> of May in 2016 with three allocated days for each commune including transportation time.

**Table 3: Working schedule in Hoa Binh, Dien Bien, Son La and Lai Chau provinces**

Date	Place	Activities	Participants
<b>Sub-team 1 (May 8<sup>th</sup>-18<sup>th</sup>, 2016) in Hoa Binh province</b>			
May 8 <sup>th</sup>		Travel to Hoa Binh	
May 9 <sup>th</sup>	Ngoc Lau commune	Advanced meeting	Commune leaders
May 10 <sup>th</sup>	Pa Co commune	Advanced meeting	Commune leaders
May 11 <sup>th</sup>	Tien Phong commune	Advanced meeting	Commune leaders
May 12 <sup>th</sup>	Ngoc Lau commune	Socio-economic survey of each village	Commune leaders and village chairpersons
	Den village	Focus group discussion	Den village leaders
May 13 <sup>th</sup>	Den village	PRA	Villagers
May 14 <sup>th</sup>	Pa Co commune	Socio-economic survey of each village	Commune leaders and village chairpersons
	Xa Linh village	Focus group discussion	Village leaders
May 15 <sup>th</sup>	Xa Linh village	PRA	Villagers
May 16 <sup>th</sup>	Tien Phong commune	Socio-economic survey of each village	Commune leaders and village chairpersons
	Dieng village	Focus group discussion	Village leaders
May 17 <sup>th</sup>	Dieng village	PRA	Villagers
<b>Sub-team 2 (May 4<sup>th</sup>-14<sup>th</sup>, 2016) in Dien Bien province</b>			
May 3 <sup>rd</sup>		Travel to Dien Bien	
May 4 <sup>th</sup>	Muong Nha commune	Advanced meeting	Key commune officials
	Pu Lau village	Advanced meeting	Village leaders
May 5 <sup>th</sup>	Ta Ma commune	Advanced meeting	Key commune officials
	Na Dang village	Advanced meeting	Village leaders
May 6 <sup>th</sup>	Muong Tung commune	Advanced meeting	Key commune officials
	Moi village	Advanced meeting	Village leaders
May 9 <sup>th</sup>	Muong Nha commune	Focus group discussion	Key informants
	Xom village	Focus group discussion	Representatives of village
May 10 <sup>th</sup>	Xom village	PRA	Villagers
May 11 <sup>th</sup>	Ta Ma commune	Focus group discussion	Key informants
	Na Dang village	Focus group discussion	Representatives of the village
May 12 <sup>th</sup>	Na Dang village	PRA	Villagers
May 13 <sup>th</sup>	Muong Tung commune	Focus group discussion	Key informants
May 14 <sup>th</sup>	Moi village	PRA	Villagers
<b>Sub-team 3 (May 4<sup>th</sup>-15<sup>th</sup>, 2016) in Son La province</b>			
May 3 <sup>rd</sup>		Travel to Son La	
May 4 <sup>th</sup>	Ban Lam commune	Advanced meeting	Commune leaders
	Tang village	Focus group discussion	Village leaders and key farmers
May 5 <sup>th</sup>	Muong Giang commune	Advanced meeting	Commune leaders
	Pa Uon village	Focus group discussion	Village leaders
May 6 <sup>th</sup>	Chieng Xuan commune	Advanced meeting	Commune leaders, key officers
	Dup Ken village	Focus group discussion	Village leaders
May 9 <sup>th</sup>	Muong Giang commune	Group discussion meeting	Key officials and leaders of

Date	Place	Activities	Participants
			villages
	Pa Uon village	Group discussion meeting	Village leaders and key farmers
May 10 <sup>th</sup>	Pa Uon village	PRA	Villagers
May 11 <sup>th</sup>	Chieng Xuan commune	Focus group discussion	Key commune officials and all village leaders
May 12 <sup>th</sup>	Dup Ken village	PRA	Villagers
May 13 <sup>th</sup>	Ban Lam commune	Advanced meeting	Key commune officials
	Lam A village	Preparation meeting	Village leaders
May 14 <sup>th</sup>	Ban Lam commune	Group discussion meeting	Key commune officials and all leaders of villages
	Lam A village	Focus group discussion	Key Villagers
May 15 <sup>th</sup>	Lam A village	PRA	Villagers
<b>Sub-Team 4 (May 12<sup>th</sup> -27<sup>th</sup>, 2016) in Lai Chau province</b>			
May 11 <sup>th</sup>		Travel to Lai Chau	
May 12 <sup>th</sup>	Nam So commune	Advanced meeting	Communal officials and 21 village heads
	Nam Danh village	Focus group discussion	Village representative
May 13 <sup>th</sup>	Nam Danh village	PRA	Villagers
May 14 <sup>th</sup>	Hotel	Data entry	Team members
May 15 <sup>th</sup>	Hotel	Data entry	Team members
May 16 <sup>th</sup>	Pha Mu commune	Advanced meeting	Communal officials and 5 village heads
	Huoi Bac village	Preparation meeting	Village representative
May 17 <sup>th</sup>	Huoi Bac village	PRA	Villagers
May 18 <sup>th</sup>	Hotel	Data entry	Team members
May 19 <sup>th</sup>	Hotel	Data entry	Team members
May 20 <sup>th</sup>	Lo To Phin village	Focus group discussion	Village representative
	Lo To Phin village	PRA	Villagers
May 21 <sup>st</sup>	Lo To Phin village	PRA	Villagers
May 27 <sup>th</sup>	Phang So Lin commune	Focus group discussion	Communal officials and village leaders

## II. KEY FINDINGS

### 2.1 Overview of the surveyed communes

The selected communes for socio-economic survey have natural characteristics and locations which are represented for the whole project target districts in for target provinces. Most of the surveyed commune are located remote area and extremely difficult (under the Program 135<sup>1</sup> of the Vietnam Government), except Muong Giang commune, Quynh Nhai District, Son La Province (Preparation survey for JICA3 project, 2016).

The geographical and natural condition is quite similar among 12 surveyed communes. It can be verified by some major indicators such as commune's location, road access condition, and distance to near market. Location of those communes is in the middle level with the distance to district center is on average over 30 km, except Muong Giang commune locates very near district center (3km). Except Pa Co commune (Hoa Binh) and Muong Giang commune (Son La), the rest of surveyed communes have their own road system ensuring traveling inner and outside commune by motorbike. However the quality of road is much different among those communes, the percentage of the land-pathway is dominant and hardly access in the rainy condition. For the distance to the near market, although there are only two communes in Hoa Binh province having their own market in commune, the distance from the village to the near

<sup>1</sup>135 program is supporting for the infrastructure investment and the production promotion of communes with special difficulties, communes in border areas, communes in safety zones and mountainous villages with special difficulties

market is on average 9 km; of which villages in Hoa Binh is nearest (average 4 km), then Lai Chau (6 km), Son La (8 km), and village in Dien Bien is farthest (15 km).

The natural land area of the surveyed communes are quite high and on average per commune about 8,836 ha (Pa Co commune is lowest area with 1,928 ha and Muong Tung is highest with 17,123 ha), in which the land area for forestry development proportion pretty, the results of survey showed that 11 communes in Hoa Binh, Son La, Dien Bien and Lai Chau provinces have forestry land area more than 40%. However, one representative commune of Lai Chau province assessed the percentage of forest land is low, due to the misinterpretation of the definition of the forest land and forestry land (the forestry land may including unused land because, that land area is planned for forest development purpose). Besides the area of forestry land, there are many surveyed communes who have land area for shifting cultivation such as upland rice, maize and cassava practices (see annex below). On the other hand, the gaps of cultivated land area between better off and poor household are still high (see annex below).

The average population of the surveyed communes are 3,882 people per commune (Pha Mu commune is lowest with 935 people and Muong Giang commune is highest with 10,398 people). The average population density of the surveyed commune is 60 people/km<sup>2</sup> (Pha Mu commune is lowest with only 8 people/km<sup>2</sup> and Muong Giang is highest with 148 people/km<sup>2</sup>).

The surveyed communes have representatives of the popular ethnic groups in the Northwest region as the Thai, Hmong, Dzao, Muong, and Khang etc. Each ethnic group has its own culture, different farming practices, and livelihoods based on forest land and forest resources. For instance, the Hmong and Dzao people have the practice of shifting cultivation, while the Thai, Muong have the combination of wet paddy and shifting cultivation. The assessment results in 12 selected communes showed that the majority of the populations are ethnic minority groups, many hamlets have hundred percent of H'mong, Muong and Thai. For more specific, surveyed communes in Hoa Binh and Lai Chau province have 5 ethnic groups that dominated by Muong and H'mong ethnic respectively, meanwhile Son La and Dien Bien province have 7 ethnic groups dominated by Thai ethnic people. The survey result shows that the average number of households per commune is 900 households, the highest in Son La province with the average 1,378 households and the lowest in Hoa Binh province with the average 592 households per commune. The average population per commune entirely is 4,000 persons and it reflects the same trend with number of household, the highest in Son La (5,758 persons per commune) and the lowest in Hoa Binh (2,426 persons per commune).

**Table 4: Ethnic Composition of the Surveyed communes**

Province	District	Commune	Ethnic minorities (%)											Kinship (%)
			Thai	H'mong	Muong	Da o	Kh u Mu	Khang	L u	La H a	Ta y	La o	Other s	
Dien Bien	Muong Cha	Muong Tung	44	55										1
	Tuan Giao	Ta Ma		76				24						0
	Dien Bien	Muong Nha	37	43			2				1	15		1
Lai Chau	Sin Ho	Phang So Lin		17		82							0	1
	Tan Uyen	Nam So	70	24		4	1							1
	Than Uyen	Pha Mu	48	41										11
Son La	Quynh Nhai	Muong Giang	70	4				6		4				17

Province	District	Commune	Ethnic minorities (%)											Kin h (%)
			Tha i	H'mon g	Muon g	Da o	Kh u Mu	Khan g	L u	La H a	Ta y	La o	Other s	
	Van Ho	Chieng Xuan	15	62	17							0		6
	Thuan Chau	Ban Lam	87	13										0
Hoa Binh	Lac Son	Ngoc Lau			99									1
	Mai Chau	Pa Co		99										1
	Da Bac	Tien Phong			97									3

The feature of infrastructure in these surveyed communes is characterized by good quantity but poor quality. It can be considered through several indicators like electricity, water use, school, and medical station. According to the survey, the school system (from kindergarten to secondary school), medical system and electric grid have been setup in all communes. However, schooling system and medical system have been constructed for a long time, old and downgraded building. Percentage of village accessed the national electric grid is gradual reduce from downstream (Hoa Binh) to the upstream (Lai Chau). There are only two communes (Son La province) using clean water, the others are using stream water without sanitation treatment.

Annual income per capita in the surveyed communes and villages are relatively low compared to the average level of the target districts (on average 18 million VND per capital per annual) (Preparation survey for JICA3 project, 2016). The average was only 9 million VND per capita per annual, corresponding to 750 thousand VND per capita per month. The commune has lowest income per capita with 6 million/person/year and the communes with average income level the highest per capita is 13.5 million/person/year (see more details in annex 2).

High poverty households rate (most of selected communes have more than 50% households under poverty line<sup>2</sup> (there are only 4 communes less than 50% poor households including Muong Nha, Pha Mu, Muong Giang and Pa Co communes). The average common rate of poor and near poor household is 44%. There is a lowest rate of poverty in three communes in Son La province (average rate is 26%), and the highest rate in those communes of Dien Bien province (average rate at 66%). The poverty issues are key constraints for socio-economic development in these communes and villages.

## 2.2 Issues in livelihood development

Livelihood activities in these communes are diversified from agriculture to non-farm activities. However, in terms of income generation, agricultural activities included food crop cultivation and animal raisings are remain important in most of household. Main income source comes from agriculture sector. The major products are upland rice, maize and cassava, and these products could fulfill their food security and this motivates people to enlarge shifting cultivation area which affect forest degradation. Crops vary by nature and topography condition, but the major crops are paddy rice, upland rice, maize and cassava. There are some commercial crops as maize, cassava, peanut, soybean, sugar cane which could be for sale to

<sup>2</sup> Based on Decision No. 59/QĐ-TTg dated 19 November, 2015 by the Prime Minister of Vietnam Government on Multidimensional Poverty Line for National Target Program of poverty reduction in the period 2016-2020.

get cash income. Livestock is also widely praised by most of the households. The second earning sources which are closely related to forest are firewood and NTFPs collection, and the payment for forest protection works under PFES and other government programs. Meanwhile, those activities such as aquaculture, non-farm (handicraft, catch fish etc.), and business are not the major livelihood activities, which are taken place in only several communes. According to the survey, there are 7 communes having aquaculture activities but with very small scales, 2 communes involving with non-farm activities, and 2 communes having local business activities.

For cultivation activities, rice and maize cultivations are the important livelihood at all surveyed communes. Issues in livelihood development in cultivation are mainly related to such crops. The survey results highlight two main issues: (i) New crop varieties have been introduced and replaced indigenous crops, and fertilizers and pesticides have been used more often; crop yield are reported to increase about 10-20 percent comparing with 5 years ago thanks to new farming varieties, fertilizer and pesticide; (ii) the common feature of the agricultural cultivation system of the communes which are greatly depending on the weather condition and causing uncertain productivity and unstable output.

For the livestock raising activities, the top three major livestock are buffalo, pig and chicken. Two issues in livestock development rising over time have been investigated through the survey; (i) epidemics such as bird flu and blue ear disease occurring almost every year, and (ii) lack of grass to feed cows and buffaloes in during the winter season.

During the production process, local farmer are facing and bearing with the informal credit. It is reported that local farmer often have to make debt purchase for fertilizer for their crop. When harvest comes, debt owners will come and buy their product after deducting the debt plus the interest rate which is often several times higher than that of State Bank.

Related to the market aspect, the survey is reported that all crop input providers and crop output purchasers are outsiders. People have to go to regional market to buy fertilizers and pesticides, while they often sell their farming product to outside Kinh merchants in the field, right after harvest.

Most of the labor force is based on agriculture sector which may also create high pressure on land use and forest resources. Transferring labor forces to other sectors are not easy because of knowledge abilities and cultures. The local people, even youth, prefer to stay at their homeland. On the other hand, in accordance with the population growth, the people need more land for self-sufficiency, which are also main course of deforestation (Preparation survey for JICA3 project, 2016).

Finally, the survey addresses the landless household situation. Although no official data on this situation, most of the landless households are young couples who just married and do not have sufficient farming land.

### **2.3 Key stakeholders influencing land and forest use**

Most of agricultural land and production forest area have been allocated to households since the Land Law 1993. However, most of the protection forest and special use forests are primarily assigned to the forest management boards, and then, the communities and households are allocated or contracted for protection works through the forest management boards. Commune authorities are assigned to manage the area of unused land.

Laws and policies in Vietnam emphasise on implementation of forests and forest land allocation in order to create participation of local people and to promote good forest



management. Activities on forest and forest land allocation require a certain budget. However, as the budget is always limited land allocation activities go slowly and not yet completed. On the other hand, land allocation activities require a good co-operation and great efforts among concerning organizations, such as DONREs, forest ranger stations, DARD, DONRE and DARD. The issues of inconsistent of data on forest land has exposed among those stakeholders during the survey. It could be supposed that the reason is come from poor co-operation between related organizations.

The role of commune officers, especially CPC's chairman and the communal police are extremely important to lead the success of any development project. Those persons control the human resources, essential information and have power to influence village's leaders and people.

Through the observation on the well-being analysis conducted in the PRA activity, key stakeholders influencing land and forest use were identified as the people outside commune, landless household within and without commune, and poor household in most of the cases.

It could be observed that formation of forest protection team took a great role for forest management activities. The team is usually composed of village leaders, police, and youth Union's chairman, and seems to be respected by villagers.

The landless households and poor households are affecting land and forest use by doing livelihood activities such as; i) illegal logging (Den village, Ngoc Lau commune), ii) illegal farming (Lam A village, Ban Lam commune), iii) slash and burn for expanding the cultivation area (Nam Danh village, Nam So commune). Illegal logging by the people outside commune/province, and illegal livestock grazing were also reported as the causes of forest degradation.

## **2.4 Key drivers of deforestation and forest degradation**

Local people have reported that there are around ten drivers for deforestation and forest degradation. Natural hazard (snow phenomenon in last winter reason) is also quite serious, but the rest drivers are caused by human actions. They are; illegal logging, enlargement of food crops cultivation area, hunting, free grazing cattle, heating demand in winter, building wood housing, slash and burn, collecting forest products and rotational agriculture. High dependence on timber for building houses and fetching firewood for home consumption are also key drivers of deforestation in the surveyed communes.

On the other hands, poor activities of forest rangers, poor implementation of laws and policies and firewood collection were also reported. The reasons of poor activities of forest rangers were reported as; poor road conditions, lack of equipments, poor co-operation among rangers and CPC and laziness of rangers. Poor implementation of laws and policies are resulted in poor investment given to policies implementation, such as policies on forests and forest land allocation, trees plantation.

People's awareness of benefit derived from forest protection and the importance of sustainable use of forest have not been significantly improved in recent years. People are not quite able to distinguish production forest, protection forest and special used forest. No matter who is managing forest, many local villagers still think that they have rights to collect timber for housing; firewood collecting for cooking or heating; or even farming when they have insufficient land.

The main stakeholders, as mentioned above, are mainly poor households, landless households, and high market demand of some commercial crops as corn, cassava. The major drivers and

underlying causes of deforestation and forest degradation are presented in the annex 7-10.

## **2.5 Current forest management and development activities**

After starting the forest management by FMB, with allocating the forest land use certificate to individual households, forest protection performance has become relatively better. Meanwhile, PFES and/or FPDP have started to be paid to forest owners or forest protection team (11 commune in total 12 surveyed communes have received PFES and FPDP since the last several years); many villages in the survey area developed their own village regulation on forest protection and management; received livelihood support as well as introduction of alternative energy tools from government programs and projects. The forest coverage has been recovered during the recently years.

However, although forest coverage has been increasing over time, forest quality and forest biodiversity have decreased significantly because of rapid decline of big trees and wild animals.

## **2.6 Gender differences in the use of natural resource and other livelihood activities**

Regarding to social/cultural issues related to gender in the use of natural resource and livelihood activities, each ethnic group has their own feature. However, the common feature is that women in general are involved more in livelihood activities though there is no significant difference between man and women in terms of the use of natural resource such as NTFPs or fuel wood collection.

Observation in survey sites of Son La, Hoa Binh, and Dien Bien province show that women do more housework than man such as cooking, feeding livestock and children care. In all three villages of Lai Chau province with Thai, Muong and Dzao, especially in the last two ethnic groups, women seem to be more passive, leaving the right of making decisions to men. The females do play an important role in exploiting forest products everyday, being in charge of collecting vegetables, firewood, and medical herbs. One evident is that logging is associated with men mainly because it requires more physical strength.

Therefore, an investment in forest development should pay more attention to empower females, and should enhance the male acknowledge of women's status so as to help women improving their family status as well as their participation in the use of natural resource and livelihood activities.

## **2.7 Recommendation on livelihood options**

Road accessibility shall be primary option which may enhance forest protection at village level. This is because better road will give local villagers more opportunities to sell their farming products at higher price, while buying necessary goods at cheaper price. Together with road improvement, opening market in the commune could be also effective option. Finally, introduction of commercial crops and fruit tree plantation by contracting with potential markets is a potential opportunity to get higher income than conventional mono crop farming. These interventions are believed to have positive impacts on local people's livelihood development.

The following table shows the recommended livelihood development options proposed by the

survey team's point of view. It was prepared based on practical condition in the survey sites with forest sustainability orientation, although the condition and needs differ from site to site.

**Table 5: Proposed options based on practical condition in target communes**

No	Proposed options	Meaning to forest protection	Approach method	Notes
1	Cattle raising model	Provide people another significant income source so as reduce pressure of farming land shortage and deforestation	Common interest groups in each village, establish a value chain for specific cattle. Household size, available labor and maize land of registered households should be take into consideration	12/12 villages surveyed
2	Cook stove provision	This stove can use corn-cob to burn, so it saves fuel wood, and reduce extraction fuel wood from natural forest. So saving time and better for environment	Household based on their actual need	6/12 villages surveyed <sup>3</sup>
3	Agroforestry systems	Agroforestry system can provide a diversity of products so that can help farmers to reduce the risk of agricultural production. In addition, it can maintain soil fertility and counter soil erosion, improve poverty reduction so as reduce dependence on forest resources	Establishing a value chain analysis to identify potential products. Incorporating indigenous knowledge and modern technologies on design agroforestry model	6/12 villages surveyed <sup>4</sup>
4	Fruit tree plantation	New fruit varieties can be planted in home garden and bare land. It will create more income for farmers. In some cases, fruit trees can provide fuel wood from branch pruning so that help to reduce fuel wood extraction from natural forest	Introduction the model of fruit plantation with new fruit varieties by organizing study tour, and household approach based on their land size	5/12 villages surveyed
5	Fodder grass plantation and cattle raising	Grass can be planted as a green contour in the field so it can prevent soil erosion and provide significant fodder for cattle especially in winter season so as people do not have to leave their cattle grazing freely in forest	Household based on their actual need and their land size for fodder plantation	4/12 villages surveyed
6	Fish cage raising	Getting more income so as reducing pressure of farming land shortage and deforestation, accordingly	Common interest groups in each village; establish a value chain for fish. Household size and available labor of registered households should be take into consideration	2/12 villages surveyed (Lai Chau has no information) these village as they are adjacent to Da river with large water surface area
7	New crop varieties	Increase crop productivity and income, reduce land use areas and dependence on extraction products from forest	Land, climate and market analysis conducted for each crop before large scale expand	4/12 villages <sup>5</sup> surveyed (Lai Chau has no information)
8	Forest plantation	Increase forest cover and provide wood for house construction, making of home furniture, and reduce dependence on extraction woods from natural forest	Can be approached as community forest plantation or household forest plantation	3/12 villages surveyed in Son La province (Lai Chau has no information)

<sup>3</sup> Noted that 6 villages proposed this activity here is picked-up from the on the recommendation section of the Hoa Binh and Son La report, meanwhile the PRA results in report just shows only two village proposed this activity.

<sup>4</sup>Noted that 6 villages proposed this activity here is picked-up from the on the recommendation section of the Hoa Binh and Son La report, meanwhile there is no village proposed this activity in the PRA result of the report.

<sup>5</sup>Noted that 4 villages proposed this activity here is picked-up from the on the recommendation section of the Son La report, meanwhile there is only a village in Hoa Binh proposed this activity in the PRA result of the report

No	Proposed options	Meaning to forest protection	Approach method	Notes
9	Crop output marketing and networking <sup>6</sup>	Increase people income via stable and reasonable market price for their products; improve poverty reduction so as reduce dependence on forest resources	Establishing a value chain analysis to identify/form potential and sustainable stakeholders/cooperation mechanism to ensure win-win principle	Household in each village shall register for their preference activities/groups
10	Crop input provision contractor including fertilizer/pesticide, farming technique etc <sup>7</sup> .	Reduce crop investment and dependence on outside suppliers;	Establishing a value chain analysis to identify/form potential and sustainable stakeholders/cooperation mechanism to ensure win-win principle	Household in each village shall register for their preference activities/groups
11	Credit for small business	Small groceries will bring people alternative income source to substitute for decreasing farming land	Household survey; priority given to those who are living alongside village roads; provide market training	In all three villages, especially in Xa Linh

## 2.8 Potential safeguard issues

As the people are living closely to forest lands using forest resource and land for ages, it is not easy to change their traditional farming behavior, particularly in the limited natural and geographical condition of the target sites. Thus, promoting forest development and management activities contain some potential risks and certain mitigation measures will be necessary to avoid those risks. The key potential risks analyzed and its mitigation measures analyzed by the expert of the survey team are explained in the following table.

**Table 6: Potential risks for livelihood activities development**

No	Potential risks	Description	Mitigation measure
1	Conflict between local villagers and NR management board	Farming land pressure in the near future when population increase; increasing timber demand for wooden houses from young married couple, especially when they prefer to have big and concrete ones	Get people involvement in forest protection as in Den and Dieng village; maintain certain area for planting timber trees that people often use to build houses; annual approved timber collecting permit must be transparency, fair and based on actual demand; NR management board should consider to increase PFES, or additional supports if not.
2	Conflict between villagers and outside villagers <sup>8</sup>	People in neighbor communes may cross their territory and encroach forest in other commune for farming	Strict management to assure no forest encroaching by outsiders. Village forest protection team should be developed and provided necessary training; Separate budget for these teams should be available; team members shall have uniform.
3	Negative effects of climate change in agricultural production <sup>9</sup>	Climate hazard can be affected on livelihood of local farmers due to it can reduce crops productivity and make a mass fate of livestock	Diversity of agricultural production systems to reduce the risk by enhancing the tolerable agricultural production systems. Agroforestry systems should be considered to establish to mitigate negative effects of climate change
4	Degraded soil cultivation	Most of lands for agricultural production are with high slope and without solution of soil protection leading to soil erosion and infertility. The consequence of this is low crop productivity and high investment.	Soil erosion prevention should apply in all sloping land cultivation. Complex agroforestry systems should be considered as a good solution to conserve sloping land and maintain crop productivity

<sup>6</sup>This picked-up from the recommendation section of the Hoa Binh report only

<sup>7</sup>This picked-up from the recommendation section of the Hoa Binh report only

<sup>8</sup>The potential risk number 1 and 2 are picked-up from the recommendation section of the Hoa Binh report.

<sup>9</sup> The potential risk number 3 to 6 are from the recommendation section of the Son La report.

No	Potential risks	Description	Mitigation measure
5	Water scarcity supply for living and cultivation	Under ground water is closely related to natural forest remains. Presently, natural forest is limited amount areas and degraded quality leading to lack of underground water supply for living and cultivation.	Using concrete tanks for storing raining water in raining season for using in dry season, and promoting afforestation as well as protecting natural forests in watershed areas for supplying underground water
6	Cultural identities marginalization	Different ethnics have different beliefs in forest. Forest not only provides forest products, but also provides their cultural spaces such as buried ground, sacred spaces for instance.	The traditional spiritual space on forest land should be maintained, respected and put under their management. It is observed that sacred forests are conserved very well in Son La province.

## ***ANNEXES***

## Annex 1: Number participants attended meeting by province

Unit: Person

Province	Commune	Village	Advanced meeting with leaders of CPC	Meeting with leaders of CPC and village chairpersons	Meeting with leaders of village	Meeting with villagers of village
Dien Bien	Muong Nha	Xom	N/A	44	N/A	32
	Ta Ma	Da Nang	N/A	25	N/A	46
	Muong Tung	Moi	N/A	29	N/A	45
Lai Chau	Nam So	Nam Danh	N/A	36	N/A	43
	Pa Mu	Huoi Bac	N/A	25	N/A	40
	Phong So Lin	Lo To Phin	N/A	26	N/A	38
Son La	Muong Giang	Pa Uon	10	45	10	50
	Chieng Xuan	Dup Ken	10	45	10	47
	Ban Lam	Ban Lam A	10	45	9	45
Hoa Binh	Ngoc Lau	Dien	10	33	7	45
	Pa Co	Xa Linh	10	35	7	45
	Tien Phong	Dieng	10	28	7	45
<b>Total</b>			<b>60</b>	<b>416</b>	<b>50</b>	<b>521</b>

Source: Synthesize from provincial socio-economic survey reports of four target provinces

## Annex 2: Average per capita income per year of commune/village surveyed

Province	District	Commune	Village	Average per capita income, per year (VND/prs/year)
Dien Bien	Dien Bien	Muong Nha	Xom	10,000,000
	Tuan Giao	Ta Ma		6,000,000
	Muong Cha	Muong Tung		10,000,000
Lai Chau	Tan Uyen	Nam So	Nam Danh	7,206,000
	Than Uyen	Pha Mu	Huoi Bac	N/A
	Sin Ho	Phang So Lin	Lo To Phin	N/A
Son La	Van Ho	Chieng Xuan	Dup Ken	6,000,000
	Quynh Nhai	Muong Giang		12,000,000
	Thuan Chau	Ban Lam	Lam A	6,000,000
Hoa Binh	Lac Son	Ngoc Lau		12,000,000
	Mai Chau	Pa Co		7,300,000
	Da Bac	Tien Phong		13,500,000

Source: Synthesize results from the socio-economic survey report of four provinces

### Annex 3: Agriculture Situation in the Surveyed Commune in Dien Bien Province

District	Commune	Major crops	Major crops						Practice of shifting cultivation
			Production area (ha)		Average yield (ton/ha)		Purpose (%)		
			1 <sup>st</sup> crop	2 <sup>nd</sup> crop	1 <sup>st</sup> crop	2 <sup>nd</sup> crop	Home consumption	Sales	
Dien Bien	Muong Nha	Paddy rice	329.5		3.7		100%	90-95%	Model 1: the upland rice cultivated within 2-3 crops, then let them fallow in 2-3 years, and then continue growing with upland rice. Model 2: upland rice cultivated within 2-3 crops, then cultivated cassava in 1-2 crops, after that let them fallow in 2-3 years before start with new cycle of crop pattern; model 3: with the production period longer by cultivated the hill rice in 2-3 crops, maize in 1-2 crops, then cassava in 1-2 crop, after that let them fallow in 2-3 years before start with the new production period
		Upland rice	922		1.0		100%		
		Maize	1,115	-	3.9	-	5-10%		
		Cassava	273	-	6.2	-	100%		
Tuan Giao	Ta Ma	Paddy rice	14	-	5.7	-	NA	NA	Two shifting cultivation patterns, first people use land for upland rice cultivation within 2 or 3 years, then continue to apply maize cultivation for another period of 2-3 years, after that keep it in a fallow period taking about 2-3 years. The second pattern, people use the land for maize cultivation with application of short fallow period in combination with cattle raising
		Upland rice	1,318	-	0.9	-	NA	NA	
		Maize	1,249	-	4.0	-	NA	NA	
Muong Cha	Muong Tung	Paddy rice	115.7	158.3	4.7	-	100	0	The circulation of land use is 7-8 year round. It means that the land is used for cultivation in 4-5 years successively then leave fallow. Grasses and other small tree grow for 2-3 years in order to enrich soil fertility.
		Upland rice	635	-	1.2	-	100	0	
		Soybean	635	-	-	-	0	100	
		Peanut	350	-	1.9	-	0	100	

Source: Dien Bien socio-economic survey report, 2016

### Annex 4: Agriculture Situation in the Surveyed Commune in Lai Chau Province

District	Commune	Major crops	Major crops						Practice of shifting cultivation
			Production area (ha)		Average yield (ton/ha)		Purpose		
			1 <sup>st</sup> crop	2 <sup>nd</sup> crop	1 <sup>st</sup> crop	2 <sup>nd</sup> crop	Home consumption	Sales	
Tan Uyen	Nam So	Paddy rice	92	395	5.7	4.3	N/A	N/A	Rotation shifting cultivation has been less practiced in the last decade due to the stringent regulation of both the district's department of forest protection as well as of commune
		Upland rice	430	-	0.9	-	-	-	
		Cassava	145	-	6.5	-	-	-	
		Maize	120	-	3.5	-	-	-	
Than Uyen	Pha Mu	Paddy rice	42.1	25	4.0	5.3	N/A	N/A	Practice of shifting cultivation has been rare due to the restriction by district's department of forestation
		Maize	5	60	2.7	3.5	-	-	
		Upland rice	62	-	1.0	-	-	-	
		Cassava	42	-	7.5	-	-	-	
Sin Ho	Phang So Lin	Paddy rice	220	-	4.1	-	N/A	N/A	There is no evidence of practicing rotational shifting



District	Commune	Major crops	Major crops						Practice of shifting cultivation
			Production area (ha)		Average yield (ton/ha)		Purpose		
			1 <sup>st</sup> crop	2 <sup>nd</sup> crop	1 <sup>st</sup> crop	2 <sup>nd</sup> crop	Home consumption	Sales	
		Maize	350	-	2.0	-	-	-	cultivation in the commune. Some report that this phenomenon has been controlled by the communal authority's regulation on protecting forest
		Bean	75	-	4.0	-	-		
		Upland rice	54	-	1.0	-	-		
		Peanut	26	-	0.9	-	-		

Source: Lai Chau socio-economic survey report, 2016

### Annex 5: Agriculture Situation in the Surveyed Commune in Son La Province

District	Commune	Major crops	Major crops						Practice of shifting cultivation	Livestock (average no. per household)			
			Production area (ha)		Average yield (ton/ha)		Purpose (%)			Buffalo	Oxen	Pig	Poultry
			1 <sup>st</sup> crop	2 <sup>nd</sup> crop	1 <sup>st</sup> crop	2 <sup>nd</sup> crop	Home consumption	Sales					
Van Ho	Chieng Xuan	Paddy rice	122	-	4.7	-	100	0	The shifting cultivation is now not practiced at present in the commune due to land shortage and cutting forest for expanding field is strictly prohibited	2.3	2.2	2.9	15.3
		Maize	1149	-	4.6	-	20	80					
		Cassava	17	-	20.0	-	0	100					
		Canna	31	-	50.0	-	0	100					
		Mango	12	-	5.0	-	-	-					
		Banana	6	-	20.0	-	-	-					
		Late-ripening longan	33	-	9.0	-	-	-					
Quynh Nhai	Muong Giang	Paddy rice	29.7	73.8	5.5	4.7	100%	0	N/A	N/A	N/A	N/A	
		Maize	690.9	-	4.2	-	20%	80					
		Cassava	101.9	-	10.0	-	0%	100					
		Soybean	150	-	1.2	-	-	-					
Thuan Chau	Ban Lam	Paddy rice	4.6	107	6.0	5.5	100	0	N/A	N/A	N/A	N/A	
		Upland rice	30	-	1.2	-	100	0					
		Maize	140	-	5.5	-	20	80					
		Cassava	230	-	11.0	-	0	100					
		Coffee	147	-	5.9	-	0	100					

Source: Son La socio-economic survey report, 2016

### Annex 6: Agriculture Situation in the Surveyed Commune in Hoa Binh Province

District	Commune	Major crops	Major crops						Practice of shifting cultivation	Livestock (average no. per household)			
			Production area (ha)		Average yield (ton/ha)		Purpose (%)			Buffalo	Oxen	Pig	Poultry
			1 <sup>st</sup> crop	2 <sup>nd</sup> crop	1 <sup>st</sup> crop	2 <sup>nd</sup> crop	Home consumption	Sales					

Lac Son	Ngoc Lau	Maize	700	400	3.0	4.5	20-30	70-80	Not common any more due to lack of cultivation land	1.3	1.3	3.2	35.5
		Paddy rice	55	13	3.5	3.8	100	0					
		Peanut	49	49	3.5	3.5	50	50					
		Sugarcane	68	0	50.0	-	0	100					
Mai Chau	Pa Co	Maize	760	-	6.0	-	20-30	70-80	Not popular because of insufficient land	0.7	1.0	1.6	1.55
		Paddy rice	14.6	-	4.0	-	100	0					
		Tea	120	-	3.5	-	0	100					
Da Bac	Tien Phong	Maize	255	-	6.0	-	N/A	N/A	Rotation shifting cultivation is not practiced at the present due to land shortage and the strict management over protection forest	0.7	1.1	1.5	14.5
		Cassava	220	-	4.5	-							
		Paddy rice	24	24	6.2	-							

Source: Hoa Binh socio-economic survey report, 2016.

## Annex 7: Forest Resources and Key Drivers of Forestation in Dien Bien Province

District	Commune	Village	Important Forest resources for the local communities			Drivers of deforestation	
			Resource	Frequency	Purpose	Major driver	Underlying causes
Dien Bien	Muong Nha	Xom	1. Round timber	Whenever a new house to be constructed or family splitting	To build or fix house; not for sale	N/A	Forests are brought under category of protection forest and timber collection is probated; Over exploitation for house construction
			2. Firewood	Everyday	Daily cooking	N/A	There is no conversion of forest into land for food crops cultivation
			3. Bamboo shoot	Occasionally in raining season during April and August	Self-consumption and selling	N/A	Reduction of area of bamboo due to bamboo die naturally
			4. Honey	Occasionally in raining season during April and August	Self-consumption and selling	N/A	Over exploitation
Tuan Giao	Ta Ma	Na Dang	1. Round timber	Whenever a new house to be constructed or family splitting	To build or fix house; not for sale	1. Timber cutting for building house	Construction of hydropower plants had led to resettlement of a large number of households. These households had to collect round timber for constructing their houses.
			2. Firewood gathering	Everyday	Daily cooking	2. Rotational shifting cultivation	People have had enough land for food crops cultivation
			3. Grazing area	During dry season	To raise cattle	3. Encroaching of people outside of the village	There were people from Quynh Nhai (a district of Son La province) come to clear forests for a food crops cultivation
			4. Bamboo stems and bamboo shoot	Occasionally in raining season during April and August	Self-consumption and selling	4. Illegal logging	People in the commune and outsiders were trying to steal high value trees in

							the forests of Ta Ma for cash income
Muong Cha	Muong Tung	Moi	1. Firewood gathering	Everyday	Daily cooking		N/A
			2. Round timber	Whenever a new house to be constructed or family splitting	To build or fix house; not for sale	N/A	N/A
			3. Bamboo stems and bamboo shoot	Occasionally in raining season ranging between May and August annually	Self-consumption and selling	N/A	N/A

Source: Dien Bien socio-economic survey report, 2016

### Annex 8: Forest Resources and Key Drivers of Forestation in Lai Chau Province

District	Commune	Village	Important Forest resources for the local communities			Drivers of deforestation	
			Resource	Frequency	Purpose	Major driver	Underlying causes
Tan Uyen	Nam So	Nam Danh	1. Timber	When new household Build a house	Fixing/building House, not for sales	1. Involuntary burning the forest ground for collecting NTFPs or hunting	Expanding the cultivation area for upland rice
			2. Firewood	Occasionally	Home use (cooking and heating)	2. Wood logging	Burning forest ground for collecting honey or for hunting
			3. Bamboo shoot	Everyday		3. Collecting forest products (galingale, crocus, ginseng)	Providing wood for building the "stilt house"
			4. Forest vegetable			4. Cultivating upland rice	
			5. Mushroom			5. Slash-and-burn	
			6. Banana blossom, Phrynium & Dioscorea hamiltonii			6. Hunting	
Than Uyen	Pha Mu	Huoi Bac	1. Timber	2-3 times a year	Fixing/building house, not for sales	1. Illegal logging	Cutting tree for fixing/building house; external villagers illegally exploit
			2. Firewood	Everyday	Home use (cooking and heating)	2. Slash and burn	
			3. Bamboo tree	Twice a year	Making fence	3. Illegal hunting	
			4. Forest vegetable	Twice a year	Home consumption	4. Illegal and involuntary burning the forest ground	
			5. Honey	Once a year	Sale for earning money	5. Free grazing cattle	
			6. Orchid	Once for several years	Sale for earning money	6. Collecting forest products	
			7. Medical plants	When household member get sick	Home consumption		
Sin Ho	Phang So Lin	Lo To Phin	1. Timber		Fixing/building house, not for sales	1. Stealing forest products (medicinal plants)	Forest products were stolen by people from other villages for sale
			2. Firewood		Home use (cooking and heating)	2. firewood	

District	Commune	Village	Important Forest resources for the local communities			Drivers of deforestation	
			Resource	Frequency	Purpose	Major driver	Underlying causes
			3. Underground water		Providing water for local people	3. House construction	
			4. Forest soil		For rice and maize cultivation	4. Slash and burn	Lack of cultivation land and low awareness of environmental protection
						5. Free grazing cattle	Lack of cattle feed
						6. Rotational agriculture	Traditional custom of local people

Source: Lai Chau socio-economic survey report, 2016

### Annex 9: Forest Resources and Key Drivers of Forestation in Son La Province

District	Commune	Village	Important Forest resources for the local communities			Drivers of deforestation	
			Resource	Frequency	Purpose	Major driver	Underlying causes
Van Ho	Chieng Xuan		1. Firewood	Everyday	Daily self-consumption	1. Natural hazard	Cold weather and wild fire
			2. Bamboo shoot	Seasonally	Home use	2. Illegal farming	Landless people
			3. Bamboo	Occasionally	Building fence, weaving and broom making	3. Illegal logging	The poor; the outsider people
			4. Timber	When new household build a house	Building house		
Quynh Nhai	Muong Giang		1. Firewood	Everyday	Daily self-consumption	1. Natural hazard	Wild fire
			2. Bamboo shoot	Seasonally	Home use	2. Illegal farming	Landless people
			3. Bamboo	Occasionally	Building fence, weaving and broom making	3. Illegal logging	The poor; the outsider people
			4. Timber	When new household build a house	Building house		
Thuan Chau	Ban Lam	Lam A village	1. Bamboo shoot	Seasonally	Home use	1. Natural hazard	Cold weather and wild fire
			3. Bamboo	Occasionally	Building fence, weaving and broom making	2. Illegal farming	Landless people
						3. Illegal logging	The poor; the outsider people

Source: Son La socio-economic survey report, 2016.

### Annex 10: Forest Resources and Key Drivers of Forestation in Hoa Binh Province

District	Commune	Village	Important Forest resources for the local communities			Drivers of deforestation	
			Resource	Frequency	Purpose	Major driver	Underlying causes
Lac Son	Ngoc Lau	Den	1. Round Timber	When new household build a house everyday monthly	Fixing/building house, not for sales	1. Illegal logging	People from bordering Thanh Hoa province come to cut trees.
			2. Firewood		Home use (cooking)		
			3. Herbal plants		Home use (medicine, drinking water)		Local landless household/ poor people also cut trees.
			4. Banana	Once in two days	Food for livestock, parties, ceremonies	2. Hunting	Due to difficult accessibility, patrol cannot be done in detail and frequent.
			5. Bamboo shoot	June-August (once in each month)	Home consumption, rarely for sale	3. Natural hazards	
			6. Wood ear mushroom	Occasionally in rainy season (Apr-Sept)	Home consumption		
			7. Shell animal	Occasionally in rainy season (May-Sept)	Home consumption		
Mai Chau	Pa Co	Xa Linh	1. Timber	When new household build a house	Fixing/building house, not for sales	1. Illegal logging	Local landless household/ poor people also cut trees.
			2. Firewood	Everyday	Home use (cooking, heating), sometimes for selling	2. Illegal farming	Outsiders and insiders who do not have sufficient land
			3. Farming land	Yearly (one crop a year)	Food for family	3. Illegal livestock ranching	Outsiders and insiders who do not have grazing land
			4. Grazing ground	When crops are not harvested	Feed for cattle	4. Hazards	
			5. NTFP	Occasionally	Feedstuff for family	5. Heating demand in winter	
Da Bac	Tien Phong	Dieng	1. Firewood	Everyday	Home use (cooking and heating)	3. Natural hazards	
			3. Water resource	Everyday	Daily use		
			4. Timber	Occasionally; from planted forest only	Housing		

Source: Hoa Binh socio-economic survey report, 2016

### Annex 11: Payment for the Forest Protection Activities in Four Provinces

Province	District	Commune	Protection Management Fee				PFES			
			Started year	Protection area (ha)	Payment as of 2015 (VND)	Unit cost (VND/ha)	Started year	Protection area (ha)	Payment as of 2015 (VND)	Unit cost (VND/ha)
Dien Bien	Dien Bien	Muong Nha	2013	2,388	477,582,000	200,001	-	-	-	-
	Tuan Giao	Ta Ma	-	-	-	-	2013	5,412	1,661,619,080	307,000
	Muong Cha	Muong Tung	2014	2,093	585,956,000	280,000	2015	4,431	1,243,292,000	280,589
Lai Chau	Tan Uyen	Nam So	2011	879	262,746,250	298,983	2012	2,465	785,972,095	318,866
	Than Uyen	Pha Mu	2008	721	215,500,000	299,098	2011	2,519	1,153,300,000	457,895
	Sin Ho	Pang So Lin	1998	1,030	308,850,000	300,000	2011	1,156	365,138,000	316,000
Son La	Van Ho	Chieng Xuan	2011	1,209	120,938,000	100,000	N.A.	N.A.	N.A.	N.A.
	Quynh Nhai	Muong Giang	N.A.	N.A.	N.A.	N.A.	2010	2,173	584,607,380	269,032
	Thuan Chau	Ban Lam	2011	1,427	142,700,000	100,000	N.A.	N.A.	N.A.	N.A.
Hoa Binh	Lac Son	Ngoc Lau*	-	-	-	-	2011	170	34,000,000	200,000
	Mai Chau	Pa Co	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
	Da Bac	Tien Phong	-	-	-	-	2011	1,142	182,720,000	160,000

Source: Synthesize results from the socio-economic survey report of four provinces

### Annex 12: Village Fund in Four Provinces

Province	District	Commune	Village	Village fund			
				Yes/No	Established year	Saved amount (VND)	Major use
Dien Bien	Dien Bien	Muong Nha	Xom	Yes	N/A	N/A	Using percentage of amount payment of forest protection to village fund
	Tuan Giao	Ta Ma	Na Dang	Yes	N/A	N/A	Using around 10% of obtained amount (payment for forest protection) for forest protection activities and common expenditures
	Muong Cha	Muong Tung	Moi	Yes	N/A	N/A	Village fund pay for forest protection team
Lai Chau	Tan Uyen	Nam So	Nam Danh	Yes	N/A	N/A	Providing assistance to the sick and help on organizing village events (e.g. buying foods for village meeting)
	Than Uyen	Pha Mu	Huoi Bac	No			
	Sin Ho	Phang So Lin	Lo To Phin	No			
Hoa Binh	Lac Son	Ngoc Lau	Den	Yes	N/A	N/A	Paying for tea, cigarette as well as for other necessary facilities in village meeting
	Mai Chau	Pa Co	Xa Linh	No			
	Da Bac	Tien Phong	Dieng	No			
Son La	Van Ho	Chieng Xuan	Dup Ken	Yes	N/A	24,000,000	Credit for poor household (2-3 HHs per year, 1 year, annual interest of 1.5%)
	Quynh Nhai	Muong Giang	Total	Yes	2010	N/A	Paying for the forest protection groups and for common activities such as periodical or annual meeting, visiting the sick, funeral
	Thuan Chau	Ban Lam	Total	Yes	N/A	10,000,000	Credit for poor household (1-1 HHs per year, 1 year, annual interest of 0.1%)

Source: Synthesize results from the socio-economic survey report of four provinces

**Annex 13: Proposed livelihood options for better forest management in the survey sites**

Province	District	Commune	Village	Proposed livelihood options for better forest management
Dien Bien	Dien Bien	Muong Nha	Xom	1. Cattle (buffalo and cow) raising model 2. Bio-gas installation, 3. Small scale irrigation 4. Fruit trees plantation, 5. Pig raising model
	Tuan Giao	Ta Ma	Na Dang	1. Cattle (buffalo, cow and goat) raising model 2. Pig raising model, 3. Small scale irrigation 4. Fruit trees plantation, 5. Vegetable plantation 6. Providing threshing machine, corn beating machine
	Muong Cha	Muong Tung	Moi	1. Cattle (buffalo, cow and goat) raising model 2. Pig raising model, 3. Small scale irrigation 4. Poultry raising model, 5. Fishery 6. Bio-gas installation
Lai Chau	Tan Uyen	Nam So	Nam Danh	1. Rice cultivation, 2. Buffalo raising 3. Pig raising, 4. Chicken raising 5. Duck raising, 6. Cinnamon cultivation 7. Pine cultivation
	Than Uyen	Pha Mu	Huoi Bac	1. Rice cultivation, 2. Pig raising, 3. Chicken raising 4. Buffalo raising, 5. Cow raising, 6. Cassava cultivation 7. Goat raising, 8. Maize cultivation, 9. Goose raising
	Sin Ho	Phang So Lin	Lo To Phin	1. Wet rice cultivation, 2. Upland rice cultivation 3. Maize cultivation, 4. Buffalo raising 5. Cow raising, 6. Pig raising, 7. Construction worker 8. Small trading
Son La	Van Ho	Chieng Xuan	Dup Ken	1. Constructing internal village road; road from the village to the national road (800 m) 2. Growing fruit tree (longan, mango) 3. Growing grass and raising cattle 4. Improving water supply system 5. Fencing for fruit garden
	Quynh Nhai	Muong Giang	Pa Uon	1. Growing grass and raising buffaloes, cows 2. Raising fishes in the Da river's reservoir 3. Making nets for fishing 4. Growing fruit tree
	Thuan Chau	Ban Lam	Lam A	1. Growing grass and raising buffaloes, cows 2. Fruit tree cultivation, 3. Raising fish 4. Agro-forestry farming model used on slopping area
Hoa Binh	Lac Son	Ngoc Lau	Den	1. Clean water reservoir, 2. Cow raising model 3. Pig raising model, 4. Introduction of new maize variety
	Mai Chau	Pa Co	Xa Linh	1. Traditional weaving, 2. Cow raising model 3. Water well building, 4. Introduction of new peach species
	Da Bac	Tien Phong	Dieng	1. Cow raising model, 2. Fish cage model 3. Pig raising model, 4. Grass plantation

Source: Synthesize results from the provincial socio-economic survey reports

### Annex 14: Experiences on Participation in Forest Development Projects in the Surveyed Commune

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
Muong Nha DB	1. National Program on Poverty Alleviation (phase 1)	Government of VN	Construction of electricity grid, road and classrooms in combination with supports of crop seeds, salt and livestock	N/A	(i) Activities of the project are built on actual needs of the poor households with bottom-up approach and community based approach are applied. This helps to identify the most suitable supports and the most appropriate way to provide those supports. (ii) Some better off households are also allowed to join the interest groups in order to help the poor.	2005-2010
	2. Project on Poverty Elimination for Northwest Region (phase 2 of the National Program on Poverty Alleviation)	Government of VN	Project provides in-kind supports for poor households in the village. Under instruction of the project's staff, poor households in the village have organized themselves into interest groups, such as goats raising group, chicken raising group and so on.	64 households of six villages (Pha Thanh, Pu Lau, Pha Lay, Hoi Huong, Khon Ken and Phi Cao village) of Muong Nha are beneficiaries of this project. Members of goat raising groups have obtained 64 goats	(i) Activities of the project are built on actual needs of the poor households with bottom-up approach and community based approach are applied. This helps to identify the most suitable supports and the most appropriate way to provide those supports. (ii) Some better off households are also allowed to join the interest groups in order to help the poor.	2011
	3. Forest protection and development plan	Government of VN	Forest environment service payment	All villages of Muong Nha have obtained payment for their forest protection activities carried out since the second half of 2013	N/A	2013
Ta Ma DB	1. World Vision project	World Vision	The World Vision project focuses on different supporting areas including education, medicine, assurance, capacity building, livelihood etc.	This project had provided 18 cows to villagers of 5 villages, such as Ke Cai (2 cows), Phinh Cu (6 cows), Hang Chua (2 cows), Tram Cu (6 cows) and Tho Ty (2 cows). To date, the provided cows have produce 112 cows	Rotating model of supported animal is suitable for development as beneficiaries were voted by villagers	2007-2025
	2. Planting Elephant grass project	Tuan Giao DPC	NA	This project emphasized on growing large areas of grass to feed animal but it was not successful as the requirement of field merge	Before doing project, social-economy information is first need; requirement of people and feasibility of the proposed solution	NA
Muong Tung DB	1. JICA project	JICA	Building irrigation system at Pom Cai village	The irrigation system has been working well and protect rice field from erosion and loss of mud/soil	NA	2010-2015



Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
	2. The national project on afforestation of 5 million ha (program 661)	Government of VN	NA	The project has given a positive impact on forest recovering.	It is more difficult to Muong Tung in forest protection when the national road go through. It is very easy to consume forest product from firewood to logs, other NTFPs etc.	N/A
	3. Agriculture extension project	Muong Cha DPC	Support yellow banana seedling to local people	NA	This project did not give much impact and was not sustainable when too much of banana produced without buying market	N/A

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
Chieng Xuan SL	1. Northern Mountain Poverty Reduction Project	The World Bank	Livelihood, infrastructure, capacity building	The project implemented in 8 villages in the commune, the project provided cows to poor families, construction of traffic infrastructure such as bridges and irrigation systems for production activities.	The project staff worked directly with local people to implement the project without going through intermediary bodies such as communal authorities; People are directly involved right from the project development phase, especially they participated in designing the specific activities of the project that are suitable for themselves.	2010-2016
	2. KFW7	Entwicklungs bank	Forest establishment and management, community-based forest management, community development, support and training for extension services, and biodiversity Conservation	The project has only been implemented in the Kho Hong village, 16ha of Acacia has been planted since 2009 and can be harvested now	Sustainable forest management linked with the development of people's livelihood	2007-2014
	3. Forest protection and development plan	Government of VN	Build and develop protection forests and special-use forests. Develop production forest by expanding the links between farmers and enterprises of all economic sectors, investment into areas for material, product consumption	The project has supported 100,000VND/ha/year for protecting the natural forests of the commune, no occurrence of forest fires, slash-and-burn	Regulation on community forest management was developed, establishment of forest protection team and development of the village's forest protection fund	2011-2020
Muong Giang	1. Removal of	Government of VN	Support poor households with stable and safe	The project supported 53 households in the villages of the commune with the amount of VND	The project just satisfied people's need in terms of accommodation but not their livelihood	2008-2015

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
SL	temporary houses program		accommodation	7.2 million/ household to construct a new house. The result is 53 households in the communes renovated their houses for stable living condition.		
	2. Program 30A	Government of VN	Support sustainable agro-forestry production; build socio-economic infrastructure suitable to each district's characteristics; and restructure local economies and shift to effective production forms under planning	- All poor households in Chau Quan and Nghe Tong hamlets were supported with loan amount of VND 5 million/ household with interest rate of 0% in 2 years to buy cattle and goats for living improvement; hundreds of farmer households in these hamlets escaped from poverty	Investment in livestock development for people's livelihood improvement is the right direction and receiving strong support from people. However, for more effective development of livestock, veterinary and grazing should be considered for further investment.	2009-2016
Ban Lam SL	1. Northern Mountain Poverty Reduction Project	The World Bank	Activities implemented in the commune under the project included upgrading and constructing new buildings, roads, irrigation, investment in livelihood development	The project supported the construction of 5.6 km of concrete road for travelling in the villages, four small irrigation works. Regarding investment in livelihood development, so far 633 households have been provided loans for livelihoods with the total amount of VND 13.5 billion. The borrowers use the loans to invest in livestock and agricultural production, such as buying more cattle and pigs for breeding and seedlings of fruit trees such as late ripening longan and coffee. The project organized 5 training courses on techniques of farming and agricultural and forestry production for 100 farmer households. Such techniques have been effectively applied by farmers in their family, contributing to generating income.	The project's priority on supporting the needs of women is an innovative feature of the project. The villagers have directly involved in from the project preparation and proposals to project implementation, management, and monitoring and payment settlement	2010-2016
	2. KFW7	Entwicklungsbank	Forest establishment and management, community-based forest management, community development, support and training for extension services, and biodiversity Conservation	The project has invested in 528 ha of forest for pine (500 ha) and camellia (28 hectares) plantation with the participation of hundreds of households. Currently, these plants have grown well and people actively care for and protect the plantation.	KFW7 supported seedlings and rice for people. Selection of appropriate plants with high economic efficiency will encourage farmers to grow and care for them	2007-2014
	3. Forest protection and development plan	Government of VN	Build and develop protection forests and special-use forests. Develop production forest by expanding the links between farmers and enterprises of all economic sectors, investment into areas for material, product	1,427 ha of forest generation of the commune have been well protected, 18 village communities has been taken part in the forest management and protection	Communities in the commune are assigned for forest management, thus promoting their power in forest protection. Villages should develop regulations on forest management and protection and disseminate to each household in the village.	2011-2020

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
			consumption			
Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
Nam So LC	1. Program 661	Government of VN	Forest environment service payment	In the past 5 years, each village of Nam So commune has been received those two payments then divide them evenly to each household in their village	Those two payments are regarded to have an important impact on enhancing local people's awareness and actions in protecting their forest	2011
	2. Forest protection and development plan	Government of VN	Forest protection payment			2012
Pha Mu LC	N.A		Forest protection payments and forest environment service payment	The payments have helped Huoi Bac form a forest protect team who is responsible for preventing any illegal activities such as slash-and-burn, illegal forest burning, illegal logging etc.	Communal officials report that making those payments to local households have increased their awareness in practicing their forestry relating activities.	2008-2016
Phang So Lin LC	1. Program 135	Government of VN	The Program 135- Phase II and The World Bank	Which supports poor households in the commune in order to help pull them out of poverty and hunger (Program 135); Developing cattle rearing models for poor and near-poor households	In the last 5 years, the enactment of those aforementioned payments has assisted in increasing the local people's awareness and safe practice with regard to forestry, which could be a reason for the fact that no forest fire has occurred in recent years.	2011-2015
	2. Northern Mountain Poverty Reduction Project	The World Bank	The project provided support to these households to develop the models of buffalos, chickens and pigs raising as well as cultivation.	In Lo To Phin village, two households were aided one buffalo and 12 households have received 6 buffaloes so far at the point of data collection. In addition, each household would be provided with 5 chickens, making a total of 15 households having received this animal since 2010. Two pigs were given to each household and 20 households have been delivered pigs since 2010. The villagers were also trained of raising technique and aided of fertilizer, maize/rice seeds for cultivation. The village distributed the quantity of fertilizers evenly to all households.	The program has not shown effectiveness yet as some households' animals were killed by robbers or died of epidemics	2010-2016

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
Ngoc Lau, HB	1. Program 135	Government of VN	Livelihood, infrastructure, electricity cost, and salt etc.	N/A	Good lessons from this project include: focusing on the poor and actual needs of the community so as investments bring instance achievement which could be measure as the case of road or school building and irrigation system upgrade; Beneficiaries selection is transparent and democratic; Every village receives supports. On the other hand, there are also some lessons that local people believe should be taken into account and to improve in future project. (i) Employ more bottom-up approach and community based approach. This helps to identify the most suitable supports and the most appropriate way to provide those supports. For instance, salt provision is not effective because salt is too big for people to cook; maize variety VN 989 seed provision is not productive as people expect; (ii) Pass every management and implementation authority to commune level for better running	N/A
	2. Northern Mountain Poverty Reduction Project	The World Bank	This project provides assistances to 13 villages in the commune with focus on the poor household by supporting livelihood, providing fund to build village roads, reservoir and small irrigation system	N/A	Good experiences from this project as local leaders evaluate are: (i) Improving capital management, plan building and plan management for local people; (ii) Creating larger social network so as people could learn, cooperate and monitor each other; (iii) Transparency, democracy, equality with bottom-up approach; and (iv) Providing suitable and effective intervention for local people. On the other the hand, there are also problems which are expected to improve in future projects. These include the following: (i) Give full management authorities to commune level to save time for screening and appraisal; (ii) Providing people all necessary skills and training before asking them to monitor project activity – for instance, people’s monitoring on road construction would be not effective when they know very little about concrete mixture; (iii) If financial resource is limited, a project should focus on a target village or target group instead of too large beneficiaries	2010-2016
	3. Coffee plantation project	Thai Hoa coffee company	In 2010, Thai Hoa coffee company initiated a coffee planting project in the commune via a shareholder model. Local people contribute land while the company invests on seeds, fertilizer and technologies. This project acquired about 150 hectares of farming land in Khop village.	This project is reported to fail by local CPC because of no harvest after 6 year planting.	The failure of this project is believed because land and weather conditions in the commune are not suitable for coffee trees. Local people were not consulted sufficiently and risk management was not taken into consideration.	2010

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
Pa Co, HB	1. Program 135	Government of VN	This project provides supports for poor households in the commune with credit, health care, infrastructure improvement (road, reservoir, etc), crop seeds, farming technique and livestock	130 poor household in the commune have borrowed from this Program with total 2.9 billion VND with low interest loans for the poor and the near-poor	Good lessons from this project are: (i) Focusing on the poor, the near poor and actual needs of the community so as investments bring instance achievement which could be measure as the case of road or school building or water reservoir; (ii) Beneficiaries selection is transparent and democratic; (iii) Crop productivities have increased quite substantially; and (iv) Accessibilities have been improved as car, electricity and water are accessible in all 7 villages. On the other hand, there are also some lessons that local people believe should be taken into account and to improve in future project. These include the following: (i) Employing more bottom-up approach and community based approach. This helps to identify the most suitable supports and the most appropriate way to provide those supports. It is reported that provided oxen died after provision because they were not familiar suitable to local weather condition, as people believe; (ii) Provided supports should be selective focusing on some areas instead of covering so many activities at the same time; (iii) Capacity building, financial management training and market training have not been adequately taken into consideration as the project over-emphasizes physical investment.	N/A
	2. Northern Mountain Poverty Reduction Project	The World Bank	This project provides assistances to 7 villages in the commune with focus on the poor household.	N/A	Good experiences from this project as local leaders evaluate are: (i) Improving capital management, plan building and plan management for local people; (ii) Creating larger social network so as people could learn, cooperate and monitor each other; (iii) Transparency, democracy, equality with bottom-up approach. People are free to select oxen in surrounding communities and the project allow them to buy from their network and pay for actual cost; (i) Providing suitable and effective intervention for local people. The good example is the development of oxen population in the commune. Oxen are suitable with local conditions especially when key farming is just for one crop so as people have time to take care of their livestock. On the other hand, there are also problems which are expected to improve in future projects. These include the following: (ii) Providing people all necessary skills and training before asking them to monitor project activity. For instance, people's monitoring on road construction would be not effective when they know very little about concrete mixture; (iii) There should have been more interactions between the project and the people. Justify clearly people's proposals and see if they are sustainable or at high risk. Failure in pig raising is an example. Many pigs died because local condition are not suitable for large scale raising (weather is too cold in winter; people are not yet familiar, and not trained well enough for pig caring).	2010-2016
	3. Handicraft development project	Ireland embassy	Providing jute seeds, warp frames and stitches to local women access to alternative income from selling their	25 selected households were beneficial	Project is not considered successful since people do not have land for jute planting and market study is not carried so as people's products are not able to approach market. Meanwhile, 25 selected households are from different villages in the commune so as it does not really create an active professional	2013

Survey site	Name of the program	Executing agency	Major activities/inputs	Major result	Lessons	Year/period of implementation
			products for tourists on the one hand, and to maintain their traditional cultural on the other the hand		network among members.	
Tien Phong, HB	1. Forestation project	Da Bac DPC	Support local people to plant chinaberry tree in two villages including Mat and Da Bia	Baby trees were provided to all villagers in these two villages with total area of 10 ha	This project is not effective as people were not trained carefully before planting. Meanwhile, crop cycle of the tree is too long without intermittent harvest so as some people have replaced with bamboo or maize. The failure of this project is thought to be result of the top down approach that do not take local people socio-economic condition into careful consideration. There is no accompanied livelihood supports for people to develop and to maintain this plantation until it is ready for harvesting.	2015
	2. Program 135	Government of VN	This project provides supports for poor households in the commune with credit, health care, infrastructure improvement (road, reservoir, etc), crop seeds, farming technique and livestock. The most credit program is water pipe and reservoirs provision for all villages in the commune	N/A	Good lessons from this project are: (i) Focusing on the poor, the near poor and actual needs of the community so as investments bring instance achievement which could be measure as the case of road or school building or water reservoir; (ii) Beneficiaries selection is transparent and democratic; (iii) Crop productivities have increased quite substantially. On the other hand, there are also some lessons that local people believe should be taken into account and to improve in future project. (i) Taking local socio-economic condition into consideration. This helps to identify the most suitable supports and the most appropriate way to provide those supports. (ii) Provided supports should bring people benefit in short term as people do not have sufficient capital investment for long term; and (iii) Priorities should focus on upgrading remaining 10 kilometer road that connect the commune with district town and building one market in the commune.	N/A
	3. Northern Mountain Poverty Reduction Project	The World Bank	This project provides assistances on raising fish cage, and goat to the poor villagers whose houses are adjacent to Da river	N/A	Good experiences from this project as local leaders evaluate are: (i) Provisions are suitable with natural condition of the commune. Goat and baby fishes are suitable and beneficial as they bring people income within one year; (ii) People are provided all necessary training before initiation; and (iii) Transparency, democracy, equality with bottom-up approach. People are free to select oxen in surrounding communities and the project allow them to buy from their network and pay for actual cost. On the other the hand, there are also problems which are expected to improve in future projects. (i) Beneficiaries are the poor only, while list of poor household is made in previous so as some non-poor receive support why “truly poor” do not; and (ii) The project should have provided people access to market more directly without having to go through boat business people.	2010-2016

## **A.2 Result of the Stakeholder Meetings**

### **1. Rationale and Purpose of Stakeholder Consultation**

JICA guidelines on environmental and social considerations state the importance of developing and implementing environmental and social safeguards from an early stage in project planning, early information disclosure and meaningful stakeholder participation in project design and implementation. Thus, Site-level and Provincial Stakeholder Consultation Meetings were conducted during the preparatory survey in June-July 2016.

The project is classified as a Category B which requires to conduct stakeholder meetings ‘when necessary’ (rather than as a pre-determined requirement as per Category A projects). In this case, the Environmental and Social Safeguards Specialists deemed site-level consultation with local stakeholders to be good practice in line with the spirit of the JICA guidelines and environmental and social principles, in appropriate and necessary consideration of the large number of ethnic minority people in the project area and associated potential social issues related to access to lands and resources and loss of livelihoods. The site-level stakeholder consultation meetings provided an opportunity to receive local comments and feedback on the appropriateness and feasibility of proposed project interventions as well as further relevant perspectives on social issues and impacts.

The site-level stakeholder consultation meetings were carried out by a Sub Contractor under the guidance and supervision of the preparatory survey team. The specific objectives of the meetings were as follows:

- 1) To disclose information on project activities to local stakeholders at an early stage in project preparation,
- 2) To provide an opportunity for local stakeholders to provide comments and feedback on the appropriateness and feasibility of proposed activities and interventions,
- 3) To invite local participation in the assessment of environmental and particularly social benefits and risks associated with the project, and
- 4) To confirm the willingness of local stakeholders to participate in the project.

Comments and feedback from the stakeholder consultation process have been noted and have been integrated to the final analysis and assessment of project-related environmental and social issues as well as measures intended to enhance benefits and mitigate risks.

### **2. Approach and Contents of the Stakeholder Consultation Meetings**

The workshops were divided into 4 main sections, which respond to the key objectives:

#### **1) Project Information Disclosure:**

In the first session the Sub Contractor presented information on the features of the proposed project including:

- Project stage and development process
- Project rationale and objectives
- Size and scope of the Project
- Geographical coverage and project sites
- Project approaches and strategies
- Project components and activities

Time was provided for clarifications and questions. A project information handout was also provided to workshop participants.

#### 2) Appropriateness/Feasibility Consultation:

In the second session which was done using a participatory group work approach, local stakeholder participants provided comments on the project components, activities and approaches/strategies and their appropriateness/feasibility in the local context. Meanwhile at provincial level comments and feedback were received in a plenary/roundtable format.

#### 3) Assessment of Environmental and Social Benefits and Risks:

In the third session, a presentation on environmental and social considerations was made. Then local stakeholders were asked to identify and confirm potential environmental and social risks associated with the project and suggest appropriate mitigation measures. With time constraints local level stakeholders focused mainly on social safeguards issues related to forest development components. Meanwhile at provincial level comments and feedback were received in a plenary/roundtable format.

#### 4) Confirmation of willingness to participate:

At the end of the meeting, all participants were requested to complete a ‘voting slip’. As representatives of their respective agencies and jurisdictions, participants confirm whether they are willing to participate in the project or not.

### 3. Meeting schedule and Stakeholders Consulted

The stakeholder meetings were held June 21- July 8, 2016 at 3 sites in each province and 1 provincial meeting at each province. In the each stakeholder meetings, the following stakeholders have participated.

The schedule and the list of participants and the number of participants in the each meetings is shown in the **Table A-1** of this Annex. Around 25-40 participants have attended for the each site-level meeting, and provincial meetings.

Stakeholders Consulted			
Type		Category	Major participants
Site consultation meetings	level	Provincial government	DARD, sub-department of Forestry
		District government	DPC, DiARD, Forest Ranger Station
		Forest Management Board	PFMB, NRMB
		Commune administration	Leaders and staff CPCs
		Mass organisations	Leaders of Communal Women Unions
		Representative of local people	Villagers (farmers)



Type	Category	Major participants
Provincial Consultation meetings	Provincial government	DARD/SubDoF, DONRE, Department of Ethnic minority
	District government	DPC, DiARD, DiONRE,
	Forest Management Board	Dien Bien, Muong Cha and Tuan Giao Protection Forest Management Board
	Mass organisations	Provincial Women's Union

Source: JICA3 preparatory survey team

#### 4. Summary of Key Comments and Feedback

##### (1) Comments and Feedback on Basic Project Design

The following table summarizes the key comments and feedback on the project objectives, design and component. Generally, the proposed project outlines were agreed by the stakeholders, however, it was not easy for the participants to fully understand the impact of the project to their lives as it was the first meeting to be given the project information.

Above all, various fruitful opinions, worries, expectation and suggestions could be collected from the participants.

##### Major comments/feedbacks given in the stakeholder meetings

Project Component	Major comments/feedback
1) Forest Development Components	<p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ As identification of forest/land boundaries is important, necessary budget for this activities should be also considered.</li> <li>◆ Support on village regulations on land use and forest utilization should be implemented first, at the beginning of the project.</li> <li>◆ There was an argument that forest inventory at target sites is not necessary, as national forest inventory activities were conducted recently and the data has been updated.</li> <li>◆ Considering that crop cultivation has been carried out in the land area categorized as “bare land” in reality, it is not easy to conduct afforestation activities. In case of implementation, the land users in the target site should be definitely included as the actors of afforestation and protection activities to be paid.</li> <li>◆ Capacity building and training for village protection teams will be essential.</li> <li>◆ Equipment should be given to the forest ranger stations for forest fires control activities.</li> </ul> <p>Lai Chau</p> <ul style="list-style-type: none"> <li>◆ Including too many communes in each district may limit the scale of each activity as well as creating difficulties in project management and increase of project cost.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Participation of local people for forestry inventory and planning is essential, and the detail land use map with clear boundaries should be provided to local communities.</li> <li>◆ The payment should be allocated based on actual contributions of each community with transparent and fair manner.</li> <li>◆ Prefer to move the budget of silvicultural infrastructure to livelihood improvement component as the effectiveness of those is not very clear.</li> <li>◆ Very important to pay special attention and communication for the local people who still use fire to clear the fields.</li> <li>◆ As the forest fire is huge, forest fire control equipment will not be effective to prevent anyway.</li> <li>◆ It is also important to have wide fire prevention corridors to be able to prevent fire in strong wind.</li> <li>◆ For patrolling, vehicles and associate equipment such as uniform, walkie-talkie will be necessary.</li> <li>◆ There is a land conflict in Ca Nang village and neighboring communes in Thanh Hoa. It is necessary to take this into consideration.</li> <li>◆ Priorities should be given to indigenous species; when planting new species, better to conduct pilot planting.</li> <li>◆ There were some suggestion to modify the target areas (Increase protection forest site of Tan Xuan commune in van Ho district; Reduction of afforestation area in Chieng Bom commune considering another project going on in the same commune; Increase</li> </ul>

Project Component	Major comments/feedback
	<p>afforestation area in Van Ho district; proposed target area in Xuan Nha is too small)</p> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ Priorities should be given to indigenous species. ; when planting new species, better to conduct pilot planting.</li> <li>◆ Participation of local people for forestry inventory and planning is essential, and the detail land use map with clear boundaries should be provided to local communities.</li> <li>◆ For patrolling, vehicles and associate equipment such as uniform, walkie-talkie will be necessary.</li> <li>◆ There were some suggestion to modify the target areas (Reduce the afforestation in Nam Son and Bac Son seem too large; need to add Thai Think commune, Hoa Binh city and downstream communes of Hoa Binh Dam.)</li> </ul>
<p>2) Livelihood Improvement Components (including small scale infrastructure)</p>	<p>Common4 provinces</p> <ul style="list-style-type: none"> <li>◆ For the implementation, local people can contribute their manpower for the works; the project provides materials and techniques; CPC plays a role of monitoring.</li> </ul> <p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ Participants agreed in general that small scale infrastructure support is mainly upgrading the existing facility.</li> <li>◆ It is expected for the all participating villages to have at least one small-scale infrastructure investment. As for the road improvement, it is requested to include particularly upgrading the entrance path to villages.</li> </ul> <p>Lai Chau</p> <ul style="list-style-type: none"> <li>◆ Upgrading road is the most priority needs in general, and needs of rehabilitation of water supply facility follows.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Not necessarily to support small scale infrastructure in all communes, rather better to concentrate into several communes with larger scale.</li> <li>◆ Connecting road from commune center to village will be helpful to improve accessibility.</li> <li>◆ Irrigation system with community based management model is helpful.</li> <li>◆ Holistic support with linking infrastructure-livelihood development -improvement of marketable crop production supports in model commune will be effective.</li> </ul> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ Holistic support with linking infrastructure in model commune will be effective instead of covering all target communes with small scale.</li> <li>◆ Irrigation system with community based management model is helpful.</li> <li>◆ Holistic support with linking infrastructure-livelihood development -improvement of marketable crop production supports in model commune will be effective.</li> </ul>
	<p>Common4 provinces</p> <ul style="list-style-type: none"> <li>◆ Planting medicinal plants/spice trees is very good. It is important to define the suitable species, particularly local, long-term species.</li> </ul> <p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ Improved cooking stove is suitable for Thai ethnic household, but does not fit with H'mong ethnic group due to the difference of traditional lifestyle.</li> <li>◆ Biogas utilization is suitable with better-off households at low land area only.</li> <li>◆ Vegetable garden is not applicable to the places with lack of water supply.</li> <li>◆ Fruit tree plantation can be applied in home gardens, but not necessarily with large scale, considering the market.</li> <li>◆ Plantation of medicinal plants in protection forests is highly appreciated.</li> <li>◆ Supports on marketing of agriculture product is very important.</li> <li>◆ Appreciate to include cattle raising activities.</li> </ul> <p>Lai Chau</p> <ul style="list-style-type: none"> <li>◆ Generally agreed. The supports which participants showed their interests most are technical training on vegetable cultivation, and cattle raising models, with marketing supports.</li> <li>◆ Regarding fuel saving solutions, the difficulty of installation of biogas facility in terms of necessity of large investment and requirement of continuous maintenance, although its effectiveness is attractive. As for fuel saving cooking stove, it is useful, but not necessarily applicable to all ethnic groups.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Prefer to be supported with new high productivity crop seeds for maize; cow and pig raising.</li> <li>◆ Market networking and capacity building will be effective.</li> <li>◆ Support of processing facility which can be used commonly among several communes will be helpful.</li> <li>◆ Study tour is effective.</li> </ul>

Project Component	Major comments/feedback
	<ul style="list-style-type: none"> <li>◆ Selection of the supporting options should be fully discussed with the local communities.</li> </ul> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ It is important to pay attention to support poor household.</li> <li>◆ Support of processing facility which can be used commonly among several communes will be helpful.</li> <li>◆ Wish to have the support to open a farm-input material shop at commune level.</li> <li>◆ Prefer to be supported with new high productivity crop seeds for maize; cow and pig raising.</li> </ul>
<p>3) Others:</p> <p>- General Project Design/Objectives</p>	<p>Common for 4 provinces</p> <ul style="list-style-type: none"> <li>◆ Overall project design and framework was generally agreed, appropriate for forest protection and development, and livelihood improvement.</li> <li>◆ As the needs and condition are different from commune to commune /ethnic group to group, the project approach, methodologies and intervention should be flexible.</li> </ul> <p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ The project is a good opportunity for forest improvement in the target area.</li> <li>◆ Project beneficiaries should be emphasized on the people living in the forest area.</li> <li>◆ Project implementation areas should be increased. For instance, it is expected to add 500ha of ANR area in Muong Phang NR.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Better to include all communes in each target site.</li> <li>◆ Expect to increase the forest protection fees to be paid for the local communities as the current fee does not motivate people to participate in.</li> <li>◆ Need of increasing budget for livelihood activities and small scale infrastructure development as they are essential for promoting the forest protection activities.</li> </ul> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ Recommend to increase the project area (i.e. all 20 communes in Song Da protection forest area while only 11 communes are proposed in the project design; to include 800ha of natural forest in Hien Luong.)</li> <li>◆ Expect to increase the forest protection fees to be paid for the local communities as the current fee does not motivate people to participate in.</li> <li>◆ Need of increasing budget for livelihood activities and small scale infrastructure development as they are essential for promoting the forest protection activities.</li> <li>◆ It is better to concentrate into several communes to support with larger scale, to bring larger impact.</li> </ul>
<p>-Information Dissemination extensions) &amp;</p>	<p>Common for 4 provinces</p> <ul style="list-style-type: none"> <li>◆ Concise and clear information on benefits and duties should be clearly provided to the population in the target area, at right timing.</li> <li>◆ It is important to design different dissemination channels to fit different stakeholders (ethnic group, women, the poor, farmers, province/district/commune/village level, etc.)</li> </ul> <p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ It is better to train village heads in advance.</li> <li>◆ It is important to coordinate well with other projects/program.</li> </ul> <p>Lai Chau</p> <ul style="list-style-type: none"> <li>◆ Project framework and design was generally agreed.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ It is effective to involve women, youth and farmer's unions to take leading role in disseminating project related information.</li> <li>◆ Quantitative indicator for project objective should be set for making the target clear.</li> </ul> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ It is effective to involve women, youth and farmer's unions to take leading role in disseminating project related information.</li> </ul>

Source: JICA3 preparatory survey team (2016)

Those comments given in the stakeholder meetings were carefully considered to examine the overall project design and each project component.

### (1) Comments and Feedback on Environmental and Social issues

The following table summarizes the key comments and feedback on environmental and social issues. As it was an initial consultation during the process of project designing without having

information of detail information for each commune, not many constructive comments and feedback could not be shared by the participants. However, in general, it could be understood that the participants fear the land conflicts over benefits given by the project. In order for avoiding to create conflicts, it is important that the concise and clear information on benefits and duties should be clearly provided to the population from the early stage of the project.

**Major comments/Feedbacks given in the Stakeholder meetings on Environmental and Social Risks**

Project Component	Major comments/feedback
1) Overall comments	<p>Common for 4 provinces</p> <ul style="list-style-type: none"> <li>◆ Concise and clear information on benefits and duties should be clearly provided to the population in the target area.</li> <li>◆ Common explanation even for women and illiterate ethnic minorities.</li> </ul>
2) Forest development Component	<p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ The following risks were raised by the participants. (relating to land) Fear of loss of farming land, increment of conflicts over boundary between villages, and among household in a village, increment of forest encroachment in neighboring communities, (relating to livelihood) conflicts over benefits given by the project activities, reduction of land for food crop cultivation, reduction of area for cattle grazing, loss of right for logging of timber for building/fixing private house, (other social issues) women and old people have less opportunities to participate in the project activities, poor households will be affected due to limitation of collection NTFP.</li> </ul> <p>Lai Chau</p> <ul style="list-style-type: none"> <li>◆ It is not necessarily that the official data and the reality in the field is not consistent. Thus, it is important to share the all results of forest inventory and planning for villagers and confirmed. Participatory forest planning process is inevitable.</li> <li>◆ Considering that crop cultivation has been carried out in the land categorized as “bare land” in reality, the land users in the target site should be definitely included for afforestation and protection activities to be paid.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Detail planning for each village will be necessary to prevent confusion later.</li> <li>◆ To avoid jealous of non-participating communes, it is better to allocate a certain annual budget for all communes.</li> </ul> <p>Hoa Binh</p> <ul style="list-style-type: none"> <li>◆ Potential land/territory disputes among households/villages/communes.</li> <li>◆ To avoid jealous of non-participating communes.</li> </ul>
3) Livelihood Improvement component	<p>Dien Bien</p> <ul style="list-style-type: none"> <li>◆ Do not create any environmental risks, as the small scale infrastructure support is for upgrading, not newly construction.</li> <li>◆ Inequality between project target beneficiaries and non-beneficiaries.</li> </ul> <p>Son La</p> <ul style="list-style-type: none"> <li>◆ Jealous or dispute between those who receive supports and who do not.</li> </ul>

Source: JICA3 preparatory survey team (2016)

## 5. Results of voting slip

At the end of the meeting, all participants were requested to complete a ‘voting slip’. As representatives of their respective agencies and jurisdictions, participants confirmed whether they are willing to participate in the project or not. As a result, except 1 person, all participants agreed and showed interests in participate in the project.

Results of the Voting Slip

Province	Meeting site	Total votes	Yes	No	% of Yes
Dien Bien	Muong Cha & DB PRMB	27	27	0	100%
	Tuan Giao PFMB	16	16	0	100%
	Provincial meeting	24	24	0	100%
	TOTAL	67	67	0	100%
Lai Chau	Nam Ma and Nam Na PFMB (Sin Ho district)	30	29	1	97%

Province	Meeting site	Total votes	Yes	No	% of Yes
	Tan Uyen PFMB (Tan Uyen district)	21	21	0	100%
	Than Uyen PFMB (Than Uyen district)	25	25	0	100%
	TOTAL	76	75	1	99%
Son La	Copia NR, Thuan Chau PFMB (in Thuan Chau district)	36	36	0	100%
	Quynh Nhai PFMB (Quynh Nhai district)	31	31	0	100%
	Xuan Nha NRMB (Van Ho district)	27	27	0	100%
	Provincial meeting	30	30	0	100%
Hoa Binh	Da River PFMB, Phu Canh NRMB (Da Bac district)	43	43	0	100%
	Hang Kia Pa Co NRMB (Mai Chau district)	37	37	0	100%
	Ngoc Son Ngo Luong NRMB (Lac Son district)	37	37	0	100%
	TOTAL	117	117	0	100%

Source: JICA3 preparatory survey result (2016)

The reason why one voter did showed unwillingness to participate in the project was that their commune has devoted tea plantation in a part of forest land area under the project which has been operated by tea estate, collaborating with the provincial government. According to the facilitator, there were other two participants who pointed out the same, however, they did not disagree, realizing that there are more forest land to be protected under this project, and no need to worry about the loss of tea plantation due to the project implementation.

## ***Tables***

**Table A-1 Schedule and Participants of the Stakeholder Meetings**

<i>Date</i>	<i>Location/Venue</i>	<i>Participants</i>	<i>No. of participants</i>
<b>[ Dien Bien Province ]</b>			
24-Jun-16	Office of Dien Bien DARD	Dien Bien DARD (2), Sub-Department of Forestry (1), Dien Bien DPC (1), Dien Bien DiARD (1), Muong Cha DiARD (1), Dien Bien Forest Ranger Station (1) and Muong Cha Forest Ranger Station (1); Forest Management Board: Dien Bien PFMB (2), Muong Cha PFMB (2); Muong Phang NC (2) Commune Gov. staff: Leaders and staff CPCs of Muong Nha (2), Na Tong (2), Phu Luong (2) and Muong Tung (2), Muong Phang (2) and Pa Khoang (2). Mass organisations: Leaders of Communal Women Unions of Muong Nha (1), Na Tong (1), Phu Luong (1) and Muong Tung (1), Muong Phang (1) and Pa Khoang (1) commune Local famers: Muong Nha (1), Muong Tung (1)	27
27-Jun-16	Tuan Giao PFMB	Tuan Giao DPC (1), Tuan Giao Ranger Station (1) Forest Management Board: Tuan Giao PFMB (3) Commune Gov. staff: Leaders and staff of Ta Ma (3) and Phinh Sang (3) Mass organisations: Leaders of Communal Women Unions of Ta Ma (1), Phinh Sang (1); Leaders of Farmer Union Ta Ma (1) and Phinh Sang (1) Local famers: Ta Ma (01)	16
29-Jun-16	Office of Dien Bien DARD	Provincial Gov. agencies: DARD (3), SubDoF (2), SubFPD (2), DiARDs (3), DONRE (3), DiONREs (3), Department of Ethnic minority (2), Dien Bien DPC (1), Tuan Giao DPC (1), Muong Cha DPC (1), DPI (1), Ranger stations (3) Forest Management Boards: Dien Bien (1), Muong Cha (1) and Tuan Giao Protection Forest Management Board (1), Muong Phang NC (1) Mass organisations: Provincial Women's Union (2)	24
<b>[ Lai Chau Province ]</b>			
01-Jul-16	Sin Ho district's meeting room	Forest Management Board: Nam Ma PFMB (3), Nam Na PFMB (2) Commune: Hong Thu CPC (2), Pa Tan CPC (2), Sa De Phin CPC (3), Sin Ho Town's people's committee (2), Chan Nua CPC (2), Nam Han CPC (2), Tua Sin Chai CPC (2), Phan so Lin CPC (1), Nam Cui CPC (2) Mass organizaions: Pa Tan communal women Union (1), Sa De Phin communal women union (1), Tua Sin Chai communal Women's Union (1), Chan Nua Commune women's union (1), Sin Ho town's women's union, Nam Han commune women's union, Nam Cui commune's vietnamese fatherland Frong	30
05-Jul-16	Tan Uyen district's meeting room	Forest management board: Tan Uyen PFMB (2) forests guard in Hua Chang village (Tan Uyen Town)(1) Commune: Ta Mit CPC (2), Nam Can CPC (3), Tan Uyen town's people's committee (1), Tan Uyen town (2), Nam So CPC(1), Nam So CPC(1), Muong Khoa CPC (3) Mass organizations: Ta Mit commune's women's union (1), Muong Khoa commune's farmer's union (1), Muong Khoa commune's women's union (1), Nam Can Commune's women's Union (1), Tan Uyen town's women's union (1), Nam So commune's women's union (1) Team leader of Forest Protection Team in Dan Tuyen Village- Nam So Commune (1), village head of It Chom Tren village (Ta Mit commune), village head of Hua Can Village (Nam Can Town)	25
06-Jul-16	Than Uyen district's meeting room	Forest management Boards: Than Uyen PFMB (3) Communes: Khoen On CPC(3), Pha Mu CPC (3), Muong Mit CPC (3), Ta gia CPC (1), Muong than CPC(3) Mass organization: Khoen On commune's women's union (1), Pha Mu commune women's union (1), Muong Mit commune women's union (1), Muong Than commune women's union (1), Ta Gia commune women's union(1) Village: On village (Khoen On commune) (1), Ve village (Muong Mit commune) (1), Hoa Than village (Muong Than commune) (1), Xa Cuong I village (Ta Gia commune)(1)	25
08-Jul-16	Lai Chau Province's	Province: DARD (Lai Chau province) (5), Lai Chau ethnic council (2), PAEC (2), DONRE (1) Forest Management Board:Nam Ma PFMB (2), Nam Na PFMB(2), Tan Uyen FPMB (2), Than Uyen FPMB(2) Mass organizations: Lai Chau Farmer's union (2), Dept. of Propaganda and training of Lai Chau women's union (1)	20

**Table A-1 Schedule and Participants of the Stakeholder Meetings**

<i>Date</i>	<i>Location/Venue</i>	<i>Participants</i>	<i>No. of participants</i>
<b>[ Son La Province ]</b>			
29-Jun-16	Thuan Chau district	Forest Management Board: Copia Natural Reserve MB(2), Thuan Chau protection forest MB(2) 5 Communes: Chieng Bom(4) , Co Ma(4), Long He(4), Ban Lam Muong Bam(4), Nam Lau(4). (chairman or vice chairman of CPC(1), official in charge of agriculture and forestry (1), official in charge of land management (1), leader of Commune WU(1))	36
30-Jun-16	Quynh Nhai district	Forest Management Boards: Quynh Nhai protection forest MB (4) 6 communes: Ca Nang, Mieng Chieng, Pac Ma, Pha Kinh, Muong Giang, Muong Sai. Each commune: 4 participants (1 chairman or vice chairman of CPC; 1 official in charge of agriculture and forestry; 1 official in charge of land management; 1 leader of Commune WU)	31
04-Jul-16	Van Ho district	Forest Management Boards: Xuan Nha Natural Reserve MB (4) 4 communes: Chieng Xuan(5), Tan Son(5), Xuan Nha(5), Chieng Son(5). (1 chairman or vice chairman of CPC; 1 official in charge of agriculture and forestry; 1 official in charge of land management; 1 leader of Communal WU; 1 head of forest protection team)	27
06-Jul-16	Son La city	DARD (Vice-director)(1), Forest Protection Department (2)(1Leader, 1Technical), PAEC (1), DoNRE (3), Council for Ethnic Minority Affairs (2) , women's union (2), farmer's union (2) Forest Management Boards: Thuan Chau PFMB, Quynh Nhai PFMB, Copia NR, Xuan Nha NR (2 each; 1Leader, 1Technical)	30
<b>[ Hoa Binh Province ]</b>			
21-Jun-16	Phu Canh Nature Reserve headquarters (Da Bac district)	Forest Management Boards: Da River PFMB (2) (1director and head of technical division); Phu Canh NR office (2) (1director and head of technical division) , Da Bac Ranger station (1), Da Bac agriculture division(1) 9 communes: Dong Chum(3), Tan Pheo(3), Dong Ruong(3), Doan Ket(3), Dong Nghe(3), Muong Chieng(3), Suoi Nanh(3), Tien phong,(3) Vay Nua(3) (each commune 3participants (1Chairman of CPC, 1official in charge of agriculture and forestry; 1leader of Communal Women Union).	43
23-Jun-16	Han Kia Pa Co Nature Researve headquarters (mai Chau district)	Forest Management Boards & District: Hang Kia Pa Co Natural Reserve (3) (1vice director, 1head of technical division, 1member of forest protection team) Districts: Mai Chau DPC(1), Mai Chau DAEC (1), Tan Lac DAEC(1), Mai Chau Ranger station(1) 8 communes: Hang Kia, Pa Co, Tan Son, Ba Khan, Tan Mai, Trung Hoa, Ngoi Hoa (each commune 3 participants: 1Chairman of CPC, 1 official in charge of agriculture and forestry ; 1leader of Communal Women Union).	37
24-Jun-16	Ngoc Son-Ngo Luong Nature Researve headquarters (Lac Son district)	Forest Management Boards: Ngoc Son Ngo Luong Natural Reserve MB (4) (vice director, head of technical division and 2 member of forest protection team), Lac Son Ranger station(1), Tan Lac Ranger station(1) District: Lac Son DPC(1), Lac Son district DiARD(1); Tan Lac DPC(1), Tan Lac district diARD(1) 7 communes : Ngoc Lau, Ngoc Son, Tan My, Tu Do, Ngo Luong, Nam Son, Bac Son (each commune 3 participants :1 Chairman of CPC, 1 official in charge of agriculture and forestry ; 1 leader of Communal Women Union).	37
27-Jun-16	Hoa Binh DARD	Vice director of DARD, Forest Protection Department (1 Leader , 1technical), Agriculture Extension Centre (1 Leader, 1 technical), DoNRE (1 Leader, 1 EIA department leader, 1 EIA technical), Council for Ethnic Minority Affairs (1 Leader , 1 technical), Women’s Union (1 Leader , 1technical), Farmer’s Union (1 Leader , 1 technical) The leader of Da River PFMB, Hang Kia Pa Co Natural Reserve, Ngoc Son – Ngo Luong Natural Reserve, Phu Canh Natural Reserve	30



## ***Annex B***

**Annex B     Draft Integrated Environmental and  
Social Management Framework (ESMF)**

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## **Annex B : Draft Integrated Environmental and Social Management Framework (ESMF)**

### **B.1. Project Summary Description**

#### **B.1.1 Project Background and Rationale**

Vietnam's forests covered 14.3 million ha, or about 43% of the total land area in 1943 (de Jong et al. 2006). During the next five decades, serious deforestation reduced forest cover substantially to just 27.8% of the land area by 1990 (FPD, 2010). There were various causes and underlying drivers of forest loss in this period. In the Northwest sub-region a combination of intensive logging to supply construction materials and generate income during the war as well as migration, resettlement and the expansion of populations and agriculture as part of the process of developing the remote hinterlands of the country were the primary reasons for deforestation. Nationally, the remaining forests consisted largely of degraded natural forests or plantations, with primary natural forest estimated at between 1% (FAO, 2010) and 2% of the forested area (RECOFTC, 2011).

In recognition that extensive deforestation posed significant threats to the national environment, economic activities, and people's lives in the country, the Government of Vietnam (GoV) has implemented several national reforestation programmes (e.g. Programme 327, National Five Million Hectare Reforestation Program). By 2009, the forest area had increased by 4.1 million ha and forest cover had been restored to 39.1%. This increase is due to plantation development, natural regeneration and as well as the re-categorisation and inclusion of previously omitted limestone forests. In addition, national forest tenure reform, the availability of new technologies, market opportunities for cash crops and the liberalisation of, and increase in, agricultural output have also contributed significantly to the increase in forest area (Sikor 2001).

The National Forest Development Strategy to 2020 demonstrated the GoV's commitment to maintaining this upward trend with the policy objective to increase forest cover to 42-43% by 2020 (MARD, 2006). This target was increased even further to 44-45% under the 2011-2020 National Forest Protection and Development Plan (FPDP). The latest official statistics indicate forest cover currently stands at 40.4% (MARD, 2014). Beyond increasing forest cover alone, GoV policy promotes forest development to accelerate economic growth, poverty alleviation, and environment protection with special attention to productivity, quality and efficiency of forest production, trade and management.

In order to achieve these goals, the GoV introduced Decision 1565 l in 2013 proposing various reforms to enable the forestry sector to contribute to the economic growth of the country. It provides the long term orientations for reformation of the forestry sector toward 2030 specifying directions of forest development in the respective regions and strategies to i) increase forest areas of the three (3) types of forests, ii) enhance added values of timber products, iii) restructure forest management entities, and iv) mobilize financial resources.

Another key development in national forest policy has been the piloting and development of a national Payments for Forest Ecosystem Services (PFES) mechanism (the first in SE Asia) whereby users of environmental services pay forest owners as well as households and communities for their forest protection services. Indeed, Son La was one of the two provinces in the country to pilot the mechanism. Whilst the overwhelming majority of PFES payments

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<sup>1</sup> No. 1565/QĐ-BNN-TCLN dated July 08, 2013

are made by hydropower communities to upland forest owners, communities and households, Vietnam has also made demonstrable commitments to the development of a National Reduced Emissions from Deforestation and Forest Degradation (REDD+) programme. The country is expected to be 'ready' for REDD+ between 2018-20, and as such would be able to receive international results-based payments for REDD+ activities including avoided deforestation, avoided degradation, sustainable forest management, forest conservation and the enhancement of forest carbon stocks. To this end, the GoV approved the National REDD+ Action Plan (NRAP) in 2012.

In spite of these achievements, the quality of the forests remains poor in many areas, especially in the Northwest sub-region. Bare hillsides and sparsely forested slopes do not provide adequate protection in a part of the country that is among the most vulnerable to the effects of climate change, notably the increased occurrence and severity of hazard events such as flash floods and shifts towards higher temperatures and longer periods without rainfall. Additionally, the Northwest is a mountainous region and among other things is strategically important for hydro-electric power generation. As such a high priority is increasing and improving the quality of watershed protection forests in order to mitigate soil erosion and the subsequent deposition of sediment in reservoirs which can reduce the life of dams. The GoV really wishes to address this problem and achieve its forest development policy goals but unfortunately is constrained by insufficient funds. This is the rationale for the project.

The Japan International Cooperation Agency (JICA) is well-placed to offer this type of assistance and has been supporting GoV in addressing deforestation and forest degradation through the implementation of a number of Japanese ODA projects, such as Rural Infrastructure Development and Living Standard Improvement Project III (Forest Sector) (2002~2008), Sustainable Forest Management in the Northwest Watershed Area (SUSFORM-NOW) (2010-2015), and Protection Forest Restoration and Sustainable Management Project (2012~2021), to name a few. JICA has also recently focused its effort on the support for implementation of the National REDD+ Action Plan through supporting the development and implementation of Vietnam's first provincial REDD+ action plan (PRAP) in Dien Bien. In August 2015, JICA has launched a technical cooperation project named "Sustainable Natural Resource Management Project (SNRMP)" to assist four (4) provinces, namely Dien Bien, Son La, Lai Chau, and Hoa Binh, in the preparation of PRAPs and implementation of pilot activities in selected communities in the provinces. Such experiences and initiatives provide an ideal platform for development cooperation and the implementation of a successful forest development loan project in the Northwest sub-region.

### **B.1.2 Project Objectives**

The project intends to contribute towards the above-mentioned forest sector development policy goals of the GoV in the four Northwest sub-region provinces of Hoa Binh, Son La, Dien Bien and Lai Chau. The overall goals of the Project are: i) sustainable development, management and protection of forests in the Northwest sub-region; ii) improvement of the production values of forest products; iii) conservation of biodiversity; and iv) reduction of poverty and improvement of livelihoods of households living in mountainous areas. In order to achieve these overall goals, the Project specifically aims:

- a) to restore and improve watershed forests in four provinces in the Northwest sub-region for both economic and environmental purposes;

- b) to strengthen the capacity of the local governments and owners of forests, such as, management boards of protection and special use forests, organizations, groups of households, and individuals for sustainable forest management; and
- c) to contribute to the achievement of the goal and objectives of the National REDD+ Action Plan, especially the reduction of greenhouse gas (GHG) emissions through reduction of deforestation and forest degradation in the Northwest region.

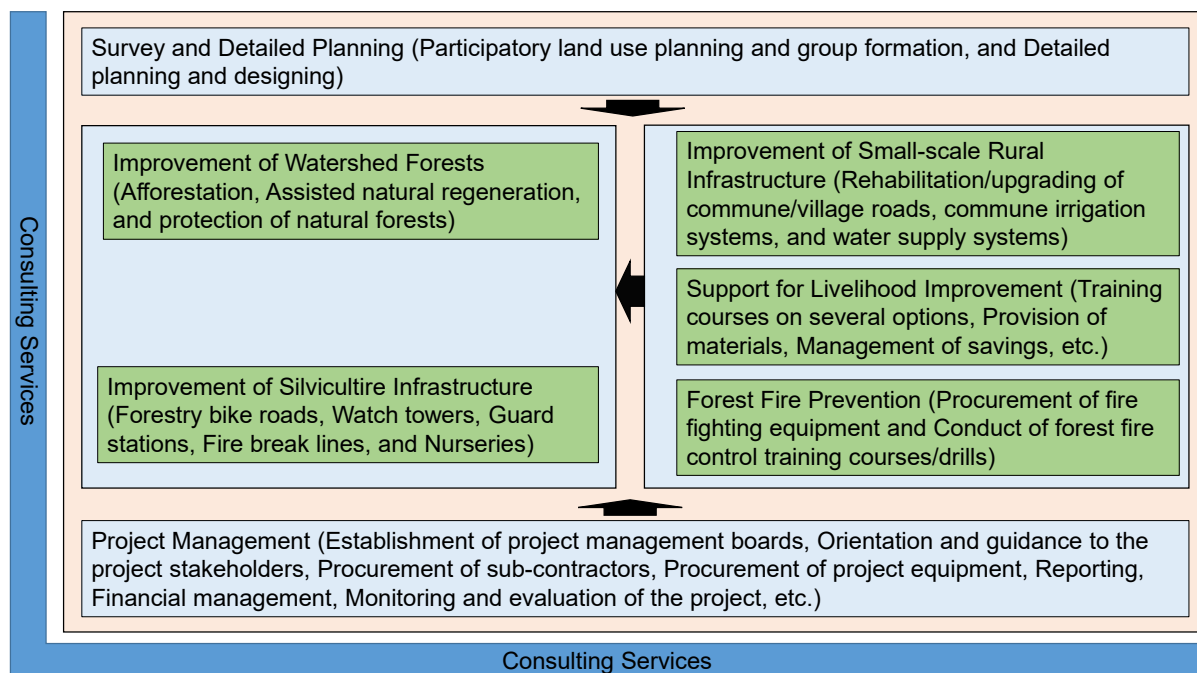
### B.1.3 Project Components and Activities

#### B.1.3.1 Overview

The proposed project is composed of eight components, namely:

- 1) Survey and detailed planning
- 2) Improvement of watershed forests
- 3) Development of silviculture infrastructure
- 4) Development of small scale rural infrastructure
- 5) Support for livelihood development
- 6) Forest fire prevention
- 7) Project Management
- 8) Technical cooperation/consulting services

The project components will interrelate and interact with each other to generate synergy as shown below.



Source: JICA Preparatory Survey Team (2016)

**Fig. B.1.1: Overview of Project Components**

The following table shows the purposes of each component proposed in the project.

### B.1.3.2 Major Purposes of the Project Components

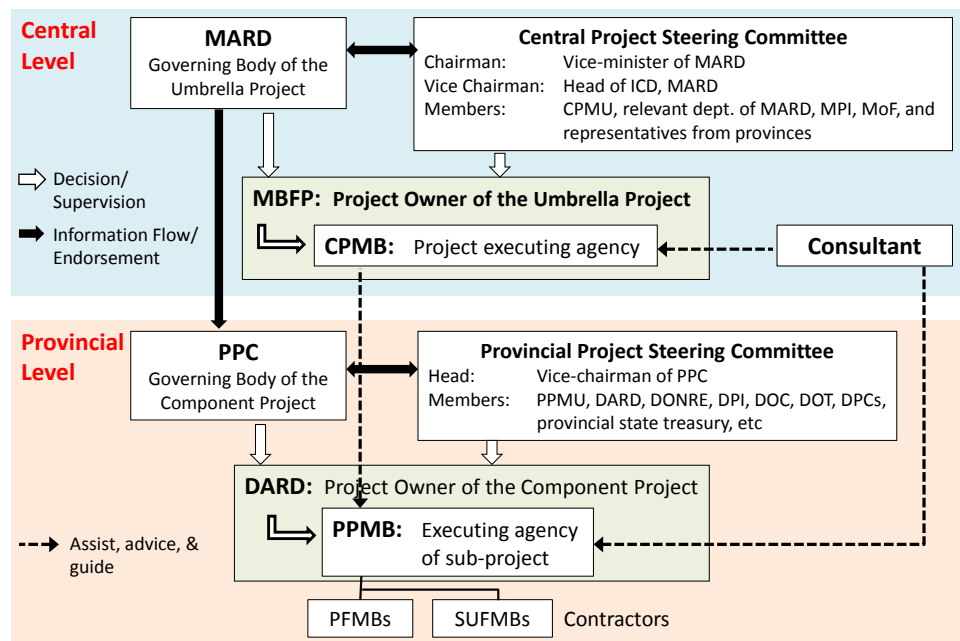
**Table B.1.1: Main Activities and Purposes of the Project Components**

<b>Component</b>	<b>Main Activities/Purpose</b>
Survey and detailed planning	<ul style="list-style-type: none"> <li>- Purchase high resolution satellite images covering the target protection forests and special use forests.</li> <li>- Develop photo-like maps covering the target communes for the participatory land use planning (PLUP)</li> <li>- Conduct PLUP in the communes geographically relating to the target protection forests and special use forests to determine the project areas in a participatory manner.</li> <li>- Select local households and communities who will take part in the project and organize them into village working groups.</li> <li>- Prepare detailed plans of forest development/improvement activities</li> </ul>
Improvement of watershed forests	<ul style="list-style-type: none"> <li>- Restore forests in bare lands/grasslands/bushes in the target protection forests and special use forests located in critical watersheds in a participatory manner.</li> <li>- Improve degraded forests and protect natural forests in the target protection forests and special use forests located in critical watersheds in a participatory manner.</li> <li>- Prepare regulations and decisions on benefit sharing mechanism and collaborative management system.</li> </ul>
Improvement of silviculture infrastructure	<ul style="list-style-type: none"> <li>- Develop and construct silviculture infrastructure, such as motorbike roads, watch towers, guard stations, fire break lines, and information boards, to enable forest owners to manage the target protection and special use forests in a proper and efficient manner.</li> </ul>
Improvement of small-scale rural infrastructure	<ul style="list-style-type: none"> <li>- Improve small-scale rural infrastructure, such as village roads, communal irrigation systems, and water supply systems, which could improve the marketing conditions and increase productivity or profitability of existing or potential income generating activities and/or contribute to the improvement of living conditions in the target communes/villages.</li> </ul>
Support for livelihood improvement	<ul style="list-style-type: none"> <li>- Identify priority potential income generating/livelihood development activities in the target communes.</li> <li>- Develop strategies for marketing major forestry and agricultural products in the target provinces.</li> <li>- Develop the capacity of local communities to introduce new techniques and skills for improvement of agricultural production, sustainable forest management, utilization and processing of NTFPs, and production of any marketable commodities.</li> <li>- Help the village working groups/group members save a certain amount of payments made by the project for forest development, improvement and protection activities and to effectively use the savings for livelihood improvement of the members and forest protection in the post project period.</li> </ul>
Forest fire control	<ul style="list-style-type: none"> <li>- Capacitate forest rangers and local communities to prevent and control forest fires by provision of fire extinction equipment and training on forest fire control.</li> </ul>
Project management	<ul style="list-style-type: none"> <li>- Establish organizational structures at both the central and provincial levels and deploy/hire project officers for project implementation and management.</li> <li>- Prepare the project implementation guidelines/regulations for CPMB and PPMBs.</li> <li>- Prepare technical handbooks for PFMBs, SUFMBs, and village working groups.</li> <li>- Procure project equipment for CPMB and PPMBs.</li> <li>- Develop a GIS-based monitoring system.</li> <li>- Make CPMB, MBFPs, PPMBs, DARDs, PFMBs, and SUFMBs understand the project concept, guidelines/regulations and procedures for project implementation</li> <li>- Help CPMB, MBFPs, PPMBs, and DARDs implement and manage the project in a proper and effective manner.</li> <li>- Make CPCs and local communities in the target communes/villages aware of the project (outlines, concepts, activities, expected benefits and obligations of the communities).</li> <li>- Help PFMBs, DPCs, CPCs, and extension workers provide technical assistance to local communities.</li> <li>- Check physical and financial progress of the project and detect issues/problems that would affect the project implementation at an early stage.</li> <li>- Provide adequate data and information to the project owners and project implementation agencies for proper project management on a timely manner.</li> <li>- Support the relevant forest management boards (PFMBs/SUFMBs) concerned in monitoring the changes of forest cover in the project areas and reporting the annual changes to DARDs/PPCs.</li> <li>- Evaluate the impact of the project.</li> </ul>
Technical cooperation / Consulting services	<ul style="list-style-type: none"> <li>- Assist CPMB and PPMBs in the implementation and management of the project in an effective and proper manner.</li> <li>- Provide necessary coaching and guidance to the relevant stakeholders, especially CPMB and PPMBs, for improvement and enhancement of their managerial, administrative, and technical capacities.</li> </ul>

Source: JICA Preparatory Survey Team (2016)

## B.1.4 Project Implementation Arrangements

The diagram below illustrates the proposed project implementation arrangements.



Source: JICA Preparatory Survey Team (2016)

Figure B.1.2: Project Implementation Set-up

The project is categorized as a ‘joint project’ whereby MARD and the respective PPCs will have overall responsibility for project implementation. The Management Board of Forestry Projects (MBFP) and the respective provincial DARDs will be assigned as the joint owners of the project. A Central Project Management Board (CPMB) will be established at central level and Provincial Project Management Boards (PPMBs) will be established in each of the four provinces. Thus, overall project implementation is guided and supervised by the CPMB whilst the PPMBs are responsible for providing more detailed supervision and guidance in the provinces. Nature Reserve and Protection Forest Management Boards (NRMBs and PFMBs) are responsible for implementing the project components and activities on the ground at the various sites.

## B.2. Objectives and Scope of the Integrated ESMF

### B.2.1 Selection of Safeguards Instruments

The following section explains the selection of safeguards instruments for the management and mitigation of environmental and social impacts/risks associated with the project. The JICA guidelines indicate that several safeguards instruments may be required for the management of environmental and social risks in a project of this nature, including;

- An Environmental and Social Management Plan (and draft monitoring plan)
- Resettlement Plan (if required)
- Indigenous Peoples Plan (IPP – if required)

An instrument for the management and mitigation of identified environmental and social impacts/risks is certainly required for a Category B project. However, it is necessary to clarify which safeguards instrument(s) is most appropriate to apply in the context:



### **B.2.1.1 Environmental and Social Management Framework**

The main safeguards instrument is an Integrated Environmental and Social Management Framework (ESMF) and not an Environmental and Social Management Plan (ESMP). The reason for this is that unlike a typical infrastructure project, the project will have multi-faceted interventions and activities, implemented at numerous sites with many sub-projects and many of these sub-projects are as yet defined in detail (site location, size/scope of the activity). Thus, it would be impossible at this stage in project preparation to assess the environmental and social impacts and propose management and mitigation measures accordingly. However, it is feasible to assess the broad types of activities proposed and provide guidance on what the size/scale/scope of the sub-project should be as well as outline procedures for managing and mitigating any potential risks associated with the activity during implementation. Therefore, a framework guiding the management and mitigation of environmental and social risks in implementation is developed.

The ESMF is comprised of several sets of procedures but for ease of reference are integrated within one document, including measures for eliminating subprojects with significant impacts, Environmental Management and Monitoring procedures, a framework for consultation and participation and a grievance redress mechanism.

### **B.2.1.2 Resettlement Plan**

A Resettlement Plan/Framework will not be prepared because there will no physical relocation nor involuntary resettlement at all in the project (nor linked to the project).

Although the JICA Guidelines are not explicit in terms of defining ‘involuntary resettlement’ and in the text mainly discuss physical relocation, its policies are consistent with those of the World Bank and other major multilateral development agencies. Hence, the involuntary resettlement could additionally refer to i) the loss of assets or access to assets; ii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or iii) the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons. As such, the case for a resettlement plan or framework should be made. Likewise, an abbreviated resettlement action plan (A-RAP) should also be required for projects where such involuntary resettlement would be on a small scale.

In this project, any types of involuntary resettlement is not expected to take place as long as the proposed FCIP process and procedures will be taken and the negative checklist will be fully utilized in the selection of the project areas and scope of the sub-projects.

There are quite likely sensitive informal land acquisition issues at a number of the PF and SUF sites where there are latent land conflict issues i.e. the potential acquisition of lands for afforestation and ANR which have not been formally allocated to households or communities but which are claimed as areas of customary or traditional use. It is proposed that where this is the case, the situation would be resolved through consultation and participatory land use planning, whereby an affected household/community may agree (or not) to voluntary land acquisition in return for prioritisation to receive project benefits (and/or other related benefits such as PFES payments) or a land swap. If the household/community does not agree and is able to provide sufficient evidence of the validity of their claim, the land area must not be included in the planned afforestation/ANR area. In this way, involuntary resettlement can be eliminated from project activities and/or is addressed through the Consultation and Participation Guidelines which includes participatory land use planning.

Finally, although the project will support forest development at several protected area sites there are no activities within the project that involve a significant strengthening of restrictions on access. As discussed above there is the potential for some loss of assets, access to assets and/or loss of access to a means of livelihood, however this will be in general avoided, managed and mitigated through the ESMF and attached procedures.

### **B.2.1.3 Ethnic Minority Development Plan**

Vietnam does not use the term indigenous peoples in reference to peoples within its own borders. Vietnam does however recognise ‘ethnic minorities or ethnic minority groups’. These minority groups share many equivalent characteristics with the definition of ‘indigenous peoples’ and typically, major international development agencies apply the policies relating to IPs and require the preparation of an Ethnic Minority Development Plan (EMDP) for projects which affect ethnic minority populations in Vietnam.

A stand-alone EMDP has not been prepared for two reasons; i) for the same reason as above that a framework is selected because it has not been possible within the short preparatory survey to assess impacts at all sites particularly when detailed activities and sites cannot be clearly fixed; and ii) because Ethnic Minorities represent the majority of populations at project sites. In place of an EMDP or framework, ethnic minority issues are fully integrated into the ESMF and project implementation procedures themselves to avoid repetition and confusion – it is clearer and easier to follow than having an ESMF and an EMDP.

The ESMF includes guiding measures and procedures to ensure that the constituent and substantive elements required for an IPP are met in the process of developing detailed action plans for project implementation at each site. These substantive elements include:

- Summary of the Social Assessment
- Summary of the results of free, prior and informed consultation with the affected ethnic minority groups in site-level project planning
- A framework for ensuring continued free, prior and informed consultation with the affected ethnic minority groups throughout project implementation
- The site-level action plan (ensuring culturally appropriate social and economic benefits)
- Mitigation actions/measures for identified adverse impacts (included in the plan)
- Cost estimates and financing plan
- Monitoring and evaluation of the plan

Further details on site-level project planning, including the above elements is provided in **Appendix-D – The Consultation and Participation Guidelines**.

### **B.2.1.4 Conclusion**

The main safeguards instrument will be an ESMF that fully considers and integrates ethnic minority issues as a central feature. Another important feature of the ESMF is that it is designed to be as compatible as possible with existing environmental and social systems in Vietnam. In this sense it is believed that the ESMF will likely be largely sufficient to address and respect Cancun environmental and social safeguard requirements through a future country approach to safeguards. Where there are important gaps between Vietnamese environmental and social management systems and the Cancun Safeguards and JICA requirements they are addressed appropriately e.g. Vietnamese legislation does not rule out conversion of natural forest but this

is a primary requirement for a REDD+ activity under the UNFCCC, therefore it is also eliminated under this project.

## **B.2.2 ESMF Objectives**

The Sustainable Forest Development Project in the North-west Sub-region is expected to have largely positive environmental impacts. It is also expected to present some social benefits for local and predominantly poor ethnic minority communities in the project area. However, the project could also present some potential negative environmental and social impacts. The integrated ESMF is prepared to ensure that such impacts are safeguarded against in accordance with JICA's policies on environmental and social considerations in development projects, as well as Vietnam's own relevant policies, laws and regulations.

The ESMF aims to manage the potential adverse impacts by establishing a guide consisting of a set of relatively simple procedures and measures to facilitate adequate environmental and social management, including risk management of environmental and social impacts, in relation to the activities to be financed by the project.

## **B.2.3 ESMF Principles**

The ESMF has been designed based on the following principles.

- The ESMF should be designed in accordance with JICA's policies and 'Guidelines for environmental and social considerations' in development projects.
- The ESMF should be prepared based on consideration of a wide range of environmental and social considerations.
- The ESMF should include tangible measures and procedures to address, avoid, manage, minimize and mitigate the full range of environmental and social risks identified.
- The ESMF should propose safeguards measures that are appropriate and feasible to context, i.e., where possible appropriate to the existing legal and institutional systems on the ground. Where gaps between country systems and JICA policies are identified, specific project-based safeguards solutions should be relatively straight-forward and implementable, at a reasonable cost and achievable with some investment where necessary in capacity-building for appropriate actors or institutions.
- The ESMF should be an integrated document, a 'one-window' reference covering all relevant environmental and social considerations (as opposed to separate documents for environmental management, resettlement, indigenous peoples, gender etc.).
- The ESMF should be comprised of simple and straightforward procedures and measures for ease of implementation.
- The ESMF should be agreed by key project stakeholders through consultation.

## **B.2.4 Focus of the ESMF**

### **B.2.4.1 Key Conservation Landscapes, Ecosystems, Fauna and Flora**

The ESMF includes measures to avoid, minimise, manage and mitigate all potential environmental risks associated with implementation of the project activities. However, as a forestry development project implemented in the forested regions of mountainous Northwest Vietnam, the main concern from an environmental safeguards perspective relates to landscapes, ecosystems and sites of significance to biodiversity conservation as well as the species of fauna and flora they support.

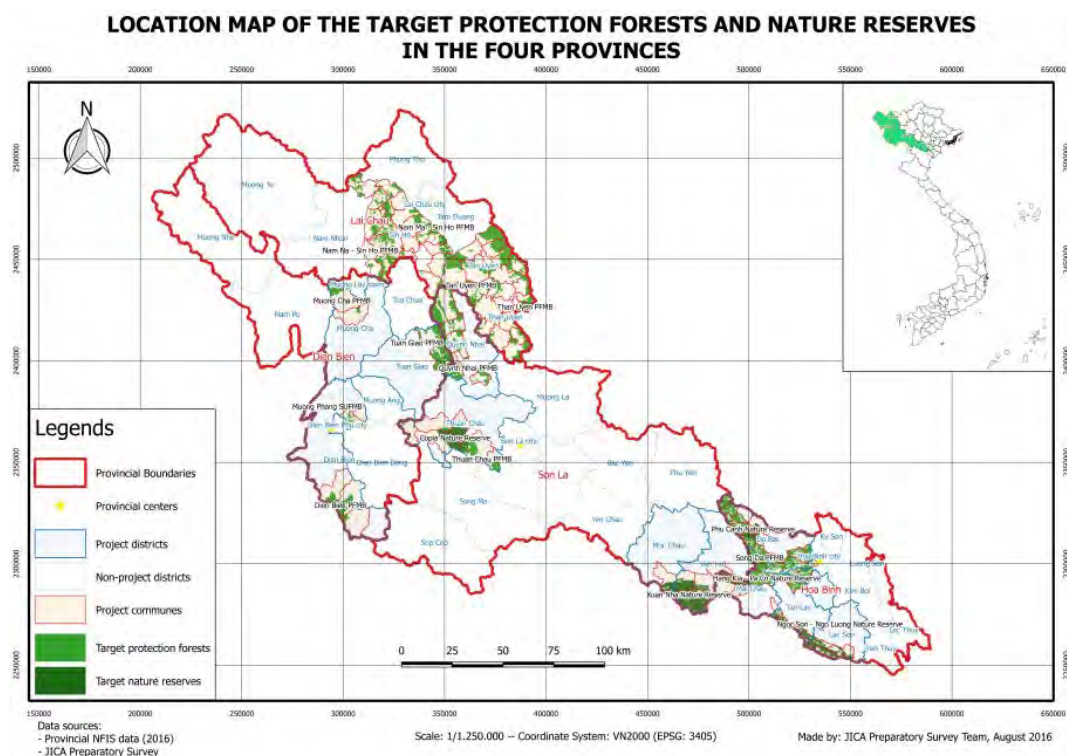
Vietnam is recognised as one of the most ecologically diverse countries on the planet, recognised for its unique species and high levels of species richness and biological endemism. Vietnam's wealth of biological diversity stems from its complex geology and climate and its geographic location in the sub-tropics. In terms of the country's geological history, Vietnam's mountains have developed as composites of marine sediments, rocks of metamorphic and volcanic origin, and ancient uplifted basement formations. This complex geology and the variety of rock types is the reason for much of the endemism as unique species of both flora and fauna have evolved in isolation or to suit specific ecological niche conditions. Meanwhile, long-term oscillations in climatic conditions seem to have greatly affected distribution and dispersal of species in Southeast Asia, and especially in Vietnam. In addition, the country's geographic location also mean that there are quite significant seasonal fluctuations in climate, which also create conditions conducive to biological diversity and endemism<sup>2</sup>.

The north-western region of Vietnam is recognized as a priority area for conservation. It is considered as one of the main regions of plant diversity in Vietnam, in particular the limestone range that extends south-east from the Son La plateau through Hang Kia –Pa Co, Pu Luong and Ngoc Son – Ngo Luong Nature Reserves to Cuc Phuong National Park in Hoa Binh Province, which has been recognised as a priority landscape for biodiversity conservation within the lower Mekong eco-region. Meanwhile, part of the North-eastern part of the project area (i.e Than Uyen PF area) falls within another globally significant conservation landscape, as part of the southern reaches of the Hoang Lien Son Mountain range, which extends north through Lao Cai Province, into China and beyond. The Hoang Lien Son is the southern-most extent of the Himalayan mountain chain. The Hoang Lien Mountain Range with an altitudinal range from 300 to 3,143 meters lies at the junction of two biogeographic realms (Palearctic and Indomalayan), and three biomes (tropical dry forests/woodlands, tropical humid forests, and subtropical/ temperate rainforest/woodlands). The montane flora of the Hoang Lien Mountains therefore contains a unique assemblage of species representing these different biogeographic realms and biomes. Nguyen Nghia Thin (1998), estimates that this mountain range is home to 25% of Vietnam's endemic plant species. In addition to endemic species, many threatened and relict species survive in the Hoang Lien Mountains. While mammal diversity and distribution is relatively low as a result of intensive hunting pressure the Hoang Lien Mountains are rich in other animal groups

The preparation survey has identified a total of 6 protected areas within the Northwest provinces as potential target sites for project implementation, as shown in Fig 2.1 below.

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<sup>2</sup>



Source: JICA Preparatory Survey Team (2016)

**Fig. B.2.1: Location Map of Protection Forests and Nature Reserves in the Target Provinces**

Summary profiles of these sites and their conservation importance are presented below:

**Project Protected Area Sites in Hoa Binh Province**

- 1) **Hang Kia – Pa Co Nature Reserve** is located in the extreme west of Hoa Binh province, on the border with Son La province. The site lies in the limestone range that extends south-east from the Son La plateau to Cuc Phuong National Park. The main physical feature within the NR is a high ridge, which reaches 1,536 m in the north-west of the nature reserve.

Three orchid species thought to be new to science were recently discovered at the site, and the site may be of importance for the conservation of a number of other plant species of conservation concern. However, because the remaining forest at the site is heavily disturbed and fragmented, and continues to be degraded as a result of human activities, it is unlikely that Hang Kia – Pa Co is of high importance for the conservation of bird and mammal species.

- 2) **Ngoc Son – Ngo Luong Nature Reserve** was established in 2004 with a total area of 19,254 ha. The NR is a key site located within the Cuc Phuong – Pu Luong Karst Conservation Landscape which is believed to encompass much of the remaining limestone-associated species-richness in this region, and is recognized as a priority landscape for biodiversity conservation within the lower Mekong eco-region. Ngoc Son- Ngo Luong is comprised of a limestone range which forms a corridor connecting Cuc Phuong National Park to Pu Luong Nature Reserve. The NR plays an important role in preserving not only its own geological and biodiversity values but also the values of the limestone landscape as whole.

The NR is home to several endemic, rare and endangered species of global importance, including the plants *Anoectochilus setaceus*, *Diospyros sallet*, *Garcinia fagraoides*, *Excentrodendron tonkinensis*, together with many threatened fauna species such as the Sumatran Serow *Naemorhede sumatraensis*, King Cobra *Ophiophagus hannah*, Rhesus Macaque *Macaca mulatta*, and some typical birds such as the Great hornbill *Buceros bicornis*, which are all listed in the Vietnam Red Data Book and IUCN Red List.

- 3) **Phu Canh Nature Reserve** was established in 2001 with a total area of 5,304 ha. The NR is located in Da Bac district, in the north-west of Hoa Binh Province. The site is centred on Mount Phu Canh, a 1,430 m mountain to the north of the Black River.

The NR supports a significant area of lower montane evergreen forest some which still retains primary forest status with many kinds of precious and rare fauna and flora species, endemic to the northwest region of Vietnam. Initial surveys show that the flora species composition includes different types of timber trees which are of high value to various aspects of the national economy. According to previous surveys, the NR contains up to 188 flora species of 81 families. Many of them are listed in the Vietnam Red Data Book such as *Fokienia hodginsii*, *Parashorea chinensis*, *Podocarpus fleurigi*. Initial surveys at the time of the establishment of the NR also recorded 23 mammal species of 6 orders, 21 bird species of 7 orders, 7 reptile/amphibian species of 3 families. Many species are listed in the Vietnam Red Data Book such as Asiatic black bear *Ursus thibetanus*, Sumatran Serow *Capricornis sumatraensis*, Pygmy Loris *N. pygmaeus*, Stump-tailed macaque *Macaca arctoides*, Chinese cobra *Naja atra*, King cobra *Ophiophagus hannah*.

Besides the rich and diverse fauna and flora species, Phu Canh NR is the catchment area of some major springs that supply water for agricultural production and living support to people in the NR area and adjacent communes.

### **Project Protected Area Sites in Son La Province**

- 1) **Copia Nature Reserve** was established in 2002 with a total area of 14,728 ha and is located in Thuan Chau District in the north of Son La Province. The NR is comprised of mixed broadleaf forest, conifers, and degraded sub-montane forest (distributed at elevations between 1700-1821 meters; closed forest leaves evergreen monsoon broadleaf subtropical (elevations between 800-1700 m), secondary forests, high grasslands and shrub pine plantation.

609 higher plant species have been identified at the site including 21 rare species in the Red Data Book of Vietnam 2007 (EN level 5 species, 16 species level VU). Meanwhile, surveys identified 65 species of mammals, amphibians and reptiles, of which 17 are listed in the Vietnam Red Book 2007 (EN - 7 species, VU - 8 species, CR - one species, LR - 1 species). In terms of avifauna, 184 birds have been identified including 20 rare bird species in the Red Data Book of Vietnam in 2007 with six endemic subspecies. For herpetological fauna 22 amphibian species and 36 reptiles were identified. 13 species are listed in the Red Data Book of Vietnam in 2007.

- 2) **Xuan Nha Nature Reserve** was established in 1986 with a total area of 22,943 ha located in Moc Chau District. The western boundary forms part of the border with Lao PDR. The Nature Reserve is difficult to access due to fragmented terrain and steep slopes; the highest peak in the Nature Reserve is Pha Luong, with a height of 1,969 m a.s.l. These conditions have created the unique and diversified flora and fauna characteristic of ecosystems of Northwest upland regions of Vietnam.

Ecosystem and biodiversity studies and surveys have recently show that the NR is very rich in terms of nationally and globally important biodiversity. According to survey data gathered in 2007, the NR contains at least 357 vascular plant species, belonging to 633 genera or 180 families of six flora phylum, including 80 species which are listed in Vietnam’s Red Data Book. The current fauna comprises of 345 species, belonging to the four classes (i.e., mammals, birds, reptiles, and amphibians).

Xuan Nha holds populations of many endangered fauna and flora, which are listed within the Vietnam Red Book. Regarding flora in the NR, there includes *Fokensia hodginsi*, *Madhuca pasquieri*, and *Aquilaria crassna*, and others. Regarding fauna in the NR, these include Gaur *Bos gaurus*, Sumatran Serow *Naemorhedus sumatraensis*, Asiatic black bear *Ursus thibetanus*, *Malayan sun bear Ursus malayanus*, Pig-tailed macaque *Macaca nemestrina* and others.

**Project Protected Area Sites in Dien Bien Province**

- 1) **Muong Phang Nature Reserve** was established in 1986 as a cultural and historical site with 1,000 ha. The site has been expanded in recent years and now has a total area of 2,403 ha, although most of this apparently is still on land allocated to households. Work is ongoing to further expand the site including through incorporation of the protection forest area of Pa Khoang.

There is limited available information on the biodiversity values of Muong Phang, however they can be assumed to be fairly low since almost all of the forest was cleared. The site has recovered to some extent and the potential expanded area of Pa Khoang also supports good planted forest.

**B.2.4.2 Target Social Groups**

The ESMF will be applicable to all communities and peoples within the project area and it will focus on ensuring that particular vulnerable groups are adequately consulted in site-level project and land use planning, are specifically included as beneficiaries, receive appropriate benefits, actively participate during implementation, and that there are mechanisms to address a project-related grievances. The table below indicates the groups the ESMF is aimed at protecting, although it should be noted that an individual or household may fall into more than one of the categories below.

**Table B.2.1: ESMF Key Social Groups**

Group	Description/Rationale
<b>1 Poor/Below Near Poor Households</b>	Poor households tend to be more dependent on forest resources and are thus disproportionately impacted by forest protection and development activities. For various reasons they may also be excluded from decision-making processes and equitable opportunities to benefit from development interventions.  In Vietnam, there is also a ‘near-poor’ category of household socio-economic status. Such households should also be considered vulnerable as many, although better off than the poor, remain in a precarious position and can easily slip back into poverty. Some of these households were formerly categorized as poor but have become ‘near poor’ following a change in the way the GoV defines and calculates poverty.
<b>2. Landless</b>	The landless are often highly dependent on forest resources for their daily subsistence needs and as a safety net in times of duress. Development interventions can also often neglect this disadvantaged group as investments target farmers who have land and assets. In NW Vietnam, many upland ethnic minority farmers have still not been formally granted land rights for agricultural, forest and settlement land. Without any available alternatives, the majority will continue to clear land and cultivate ‘illegally’ but the lack

Group	Description/Rationale
	of formal land rights adversely impacts their livelihoods in a number of ways, not least that without a LUC, farmers are not eligible for preferential/subsidized credit. Many of the landless therefore become trapped in a cycle of debt and are effectively indentured to informal moneylenders who charge extortionate interest rates.
<b>3. Ethnic Minorities</b>	<p>Ethnic minorities in Vietnam share many of the same or similar characteristics as ‘indigenous peoples as defined by the World Bank and other major multilateral development agencies. They are characterized by having their own distinctive cultural and spiritual beliefs, practices and institutions, they have their own languages, they often inhabit specific more geographically remote or isolated areas and agro-ecological zones and are highly dependent on forest lands and natural resources in their daily livelihoods. Ethnic minorities in the mountainous NW region specifically, are amongst the poorest and most vulnerable groups in the country.</p> <p>Ethnic minorities comprise the overwhelming majority of the population in Vietnam’s NW provinces and especially in the remote forest areas. The major ethnic minority groups in the region are Thai, Muong, H’mong, and Dao. It is noted that certain ethnic minority groups are poorer and more vulnerable than others, particularly those groups which tend to reside in the highest and most remote areas such as the H’mong and to a slightly lesser extent the Dao. However, this is not always true and it should also be noted that there are numerous sub-groups (e.g. Black/White Thai, Black/Blue/White/Flower H’mong, Red Dzao etc) again with their own slight distinctions. Many of the mountainous groups traditionally practice shifting cultivation although many communities’ agricultural practices are becoming more sedentary as land availability, conflict and pressure becomes increasingly an issue.</p>
<b>4. Women and Female Headed Households (FHH)</b>	<p>In traditional patriarchal ethnic minority societies women are often excluded by socio-cultural norms and practices from decision-making processes and development interventions do not meet their needs. In NW Vietnam, upland ethnic minority women are often further disadvantaged due to high girl drop-out rates from formal education (earlier than boys) and as a consequence their Vietnamese language ability is weaker affecting their ability and confidence to participate effectively in community meetings.</p> <p>Women also play a specific and differentiated role in terms of agricultural production and forest management within different ethnic minority household divisions of labour (e.g. sowing, tending/weeding, marketing/selling produce, collection of NTFPs, craft production). FHH are a particularly vulnerable sub-group with a typically limited asset base and high levels of forest dependency</p>

Source: JICA Preparatory Survey Team (2016)

The project will be implemented in the Northwest. The overwhelming majority (80%) of the population in this sub-region are from ethnic minority groups. This figure would be even higher, likely well-over 90% with respect to the affected populations at the project target sites. Given the particular concern over ethnic minorities (as indigenous peoples in the Vietnam context), and the fact that this ESMF intends to integrate the substantive elements of an ethnic minority development framework, further information on these groups is presented as follows.

The table below presents data on the ethnic composition of populations in the four target provinces.

**Table B.2.2: Ethnic Minority Populations in the Target Provinces**

Province	Ethnic Minorities (EM)	Total Population	EM Population	EM (%)
<b>TOTAL</b>	Major groups are: Thai, Hmong, Muong, Dao	<b>2,722,820</b>	<b>2,178,098</b>	<b>80</b>
<b>Dien Bien</b>	32 groups, major groups are Thai, Hmong, Kho Mu, Dao, Lao, Khang	<b>491,046</b>	<b>399,984</b>	<b>81</b>



Province	Ethnic Minorities (EM)	Total Population	EM Population	EM (%)
	Thai		186,270	38
	Hmong		170,648	35
	Kho Mu		16,200	3
	Dao		5,251	1
	Lao		4,564	1
	Khang		4,220	1
<b>Son La</b>	40 groups, major groups are Thai, Hmong, Muong, Xinh mun, Dao, Kho Mu, Khang, La Ha	<b>1,076,055</b>	<b>886,594</b>	<b>82</b>
	Thai		572,441	53
	Hmong		157,253	15
	Muong		81,502	8
	Xinh mun		21,288	2
	Dao		19,013	2
	Kho Mu		12,576	1
	Khang		8,582	1
	La Ha		8,107	1
<b>Lai Chau</b>	35 groups, major groups are: Thai, Hmong, Dao, Ha Nhi, Giay, La Hu, Kho Mu, Lao, Lu, Mang	<b>370,502</b>	<b>313,872</b>	<b>85</b>
	Thai		119,805	32
	Hmong		83,324	22
	Dao		48,745	13
	Ha Nhi		13,752	4
	Giay		11,334	3
	La Hu		9,600	3
	Kho Mu		6,102	2
	Lao		5,760	2
	Lu		5,487	1
	Mang		3,631	1
<b>Hoa Binh</b>	32 groups, major groups are: Muong, Thai, Tay, Dao, Hmong	<b>785,217</b>	<b>577,648</b>	<b>74</b>
	Muong		501,956	64
	Thai		31,386	4
	Tay		23,089	3
	Dao		15,233	2
	Hmong		5,296	1

Source: Compiled by JICA Preparatory Survey Team based on GSO Statistics

## B.2.5 Scope of the ESMF

The ESMF is applicable to all project components and their associated activities in all project provinces and at all project sites. As an integrated ESMF it is comprised of several elements covering different environmental and social safeguards requirements, including:

- 1) **Negative Checklist:** Eliminates activities and/or provides conditions so as to ensure the scope and scale of project impacts do not exceed that of its categorisation level i.e. Category B)
- 2) **Environmental Management and Monitoring Procedures:** Provides guidance for meeting environmental planning requirements for management and mitigation of small-scale infrastructure sub-projects.
- 3) **Consultation and Participation Guidelines:** Provides guidance for free, prior and informed consultation (FPIC) processes, stakeholder engagement and participation,

grievance redress and serves to meet ethnic minority development planning requirements.

The ESMF notes in its discussion of environmental and social considerations that there are certain planned activities that were initially proposed within the scope of the project, which have potentially significant impacts on ethnic minority land claims/rights and have subsequently been removed from the loan project design during the preparatory survey. However, the activities are ongoing in any case and may be completed prior to the project loan implementation period or may continue during implementation with alternative (e.g. GoV) financing. It is proposed however that such activities are linked/related to the project, will be taking place in parallel to the intervention after Feasibility Survey (FS) stage and therefore JICA safeguards policies should be applicable. Thus, the scope of the ESMF goes beyond the loan financed project activities themselves and includes such linked actions.

The ESMF is also designed to consider the fact that the project is also being developed as a contribution to REDD+ actions in the four target provinces. As such, Vietnam is in the process of developing its national mechanism or programme for REDD+ compliant with the UNFCCC text on REDD+, including the text on REDD+ safeguards. Whilst reporting on how the safeguards are addressed and respected is only at the national level, it will be necessary to have in place measures at the sub-national levels to implement or operationalise the safeguards. It is not presently clear how Vietnam will do this and what may be future sub-national safeguards requirements. However, this ESMF does consider the international REDD+ safeguards requirements in its design, and through the implementation of the proposed measures and procedures would also aim to meet the environmental and social safeguards requirements of the UNFCCC, especially since they are not inconsistent with JICA's own safeguards policies.

### B.3 Existing Environmental and Social Management Systems

The following section focuses on the existing environmental and social management systems in Vietnam and examines the potential for implementing the project in a manner consistent with the JICA Guidelines. As such, an overview of the environmental and social legal framework is presented, institutional arrangements processes and procedures for its implementation, and highlighting where there may be areas of concern (i.e. gaps vis a vis the JICA guidelines).

#### B.3.1 Environmental Management System

##### B.3.1.1 Relevant Environmental Policies, Laws and Regulations

The table below identifies the main environmental safeguards policies, laws and regulations relevant to the types of activities that have been proposed under the project.

**Table B.3.1: List of Relevant Environmental Policies, Laws and Regulations**

Policy/Law		Relevance and Main Provisions
<b>1.</b>	<b>Environmental Assessment and Monitoring</b>	Relevant to project activities which may require environmental clearance (e.g. especially infrastructure development activities)
<b>a.</b>	Law on Environmental Protection No. 55/2014/QH13 issued by the GoV	Regulates protection of the environment
<b>b.</b>	Decree No. 18/2015/ND-CP issued by the GoV	Implements environmental protection planning, Strategic Environmental Assessment (SEA), Environmental Impact Assessment (EIA) and Environmental Protection Plans (EPP)

c.	Circular No. 27/2015/TT-BTNMT issued by MoNRE	Details a number of articles of Decree 18/2015/ND-CP on SEA, EIA and Environmental Protection Commitments.
d.	Circular No. 09/2014/TT-BNNPTNT issued by MARD	Regulates the implementation of SEA, EIA in relation to activities of MARD
<b>2.</b>	<b>Forest Protection and REDD+</b>	The project is focused on forest protection and development activities, including as a contribution to REDD+ implementation in the target provinces.
a.	Forest Sector Development Strategy 2006-2020, approved by PM Decision No. 18/2007/QD-TTg	Provides overall strategic orientation for the forestry sector in Vietnam with specific economic, social and environmental objectives.
b.	National REDD+ Action Plan approved by PM Decision 799/QD-TTg	Outlines a programme of work for the development of REDD+ in Vietnam
c.	Law on Forest Protection and Development No. 29/2004/QH11 issued by the Government	Provides for the management, protection, development and use of forests and forest owners' rights and obligations
d.	Decree No. 23/2006/ND-CP	Provides for forest assignment, planning; lease/recovery, change of forest use purposes and exchange; recognition, registration, sub-lease, capital contributions and forest use rights or ownership of planted production forests; inventory and monitoring of changes in forest resources; organisation of forest management, protection, development and use.
e.	Decree 186/2006/ND-CP	Covering regulations on forest management
<b>3.</b>	<b>Biodiversity Conservation and Protected Areas</b>	The project includes target sites which are protected areas and/or important sites for biodiversity conservation
a.	National Biodiversity Strategy toward 2020 and Vision up to 2030, approved by PM Decision No. 250/QD-TTg	Outlines key strategies to improve the protection, management and monitoring of biodiversity in Vietnam.
b.	Law on Biodiversity No. 20/2008/QH12	Regulates biodiversity
c.	Decree No. 65/2010/ND-CP	Detailing and guiding the implementation of a number of articles of the Law on Biodiversity
d.	Decree No. 117/2010 ND-CP of the GoV	Guides organisation and management of Special Use Forests

Source: JICA Preparatory Survey Team (2016)

The existing environmental safeguard policies, laws and regulations in Vietnam are basically consistent with international standards. In particular, the recently revised LEP 2014 has significantly improved and closed the gap in terms of Environmental Management and Monitoring procedures. As such, there are not many gaps identified between JICA Guidelines for Environmental and Social Considerations. However, a key gap in the legislation which is identified considering that the project is also intended to contribute to the implementation of REDD+ in the target provinces is that Vietnamese legislation does not prohibit the conversion of natural forest, which is a very clear and explicit requirement in the implementation of REDD+ under UNFCCC (Cancun Safeguard e). Therefore, it will be necessary to insert additional safeguard measures into this ESMF to ensure that no activity at the target sites leads to conversion of natural forest.

The table below identifies and analyses gaps between the JICA Guidelines and the existing legal framework for EIA in Vietnam and proposes measures to address them.

**Table B.3.2: Analysis of Vietnam's EIA Framework against JICA Guidelines**

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
<b>Principles</b>	1. Potential project environmental impacts	1. Environmental impacts of projects are assessed	1. No significant gap between the JICA Guidelines and

<sup>3</sup> The full terms have been abridged and edited to keep the table concise

<sup>4</sup> Primarily the Law on Environmental Protection (2014) & Decree 18/2015

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
	<p>must be assessed and examined in the earliest possible planning stage. Alternatives or mitigation measures must be examined and incorporated into the project plan.</p> <p>2. Such examinations must be conducted in close harmony with the economic, financial, institutional, social, and technical analyses of projects.</p> <p>3. The findings must include alternatives and mitigation measures.</p> <p>4. For projects that have a particularly high potential for adverse impacts or that are highly contentious, a committee of experts may be formed so that JICA may seek their opinions, in order to increase accountability.</p>	<p>and examined before approval. Alternatives/mitigation measures are included and incorporated.</p> <p>2. EIA requires detailed assessment of possible environmental impacts including environmental components and socio-economic elements to be impacted by the project. Vietnamese legislation is criticised for prescribing EIA too late in the planning process</p> <p>3. EIA must include specific measures to minimize bad environmental impacts, prevent and respond to environmental incidents and commitments to take environmental protection measures during project construction and operation.</p> <p>4. EIA reports shall be appraised by appraisal councils formed of appropriate experts as required and as determined by the relevant (depending on project categorisation).</p>	<p>Vietnam's EIA legislation is detected.</p> <p>2. The inclusion of environmental and social considerations during the preparatory survey was in line with both guidelines so that any potential environmental and social issues could be addressed in the project planning process.</p>
<b>Examination of Measures</b>	<p>1. Multiple alternatives must be examined in order to avoid or minimize adverse impacts and to choose better project options in terms of environmental and social considerations.</p> <p>2. Appropriate follow-up plans and systems, such as monitoring plans and environmental management plans, must be prepared; the costs of implementing such plans and systems, and the financial methods to fund such costs, must be determined.</p>	<p>1. Alternatives are not compulsory in the environmental assessment procedure.</p> <p>2. Environmental Management Plans are required.</p>	<p>1. Alternatives at the site-level including a zero option have been considered in the design and as part of the environmental and social considerations.</p> <p>2. Environmental management and monitoring plans proposed in this ESMF shall be implemented accordingly.</p>

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
<b>Scope of Impacts to be assessed:</b>	<p>1. The impacts to be assessed include: impacts on i) the natural environment, that are transmitted through air, water, soil, waste, accidents, water usage, climate change, ecosystems, fauna and flora, including trans-boundary or global scale impacts; ii) social impacts, including involuntary resettlement, employment and local livelihoods, utilization of land and resources, social institutions such as social capital and local decision-making institutions, existing social infrastructures and services, vulnerable social groups (e.g. poor and indigenous peoples), equality of benefits and losses and equality in the development process, gender, children's rights, cultural heritage, local conflicts of interest, infectious diseases, and working conditions.</p>	<p>1. Vietnamese legislation does not specify the scope of impacts to be assessed. The LEP broadly indicates that environmental and socio-economic elements are to be considered.</p> <p>2. In general, the following social impacts are not properly considered: impacts to local economy (employment, livelihood, utilization of land, etc.), local resources, social institutions, local decision-making institutions, vulnerable social groups (the poor, indigenous peoples, etc.), equality of benefits and losses, equality in the development process, gender, children's rights, and local conflicts of interest.</p>	<p>1. A full range of potential impacts as indicated in the JICA Guidelines were first assessed and considered.</p> <p>2. Among them, those which identified as likely or possible impacts were further assessed for scoping.</p> <p>3. The extents of possible impacts were assessed and the necessary measures/interventions to either avoid or minimize the adverse impacts were designed and incorporated in the project plan.</p>
<b>Compliance with Laws, Standards and Plans</b>	<p>1. Projects must comply with the laws, ordinances, and standards related to environmental and social considerations established by the governments that have jurisdiction over project sites.</p> <p>2. Projects must, in principle, be undertaken outside of protected areas.</p>	<p>1. All projects must comply with the relevant policies, laws and ordinances established by national and local governments.</p>	<p>1. There is no significant gap.</p> <p>2. The project is in accordance with national and provincial/local policy objectives and priorities.</p> <p>3. In this case the project will be implemented in certain designated protected areas but the objective is to promote forest protection and restoration at these sites, and will not include any adverse environmental impacts.</p>
<b>Social Acceptability</b>	<p>1. Projects must be adequately coordinated so that they are accepted in a manner that is socially appropriate to context.</p> <p>1. Appropriate consideration must be given to vulnerable</p>	<p>1. Under LEP and implementing Decree 18/2005, provisions are made for the appraisal of projects to ensure their appropriateness considering environmental and socio-economic aspects.</p>	<p>1. Initial information disclosure was conducted during the consultation meetings held by the preparatory survey team.</p> <p>2. The project will require an EIA to be appraised by MoNRE. The law requires</p>

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
	<p>social groups, such as women, children, the elderly, the poor, and ethnic minorities, all members of which are susceptible to environmental and social impacts and may have little access to decision-making processes within society.</p>	<p>Disclosure and consultation with affected communities and local stakeholders is also required as part of the process.</p> <p>2. As above, there are no specific requirements for special consideration of vulnerable social groups in Vietnamese EIA legislation.</p>	<p>public disclosure of this report at the PPCs.</p> <p>3. In addition, the ESMF itself as well as the Consultation and Participation Guidelines developed as part of this ESMF aim to ensure that site-level planning and implementation includes special considerations for vulnerable groups. These guidelines include further disclosure and consultation at local levels prior to implementation of activities; hence, CPMB/MARD and PPMBs/DARDs shall follow the ESMF in general and CPGs (Consultation and Participation Guidelines) in specific to address social issues in an appropriate manner.</p>
<b>Ecosystems and Biota</b>	<ol style="list-style-type: none"> <li>Projects must not involve significant conversion or degradation of critical natural habitats and forests.</li> <li>Illegal logging of forests must be avoided.</li> </ol>	<ol style="list-style-type: none"> <li>Vietnamese EIA legislation as well as biodiversity and forest legislation also prohibits significant conversion of critical natural habitats and forests. However, conversion of natural forest is still possible under Vietnamese law.</li> </ol>	<ol style="list-style-type: none"> <li>Since this project also aims to contribute to REDD+ implementation, any conversion of natural forest cannot be accepted. Hence, any activities that would cause clearance or conversion of forests in special use forests were eliminated. The activities can be further controlled and eliminated by using the Negative Checklist developed in the ESMF (Annex-A).</li> </ol>
<b>Involuntary Resettlement</b>	<ol style="list-style-type: none"> <li>Involuntary resettlement and loss of means of livelihood are to be avoided by exploring all viable alternatives.</li> <li>Affected persons must be sufficiently compensated and supported by project proponents etc. in a timely manner.</li> <li>Appropriate participation by affected people and their communities must be</li> </ol>	<ol style="list-style-type: none"> <li>Involuntary resettlement is also avoided wherever possible for development projects in Vietnam. Issues on land acquisition, compensation, resettlement, etc. are regulated by the Land Law (2013) If a development project needs to acquire land, then this law and implementing regulations are applied,</li> </ol>	<ol style="list-style-type: none"> <li>The survey team has carefully considered the issue of involuntary resettlement. This ESMF includes a summary description of potential involuntary resettlement related issues.</li> <li>There will be no physical relocation nor formal land acquisition under this project.</li> <li>The project will not engage in forest land allocation. It is also recommended that</li> </ol>

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
	<p>promoted in the planning, implementation, and monitoring of resettlement action plans and measures to prevent the loss of their means of livelihood. In addition, appropriate and accessible grievance mechanisms must be established.</p> <p>4. For projects that will result in large-scale involuntary resettlement, resettlement action plans must be prepared and made available to the public.</p>	<p>an inventory-of-loss (IOL) will be carried out, and people who lose lands, properties, means of livelihood, etc. will be compensated and/or supported in relocation and resettlement. The Land Law also includes mechanisms for the redress of grievances.</p> <p>2. However, it needs further efforts to improve legal framework on involuntary resettlement and strengthen capacity of local agencies responsible for planning and implementing the livelihood restoration plan.</p>	<p>ongoing or proposed land acquisition for certain FMBs funded by the GoV is halted or the sites be removed from the project.</p> <p>4. At other sites where project activities such as afforestation could conflict with areas of land customarily or traditionally used by upland ethnic groups but where they do not have formal land rights, village-level consultations and participatory discussions based on the concept of FPIC must be conducted. These activities shall be carried out in a proper and timely manner to avoid and mitigate potential losses of access to assets and livelihoods.</p>
<b>Indigenous Peoples (IPs)</b>	<p>1. Any adverse impacts that a project may have on IPs are to be avoided when feasible by exploring all viable alternatives.</p> <p>2. When projects may have adverse impacts on IPs, all of their rights in relation to land and resources must be respected in accordance with the spirit of relevant international declarations, including UNDRIP – FPIC is required.</p> <p>3. Measures for the affected IPs must be prepared as an IP plan and must be made public in compliance with the relevant laws and ordinances of the host country.</p>	<p>1. The term IP is not used with respect to any group of peoples in Vietnam. However, it is accepted that ethnic minority (EM) groups share many similar characteristics with those of IPs. However, EMs nor anyone else in Vietnam have collective rights over lands and territories.</p> <p>2. As mentioned, EIA law does not include special provisions for vulnerable groups. However, the Constitution does respect many relevant IP/EM rights (self-determination, non-discrimination), and the GoV implements a number of programs aimed at supporting such groups.</p>	<p>1. EMs comprise the majority of the peoples to be affected by the project. Therefore, ethnic minorities and their traditional ways of life has been strongly considered in designing the project as well as in the development of appropriate safeguard measures to ensure their consultation and participation, and that they receive culturally-appropriate benefits.</p> <p>2. This ESMF intends to integrate EM considerations throughout and through the Consultation and Participation Guidelines in particular aims to ensure that indigenous peoples planning requirements are met.</p>
<b>Monitoring</b>	<p>1. Project proponents etc. should make efforts to make the results of the monitoring process available to local project stakeholders</p>	<p>1. There is no provision on the project owner's obligation to publicize results of monitoring process even though the EMP disclosure is</p>	<p>1. The monitoring and reporting plan is included in the ESMF. Such a plan shall be implemented accordingly.</p>

Content	JICA Guidelines (2010) <sup>3</sup>	Vietnam's Framework for EIA <sup>4</sup>	Measure to fill the gap
		mandatory after completion of EIA approval	

Source: JICA Preparatory Survey Team (2016)

### B.3.1.2 Institutional Arrangements for Environmental Planning and Management

#### **Environmental Management and Monitoring**

The Law on Environmental Protection (LEP) clearly designates the Ministry of Natural Resources and Environment (MoNRE) as the lead government agency responsible for defining Environmental Management and Monitoring procedures in the country. The LEP also states that MoNRE shall be the government agency responsible for the appraisal of SEAs of national or regional programmes and strategies, provincial and sectoral development and land use plans as well as EIAs of projects of national importance and/or having significant environmental impacts (e.g. large scale, affecting national parks, major industrial zones etc).

For provincial-scale projects, the LEP and subsidiary legislation clearly outlines the institutional arrangements and procedures for the assessment, appraisal and monitoring of projects with impacts on the environment. The LEP sets forth that project proponents must submit an EIA report prepared by themselves or by consultants. The contents of the report are detailed in the LEP and subsidiary legislation. The LEP also stipulates that the EIA is then appraised by an appraisal committee which is formed by the Environmental Protection Division (EPD) under the Provincial Department of Natural Resources and the Environment (DONRE).

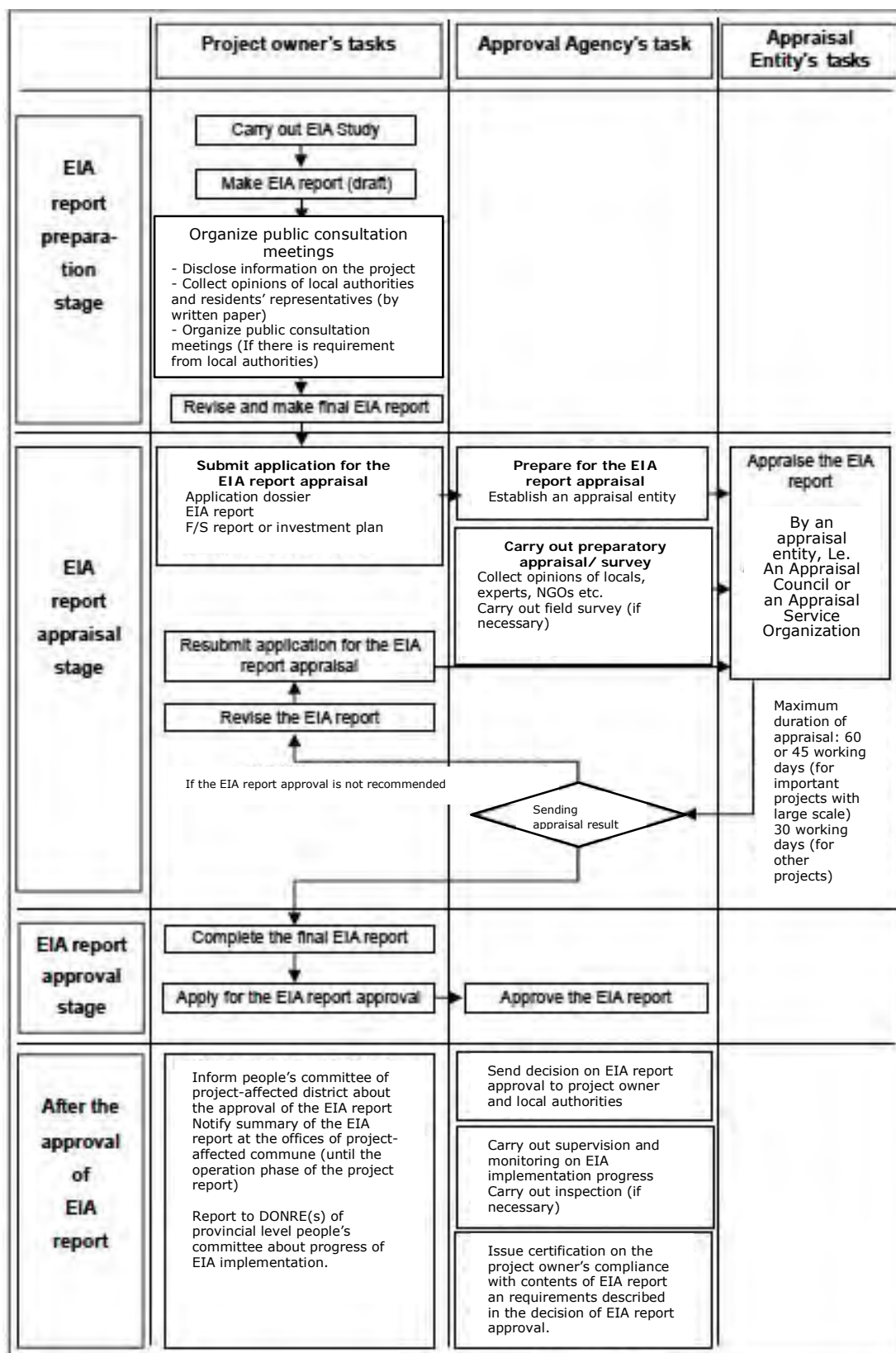
For even more small-scale projects, the LEP also stipulates approval procedures for Environmental Protection Plans (EPPs) i.e. projects not requiring EIA but still requiring environmental clearance; (1) The environment protection authority of province (DONRE) shall approve EPPs (for the projects not be listed in the annex 5.1 of Circular 27/2015 specifying 34 types of project) and (2) The District People's Committees (DPC) of district shall approve environment protection plans (for project not be listed in annex 5.1 of circular 27/2015 and in annex 4 of decree 18/2015). It should take 10 working days from the date on which the satisfactory application is received regarding projects to complete the approval of PPC/DONRE and DPCs.

For this project, following the experience of Project for Restoration and Sustainable Management of Protection Forest (JICA 2), it is confirmed that an EIA is required for the entire project. MARD has plans to hire a qualified consultant to prepare the EIA report in parallel with the FS preparation right after the project concept will be approved by the PM. MoNRE will be responsible for establishing the appraisal council for EIA report despite the fact that MARD is also allowed to organize the appraisal council for EIA report.

If the subprojects have not identified and confirmed with scope/scale and location by the approving the FS studies. The EIA should be included the guideline with negative checklist for screening to avoid/ remove the sensitive subproject type and scope. In addition to that, the capacity building programme for the staffs of PPMB/PFMBs should be developed in terms of environmental and social consideration as well as the monitoring and reporting.

The diagram below illustrates EIA procedures following LEP, and which will be applicable to the proposed project.





Source: JICA Preparatory Survey Team (2016)

Figure B.3.1: EIA appraisal procedures

## **Biodiversity Conservation and Forest Protection**

In terms of biodiversity conservation, planning and monitoring, at the national level MoNRE is also designated as the responsible agency and is the focal point for reporting to the Convention on Biological Diversity (CBD) Secretariat for example. At the provincial levels, some provinces now have sufficient capacity and resources under DoNRE to have one or two people responsible for the development and implementation of provincial level biodiversity strategies and action plans (PBSAPs). However, such plans are extremely limited in scope, do not even exist in all provinces and monitoring is practically non-existent.

Moreover, the reality is that although MoNRE is the focal agency for biodiversity conservation planning and monitoring, much of the country's biodiversity of course is found within forests and protected areas which are managed by MARD (e.g. for certain national parks), DARD/FPDs in the provinces and FMBs (especially SUFMBs) at site levels. Forest Protection and Development Law (FPDL, 2004) as well as other subsidiary legislation defines how forests are protected, developed and managed. It stipulates the forest owners and their rights and responsibilities. Institutional arrangements are clearly stipulated within the laws for the management of forests and forest resources from the national level down to the household level. FPDL as well as other key pieces of forest legislation e.g. Decisions 186 and 117 determine what can and can't be done inside given types or categories of forest. As such the implementation of these laws are key safeguards which protect forests and biodiversity. At the grassroots levels enforcement of these laws is generally the responsibility of FPD staff (commune, district and provincial levels) and the staff of site FMBs under DARD, as a responsibility which is delegated by PPCs (in some cases e.g. larger, more important national parks the PPC takes a more direct role in management).

Circular 78/2011 is important in the context of this project because (among other things) it defines the process for SUF planning, whereby a given SUFMB will prepare a plan for approval by the PPC, who will in turn request the FPD or SubDoF (in provinces where the merge has not yet been completed) to review the plan. Based on their recommendations the plan will be approved. If the FMB has plans which include activities or sub-projects which may require some form of environmental clearance (e.g. forest roads or other infrastructure) then the above described environmental clearance process is followed. However, in this case if a project-level EIA is conducted, it may not be necessary for such procedures to be followed each time but the mitigation measures specified in the EIA report will need to be followed.

### **B.3.1.3 Environmental Management Capacity and Gaps**

#### **Environmental Assessment and Monitoring**

Vietnam's legal framework for Environmental Management and Monitoring is relatively sound as discussed above. In terms of implementation however, there are some shortfalls or weaknesses which have been identified in general, as well as based on assessments carried out by the preparatory survey team in Hoa Binh and Dien Bien as part of the preparatory survey. Overall, it was observed that, at provincial level, DoNRE strictly follow the central government legislation on environmental control and protection.

The Environment Protection Division (EPD) under DoNRE is in charge of EIA review and appraisal. It was learned that, the capacity of EPD is moderately adequate with environment and related background. At the district level, the Natural Resource and Environment Office (NREO) under the DPC is responsible for tasks such as reviewing the EPP. NREO staff have environmental related background.

Several weaknesses in implementation of the environmental management system at the provincial and district level were identified during the field assessments;

- **Technical capacity:** Even the staff of EPD has environmental background, the technical capacity should be promoted by specific guidance and on job training. It was informed that, the staff has not been received these kind of training, particular some typical project relating to biodiversity and ecosystem assessment.
- **Human resources:** Currently EPDs and NREO has not enough staff to address the allocated mandates. Particularly, the NREO has normally around 4-5 staff only, but have various responsibilities beyond environmental appraisal and compliance monitoring (environment, land, mineral resource, climate change etc.)
- **EIA Appraisal Council:** the member of EIA appraisal council is normally the professional staff from other line departments (DARD, DPI, DOC, DOH) rather than the professional experts who are from central cities. In addition to that, for the project relating to forestry sector, FPD has not been invited or consulted during the EIA appraisal process (including for dams and other infrastructure to be constructed inside forest areas).
- **Application of EIA for forest plans:** EIA or other environmental clearance procedures are rarely implemented with respect to site-level forest plans. Although most of the activities are generally environmentally positive or benign, in some cases the plans do involve some development of infrastructure. Therefore, it is recommended for project interventions to include certain simple procedures as a mitigation measure for this project to ensure the size/scope of sub-projects is screened and that projects are assessed and monitored to ensure minimal environmental impact.
- **Environmental monitoring:** The monitoring on environmental compliance is the big challenges of provincial and district levels. It was informed that the budget for environmental monitoring is limited and making it very difficult to monitor the environmental compliance during the project implementation post EIA appraisal process

### **Biodiversity Conservation and Forest Protection**

Vietnam has a relatively well-developed legal framework for biodiversity conservation and forest protection (notwithstanding some contradictions) but effective conservation and forest protection on the ground is constrained by a number of factors as documented in various reports<sup>5</sup>, including:

- **Limited financial resources:** Especially provincially-funded nature reserves such as those supported by this project, have limited funds available for implementing conservation actions and measures.
- **Limited human resources:** Many FMBs complain of having insufficient staff to effectively patrol and manage their area of responsibility.

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<sup>5</sup> de Queiroz, JS, Griswold, D, Nguyen, DT and Hall, P. 2013. *Vietnam Tropical Forest and Biodiversity Assessment*. Technical Report for United States Agency for International Development.

MoNRE. 2014. *Vietnam's Fifth National Report to the United Nations Convention on Biological Diversity*. Hanoi.

ICEM. 2003. *Vietnam National Report on Protected Areas and Development. Review of Protected Areas and Development in the Lower Mekong River Region*. Indooroopilly, Queensland.

- Limited capacity: Although capacity has improved to some extent in recent years, overall there has been a decentralisation of management responsibility to PF and SUFs whilst the sites have very limited management skills.
- Weak and fragmented law enforcement.
- Weak inter-sectoral coordination between agencies.
- Weak implementation, monitoring and enforcement of EIA regulations

### B.3.2 Social Management Systems

#### B.3.2.1 Relevant Environmental Policies, Laws and Regulations

An important concern of JICA is that development projects are implemented with the full and effective participation of local communities, with special attention paid to vulnerable groups such as the poor, landless/land poor, indigenous peoples (IPs) (or ethnic minorities in Vietnam) and women. Interventions should also respect the rights of local communities and indigenous peoples (also consistent with Cancun Safeguards c and d). Such concerns are typically more serious when they involve large scale infrastructure investments requiring the physical displacement and involuntary resettlement of peoples and significant alterations of ecosystems and landscapes customarily used by local communities and ethnic minorities in their economic, social and spiritual lives. However, they remain relevant for interventions in the forestry sector where strengthened conservation and activities aimed at forest restoration in protection forests and SUFs may have consequences for rural poor communities that are dependent on forests for their livelihoods or lands customarily used for agricultural production that are classed as forest lands by the State.

Conservation and afforestation measures may thus exclude communities from the lands and forests on which they depend for their day to day livelihoods. Such activities where they restrict practices or change existing land uses can lead to negative impacts on livelihoods (reduce incomes, increased food insecurity and vulnerability) through loss of access, ownership or use rights, and increased conflicts on forest lands. Therefore, a primary social consideration is whether the communities themselves are adequately informed about proposed measures, whether there is adequate consultation and participation and consideration of local communities' livelihoods and rights in planning and implementation of site-level interventions.

The table below identifies some of the main relevant policies, laws and regulations for the types of activities that have been proposed under the project.

**Table B.3.3: List of Relevant Social Policies, Laws and Regulations**

Policy/Law	Main Provisions and Relevance
<b>Land and Forest Tenure Rights</b>	
Land Law No. 45/2013/QH13	Prescribes the regime of land ownership, powers and responsibilities of the State in representing the entire-people owner of land and uniformly managing land, the regime of land management and use, the rights and obligations of land users involving land
Forest Sector Development Strategy 2006-2020, approved by PM Decision No. 18/2007/QD-TTg	Provides overall strategic orientation for the forestry sector with specific economic, social and environmental objectives.
Law on Forest Protection and Development No. 29/2004/QH11	Provides for the management, protection, development and use of forests and forest owners' rights and obligations

<b>Policy/Law</b>	<b>Main Provisions and Relevance</b>
PM Decision 178/2001/QD-TTg	On benefit rights, responsibilities of households/individuals who are allocated, contracted and leased forest land.
<b>Public Consultation</b>	
Law on Access to Information No. 2016/QH13	Provides for the right to access to information of citizens; principles, orders, procedures of enforcement of the right to access to information; obligations and responsibilities of state agencies in ensuring the right to access to information of citizens, and rights and obligations of citizens in implementation of the right to access to information.
Ordinance on the Exercise of Democracy in Communes, Wards and Townships 34/2007/PL-UBTVQH11	Ensures the people's rights to know, to contribute opinions, to decide, to exercise and supervise the exercise of democracy at communal level
Decree 26/2006	
<b>Good Governance</b>	
Anti-Corruption Law No. 55/2005/QH11	Provides for the prevention, detection and handling of persons who commit corrupt acts and the responsibilities of agencies, organisations, units and individuals in corruption prevention and combat.
<b>Gender</b>	
Law on Gender Equality No.73/2006/QH11	Provides for principles of gender equality in all fields of social and family life, measures ensuring gender equality, responsibilities of agencies, organizations, families, individuals in exercising gender equality
<b>Grievance Mediation and Redress</b>	
Law on Complaints and Denunciations No. 02/2011/QH13	Ensures that complaints and/or denunciations are made and settled lawfully, contributing to the promotion of democracy, the enhancement of socialist legal system, and the protection of the interests of the State as well as the legitimate rights and interests of citizens, agencies and organizations
Grassroots Mediation Act (2013) Decree 15/2014 / ND-CP and Joint Resolution No. 01/2014 / NQLT / CP-UBTUMTTQVN of GoV	Provides a legal basis for grievance/dispute resolution through a neutral mediator at grassroots levels (i.e. village level).

Source: JICA Preparatory Survey Team (2016)

Vietnam's Constitution already includes provisions which recognise and acknowledge many basic human rights of local communities and ethnic minorities (including rights to non-discrimination, self-determination, cultural rights, traditional knowledge etc). Communities and ethnic minorities do not have collective land rights and/or rights over territories.

The policy and legal framework for human rights and social protection has also been improved considerably in recent years, to now include provisions to ensure better access to information, public consultation and participation, more accountable and transparent governance (anti-corruption), improved democracy at grassroots and grievance redress. A key concern however is that although several policies and laws stress the importance of public consultation and stakeholder participation in general, there is a lack of detailed or specific provisions that regulate and operationalise full and effective participation. This is particularly the case in the

forestry sector where implementing legislation on site-level forest planning<sup>6</sup> does not include any reference to consultation and/or participation in the process. This means that consultation, participation and inclusion in forest planning is ad hoc, unsystematic and where it does occur is more akin to promulgation (once funds have been obtained) rather than prior and informed consultation and participation. This ESMF will provide measures to address this gap through consultation and participation guidelines.

### **B.3.2.2 Institutional Arrangements for Social Protection in Relation to Forest Sector Interventions**

Institutional arrangements for social protection are somewhat more dispersed in consideration of the range of potential social issues. Also, social protections in many cases uphold human rights which are relevant across different sectors and thus the protection of such human rights is to be held across numerous institutions and depending on context. For example, it is not the responsibility of one agency to provide transparent access to information or ensure gender equality but rather these principles must be mainstreamed into society and public sector service delivery. Given that this project focuses primarily on forest protection and development, it is within this context that institutional arrangements for social protection are considered here.

In the context of the proposed project most social issues and protection are managed through the institutions responsible for forest management i.e. MARD at the national level is responsible for overall strategic directions in the forest sector and legal/policy development including the consideration of social aspects in forest protection and development. The national policies and laws are interpreted and implemented in the provinces by DARDs (at the request of PPCs), FPD at provincial, district and commune levels, as well as site-level FMBs (and other forest owners).

The FMBs are therefore primarily responsible (together with CPC/DPCs and related frontline local GoV agencies) for the operationalisation of many of the social safeguards in terms of providing information appropriately, ensuring adequate consultation and participation in forest allocation and planning, the inclusion of vulnerable groups such as ethnic minorities and women in planning and implementation and the equitable distribution of benefits associated with site-level project interventions.

The institutional procedures and responsibilities for site-level forest planning are laid out in Decree 23/2006 and Circular 78/2011 i.e. that forest owners such as FMBs submit their plans to the PPC for approval. The PPC will do so after review from Provincial FPD/DoF, and assuming that proposed activities are consistent with the Provincial FPDP and are generally based on standard designs and cost norms. During the field survey in Dien Bien and Hoa Binh the relevant agencies confirmed that this is the process followed in these provinces with no provincial variations in approach.

Other agencies are also involved however in different social safeguard aspects or issues. For example, MoNRE is the designated agency responsible for land administration, which includes forest land and its allocation, which is carried out in the provinces through DoNREs and in the field through cadastral officers and other staff of DPC/CPCs.

Another example is general complaints, disputes and grievances which could relate to forestry/forest sector issues such as disputes over receipt of PFES payments for instance, which

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<sup>6</sup> E.g. Decree 23/2006 and Circular 78/2011

would be handled through the inspection department of the CPC who will open a dossier and investigate the claim. If the issue cannot be resolved at that level, the case can go up to the district, provincial and in theory even the national level. Disputes over land are however handled under a different mechanism and grievances need to be registered with special committees established at CPC level.

### **B.3.2.3 Social Protection Management Capacity and Gaps**

A basic assessment was conducted by the preparatory survey team in two of the project provinces (Hoa Binh and Dien Bien). The assessment focused primarily on the capacity of the FMBs and related agencies responsible for forest protection and development activities to address and respect key social safeguards, especially consultation and participation in forest allocation, site-level forest planning and inclusivity in implementation of sub-projects (e.g. afforestation, ANR, forest protection, small-scale construction projects etc.) and it is believed that the situation is relatively heterogeneous across the project's target area.

As discussed above, there are no specific consultation and participation requirements for site-level planning of PFs/SUFs. In reality and confirmed through interviews in Hoa Binh and Dien Bien, FMBs prepare plans by themselves or with the support of consultants, requesting investment from the PPC. The PPC will then delegate FPD or Sub-DOF to appraise the plan. The plan is subsequently revised and submitted for approval. Circular 78/2011 provides very detailed guidance on this process for SUFs, including number of days allocated for each step in the process and the role of different State agencies but at no point does it include any requirements for consultation with local stakeholders. Typically, information dissemination to communities may occur once the plan has been approved. This means there is little room for negotiation because the budget has already been approved for particular activities against pre-defined cost norms and standard designs. The process is good enough for practical silvicultural activities but from a social perspective there may be problems due to inadequate prior information and community appreciation or interest in the measures. In this sense, there is a 'gap' between the intentions of the safeguards principles, policies and laws and the reality of implementation as what 'consultation' does take place in the existing system is actually more like 'promulgation' of the plan which has already been approved. For this reason, under the project it is necessary to include a free, prior and informed consultation (FPIC) process, which should involve a number of steps including participatory mapping and clear spatial definition of rights and responsibilities, before broad community support is finally verified through conservation agreements.

Similarly, in implementation of activities due to the hierarchical structure and need to implement activities towards higher level instructions and targets, local people are contracted as labour for reforestation for example, but they typically have little say in the management of the activity. Although there have been efforts in recent years to promote co-management at certain sites in the project provinces e.g. under KfW 7 in Hoa Binh and Son La as well as several SUF sites receiving grants from the Vietnam Conservation Fund. However, they remain pilot projects rather than approaches which are embedded in the existing system.

Forest sector staff are not in general well-trained on aspects related to consultation, participation, safeguards and co-management. Unlike silvicultural and technical aspects such as forests stand design planning it is not part of the standard curricula and there is no member of staff at any level with a designated community engagement (or similar) role within FPD/DoF or at site levels. For this reason, it is likely that it may be proposed to address these gaps within the framework of the ESMF and associated capacity-building under the JICA 3 loan project.

Such capacity building will also be relevant in the context of implementing REDD+ activities and meeting the Cancun safeguard requirements

## **B.4. Environmental and Social Considerations and Potential Impacts**

### **B.4.1 Environmental Considerations and Potential Impacts**

#### **B.4.1.1 Environmental Considerations**

JICA guidelines indicate that a wide range of environmental considerations should be taken into account. Initial scoping identified the following impacts on the natural environment to be assessed:

- Climate Change
- Ecosystems (especially landscapes and sites of importance to biodiversity conservation and protected areas)
- Biodiversity (fauna and flora)
- Air, Water, Waste and Soils (resulting from infrastructure activities)

**Appendix-B (1)** shows the results of initial environmental screening and assessment by using the environmental checklists given by the JICA Environmental and Social Consideration Guidelines. Two types of checklists, forestry development and infrastructure development which is an integration of those for road, irrigation, and water supply, were used for the purpose. As shown in the checklists, a wide range of environmental and social potential impacts were assessed and considered for initial assessment. Moreover, the extents of the potential environmental and social risks were assessed and evaluated by using the environmental scoping matrixes shown in **Appendix-B (2)**. Likewise, the environmental scoping was carried out separately for forestry development and infrastructure development.

#### **B.4.1.2 Assessment of Potential Environmental Impacts**

##### **Positive Environmental Impacts**

The project is primarily focused on forest development, protection and restoration and therefore the associated activities are expected to present various environmental benefits, including;

- Climate change mitigation through reduced emissions from deforestation and forest degradation
- Enhanced carbon stocks and sequestration from afforestation, ANR and forest protection activities
- The regeneration of natural or buffering/connecting forest habitats offering opportunities for wild populations of species of fauna/flora to establish, recover etc.
- Enhanced protection of protected areas and species and habitats of conservation significance
- Improved ecosystem services such as watershed protection, protection of soils, regulation of hydrological flows etc.
- Reduced unsustainable utilisation of forest resources through support for biogas/improved cookstoves and investments in alternative livelihoods and income generating opportunities



### **Negative Environmental Impacts**

**Table B.4.1** overleaf presents potential environmental impacts or risks associated with each project component identified during the course of the survey through expert assessment as well as participatory consultation. Note that the table only includes implementation components as there are no significant environmental impacts associated with project management, monitoring and evaluation and technical assistance components.

Mitigation measures specific to the project components and activities are also indicated and these measures will be implemented through the ESMF and its constituent elements. More details of mitigation measures against potential environmental risks associated with the silviculture and small scale rural infrastructure are described in **Section B.6.3**.

Table B.4.1: Potential Negative Environmental Impacts and Mitigation Measures

Component	Activities	Potential Environmental Issues	Scoping	Possible Mitigation Measures
1. Survey and Detailed Planning	1.1 Purchase of high resolution satellite images 1.2 Participatory land use planning (including development of land use and forest maps for forest management) 1.3 Demarcation of boundaries of target areas (perimeter surveys) 1.4 Baseline surveys at target sites/communes. 1.5 Detailed designs of forest development, silviculture and small-scale rural infrastructure development	<ul style="list-style-type: none"> <li>Inaccurate or inappropriate land use zoning could lead to negative impacts on forests and wildlife</li> <li>Lack of environmental considerations in the design of forest development, silviculture and small-scale rural infrastructure could lead to negative environmental impacts e.g. selection of exotic species for afforestation may have negative impacts on biodiversity, or minor effects of small-scale infrastructure (e.g. air and water pollution, minor land/forest clearance)</li> </ul>	Low  Low	<ul style="list-style-type: none"> <li>Verify afforestation and ANR sites in the field to confirm appropriateness.</li> <li>Eliminate activities (e.g. no conversion of natural forest, no conversion of any protection/SUF forest &gt;5 ha, roads &lt;50 km etc. – see Negative Checklist).</li> <li>Do not use non-native species for Afforestation/ANR in special use forests (see Negative Checklist).</li> <li>Use native species in principle or at least mixed stand designs (mainly native species) approved by MARD for Afforestation/ANR in protection forests.</li> </ul>
2. Protection and improvement of critical watershed forest	2.1 Afforestation 2.2 Assisted Natural Regeneration 2.3 Forest Protection 2.4 Introduction of benefit sharing mechanism and collaborative management	<ul style="list-style-type: none"> <li>Use of exotic species in afforestation and/or assisted natural regeneration could have negative impacts on biodiversity</li> </ul>	Low	<ul style="list-style-type: none"> <li>Select severely degraded forests/bushes or bare or glass lands for afforestation (see Negative Checklist).</li> <li>Use native species or at least mixed stand designs approved by MARD for Afforestation/ANR in protection forests.</li> <li>Do not use non-native species in special use forests</li> </ul>
3. Development of silviculture infrastructure	3.1 Watch tower 3.2 Nursery 3.3 Motor bike roads 3.4 Forest fire prevention line 3.5 Forest guard station	<ul style="list-style-type: none"> <li>Construction of new motorbike roads could cause forest/tree loss, damage habitats, split populations of certain species (e.g. primates)</li> <li>Construction/upgrading of motorbike roads could facilitate extraction of forest resources and negatively impact forest cover and ecosystems</li> <li>Minor small scale /temporary/reversible environmental impacts on air/dust, water sources, chemicals/pollutants, noise, waste disposal during the construction</li> </ul>	Low  Low  Low	<ul style="list-style-type: none"> <li>Do not convert natural forests for silviculture infrastructure (see Negative Checklist).</li> <li>Do not implement any construction works in special use forests (see Negative Checklist).</li> <li>Construct/upgrade forestry/motorbike roads which do not cause forest clearance more than 5 hain protection forest (see Negative Checklist).</li> <li>Place the primary focus of road upgrading on upgrading– no new roads (see Negative Checklist).</li> <li>Apply ECOP into the bidding document of the contractors who then will be responsible for</li> </ul>

Component	Activities	Potential Environmental Issues	Scoping	Possible Mitigation Measures
		of watchtowers, nurseries, checkpoints, guard stations		mitigation measures during the construction phase (refer to the <b>Appendix-C</b> ).
4. Improvement of small-scale rural infrastructure	4.1 Rural road construction/improvement 4.2 Small-scale irrigation system construction/upgrade 4.3 Rural water supply system construction/upgrade	<ul style="list-style-type: none"> <li>Minor environmental impacts in construction of small-scale infrastructure (temporary/reversible impacts e.g. on air/dust, water sources, chemicals/pollutants used in construction, noise, tree removal, minor damage to habitats, waste disposal etc.)</li> </ul>	Low	<ul style="list-style-type: none"> <li>Focus on upgrading/restoring existing infrastructure – avoid new infrastructure</li> <li>Do not exceed scale/size for District EPP clearance (see Negative Checklist).</li> <li>Apply ECOP into the bidding document of the contractors who then will be responsible for mitigation measures during the construction phase,</li> </ul>
5. Support for livelihood improvement (including technical trainings, model implementation and support and marketing)	5.1 Fuel-saving models; a) Biogas; b) Improved cookstoves 5.2 Alternative income generating models: a) Vegetable garden and fruit trees; b) Fodder grass; c) Apiculture (beekeeping) model; d) Contract farming (business-matching and quality improvement through TA) 5.3 Market assessment 5.4 Forestry/Agroforestry models: Fruit trees, spices, bamboo, rattan, (mixed planting on forest land) 5.5 Technical trainings on Sloping Agricultural Land Techniques (SALT)	<ul style="list-style-type: none"> <li>Promotion of contract farming (likely products will be maize, cassava, tea, coffee, rubber) could encourage deforestation</li> <li>Development of certain cash crop/ NTFP models could enhance illegal and unsustainable extraction or deleterious impacts on forest understorey</li> <li>Ecological impacts from cassava and maize production (on soils) and processing from waste in processing (on water sources)</li> </ul>	Low  Low  Low	<ul style="list-style-type: none"> <li>Select potential livelihood activities to ensure appropriateness (see TA Guidance)</li> <li>Develop agriculture and livelihood models which can improve productivity or profitability of the exiting practices to prevent agricultural expansion and deforestation.</li> <li>Provide guidelines for NTFP/cash crop models to employ quotas and environmentally-friendly/sustainable production techniques (see TA Guidance).</li> </ul>
6. Prevention of forest fires	6.1 Provision of fire preventive equipment 6.2 Conduct of fire drills	No significant environmental issues foreseen	-	-
7. Project Management	7.1 Awareness raising and information dissemination to local communities and local government units	No significant environmental issues foreseen	-	-

Key environmental risks are highlighted and described in further detail as follows:

**1) Habitat Disturbance and Biodiversity Loss from Inappropriate Afforestation/Assisted Natural Regeneration (ANR) Techniques:**

Habitat disturbance and biodiversity loss are important environmental considerations in this project due to the ecological significance of the project landscape as a whole, as well as, in particular, the specific protected areas identified as the project sites. Whilst ecological considerations are not confined to protected areas, several of the protected area sites in the proposed project area have been designated on the basis that they support populations of nationally and globally threatened fauna and flora.

The inappropriate design and implementation of afforestation activities could have deleterious impacts on habitats and biodiversity. This can occur particularly when exotic or timber species are planted on natural non-forest habitats. In general, natural regeneration should always be preferential, followed by planting with indigenous species. Afforestation should be reserved for only bare or severely degraded forest lands. It is also suggested that PPMBs should follow the proposed designs of afforestation, namely i) mix plantation of native species (dominant species) and economic/fast growing species (subordinate species) in protection forests and ii) mix plantation of several types of native species in special use forests when making the detailed designs of the respective target areas.

**2) Habitat Loss, Disturbance, Biodiversity Loss and Other Potential Negative Impacts from Road Construction in Forest Areas**

i) **Habitat loss and disturbance** due to the clearance of trees and forests for the road alignment.

ii) **Construction phase impacts** may include (especially in upland areas where the road design necessarily requires compacting of slopes) deposition of earth into water streams, potential chemical spills, air and noise pollution (which may disturb resident wildlife).

iii) In the longer term, **roads may also split wildlife populations** with disastrous consequences for sub-populations, gene pools and even species given rapid biodiversity decline in northern Vietnamese forests (as has been the case with many of Vietnam's highly endangered primates). Another **long term impact of roads is that they may facilitate the removal of wildlife and in general disturb forest ecosystems**. For this reason, construction of new roads in forest areas should be carefully considered in general as an activity for this project, but eliminated especially in SUF areas. Due care should be taken to ensure that any road upgrading does not involve any clearance of natural forest and should not exceed 5 ha of forest clearance in other types of forests as this would lead national level clearance in protection forests per Decree No. 18/2015.

**3) Various minor, small scale and temporary environmental impacts associated with Small-scale Rural Infrastructure**

Again, in general small-scale rural infrastructure investments should be focused on upgrading existing infrastructure rather than constructing new facilities. Minor environmental impacts associated with such sub-projects may include deposition of earth into water streams, potential chemical spills, air and noise pollution.

**4) Potential minor, small-scale environmental impacts associated with livelihood support activities:**

Certain livelihood support models could have certain likely relatively minor environmental impacts associated with them. For example, agricultural models may involve the use of fertilizers and pesticides, excessive water consumption or some pollution during processing. Such deleterious impacts should be managed and mitigated through technical guidance on sustainable production methods during implementation.

## **B.4.2 Social Considerations and Potential Impacts**

### **B.4.2.1 Social Considerations**

JICA guidelines indicate that a wide range of social considerations should be taken into account. Initial scoping identified the following social impacts to be assessed:

- Involuntary resettlement and land acquisition
- Poverty, vulnerability and loss of livelihoods
- Ethnic Minorities
- Gender

### **B.4.2.2 Assessment of Potential Social Impacts**

#### **Positive Social Impacts**

Whilst the project's primary objective is forest development, protection and restoration, the project is also expected to provide a number of social co-benefits, including;

- Improved physical capital for rural poor communities through upgraded community infrastructure;
- Improved financial capital through employment and income opportunities from forest protection activities;
- Improved livelihood opportunities through project support for alternative income generating activities; and
- Improved natural capital through improved ecosystem services.

#### **Negative Social Impacts**

Table B.4.2 overleaf presents potential social impacts or risks associated with each project component identified during the course of the survey through expert assessment as well as participatory consultation. Note that the table only includes implementation components as there are no social impacts associated with project management, monitoring and evaluation and technical assistance components.

Overall, social considerations are of greater concern than environmental issues. As shown in Chapter 1 of the Part I of the Final Report, the mountainous North-west project area is inhabited by a diverse variety of ethnic minority communities and groups who comprise the majority of project affected households. There are a range of potentially significant social safeguard issues linked to their land and forest tenure rights and impacts on the livelihoods of such peoples, many of whom are amongst the poorest and most vulnerable in Vietnam and dependent on forest lands and resources.

Table B.4.2: Potential Negative Social Impacts and Mitigation Measures

Component	Activities	Potential Social Issues	Scoping	Possible Mitigation Measures				
1. Survey and Detailed Planning	1.1 Purchase of high resolution satellite images	<ul style="list-style-type: none"> <li>Involuntary Resettlement/Land Acquisition: Formal acquisition of (agricultural or forest) unallocated lands by PFMBs (not funded by project but parallel to project in same sites).</li> </ul>	Low	<ul style="list-style-type: none"> <li>Do not implement any activities which cause:               <ul style="list-style-type: none"> <li>- physical relocation/resettlement;</li> <li>- ormal land acquisition at project sites, even where financed by GoV i.e. remove site from project; and</li> <li>- involuntary resettlement/loss of livelihoods or access to productive assets.</li> </ul> </li> <li>Conduct a process of FPIC including participatory land use planning and verification of support for the land use arrangements for selection of the project areas without any conflict with local communities (see Consultation and Participation Guidelines).</li> <li>Select communities/households through accountable and transparent beneficiary selection process and equitable benefit-sharing mechanism (see Consultation and Participation Guidelines).</li> </ul>				
	1.2 Participatory land use planning (including development of land use and forest maps for forest management)	<ul style="list-style-type: none"> <li>Involuntary Resettlement/Loss of Access to Productive Assets and Loss of Livelihoods: Use of lands by the project for afforestation/ANR or other activities which are claimed or customarily used by ethnic minority communities or households</li> </ul>	Low					
	1.3 Demarcation of boundaries of target areas (perimeter surveys)	<ul style="list-style-type: none"> <li>Land use conflict (between households, between communities or between communities and forest management boards): Any conflict over lands as a result of land use planning, particularly where it reinforces inequitable distribution of land/resource access.</li> <li>Inequitable distribution of benefits based on forest land tenure arrangements.</li> </ul>	Low					
1.4 Baseline surveys at target sites/communes.	1.5 Detailed designs of forest development, silviculture and small-scale rural infrastructure development							
					2.1 Afforestation	<ul style="list-style-type: none"> <li>Afforestation on lands needed by households for agricultural production could affect livelihoods, reduce incomes, food security, increase vulnerability etc.</li> </ul>	Low	<ul style="list-style-type: none"> <li>Mitigate and avoid any social risks through Consultation and Participation Guidelines (see 1 above).</li> </ul>
					2.2 Assisted Natural Regeneration			
					2.3 Forest Protection			
2.4 Introduction of benefit sharing mechanism and collaborative management								
3. Development of silviculture infrastructure	3.1 Watch tower	<ul style="list-style-type: none"> <li>Land acquisition associated with road construction</li> </ul>	Low	<ul style="list-style-type: none"> <li>No land acquisition - use existing routes or new routs where land acquisition is not required (see Negative Checklist) or only small areas of voluntary land acquisition on the communities' initiatives take place (see Consultation and Participation Guidelines).</li> </ul>				
	3.2 Nursery							
	3.3 Motor bike roads							
	3.4 Forest fire prevention line							
	3.5 Forest guard station							

Component	Activities	Potential Social Issues	Scoping	Possible Mitigation Measures
4. Improvement of small-scale rural infrastructure	4.1 Rural road construction/improvement 4.2 Small-scale irrigation system construction/upgrade 4.3 Rural water supply system construction/upgrade	<ul style="list-style-type: none"> <li>Land acquisition associated with rural infrastructure</li> <li>Small-scale infrastructure benefits elites or non-equitable receipt of benefits among community</li> </ul>	Low Low	<ul style="list-style-type: none"> <li>No land acquisition - upgrade existing infrastructure or ensure route which does not require land acquisition (see Negative Checklist) or small areas of voluntary land acquisition on the communities' initiatives.</li> </ul>
5. Support for livelihood improvement (including technical trainings, model implementation support and marketing)	5.1 Fuel-saving models; a) Biogas; b) Improved cookstoves 5.2 Alternative income generating models: a) Vegetable garden and fruit trees; b) Fodder grass; c) Apiculture (beekeeping) model; d) Contract farming (business-matching and quality improvement through TA) 5.3 Market assessment 5.4 Forestry/Agroforestry models: Fruit trees, spices, bamboo, rattan, (mixed planting on forest land) 5.5 Technical trainings on Sloping Agricultural Land Techniques (SALT)	<ul style="list-style-type: none"> <li>Inequitable selection of beneficiaries</li> <li>Exclusion of vulnerable groups from project activities and benefits</li> </ul>	Low Low	<ul style="list-style-type: none"> <li>Identify specific activities for marginalized groups such as landless, poor households, female headed households, women etc. in site level plans.</li> <li>Specify minimum quotas for the selection of women as beneficiaries (e.g. 50% poor/near poor and 30% women) of livelihood development activities – see Consultation and Participation Guidelines.</li> </ul>
6. Prevention of forest fires	6.1 Provision of fire preventive equipment 6.2 Conduct of fire drills	No significant social issues foreseen		-
7. Project Management	7.1 Awareness raising and information dissemination to local communities and local government units	<ul style="list-style-type: none"> <li>An over-emphasis on improved forest law enforcement capacity could lead to worsening relationships between communities and forest management boards/forest protection authorities.</li> </ul>	Low	<ul style="list-style-type: none"> <li>Place the focus of capacity building and training on social aspects of forestry, co-management etc. (see Capacity development for ESMF).</li> </ul>

Source: JICA Preparatory Survey Team (2016)

Key social risks are highlighted and described in further detail as follows:

### **1. Involuntary resettlement and acquisition of ethnic minority lands**

The term ‘involuntary resettlement’ is understood to refer to the following:

- Physical relocation
- Loss of assets or access to assets (including land – land acquisition)
- Loss of income sources or livelihoods
- Restricted access protected areas resulting in adverse impacts on livelihoods

Each of these aspects of involuntary resettlement is addressed in turn with respect to information gathered during the preparatory survey.

#### **a) Physical relocation**

Firstly, it should be stated that **the project will not involve any physical relocation of households.**

#### **b) Loss of assets or access to assets (including land – land acquisition)**

This aspect of involuntary resettlement in the proposed project refers to two land acquisition situations:

- Loss of productive land where the household has an existing legal/formal land right
- Loss of productive land where the household has no existing/formal land right

The land and forest land tenure situation in North-west Vietnam is extremely complicated, sensitive, and there are many ‘grey’ areas. Although the survey team has done its best to try to understand the various situations in the project area, it was difficult for the team to grasp a clear picture of the land tenure issues (including customary use) in the project areas due to time constraints of the survey, the large number of sites and the complexity of the situation at many sites. More detailed and in-depth surveys are required for clear understanding of these issues as the project is further developed.

#### *i) Loss of productive land where the household has an existing legal/formal land right*

The most serious safeguard issue for the project is the potential scenario that lands that are at some stage in the process of formal allocation to households or communities; are allocated or re-allocated to FMBs supported by the project.

The original project proposal tentatively indicated or suggested that forest land allocation (FLA) would be an activity or potential activity within component (forest inventory and planning). It was recommended that this activity be removed from the loan project design at an early stage in the preparatory survey (see Interim Report) for a variety of reasons, not least that such activities are long, arduous, difficult to implement, expensive etc, but also due to social considerations and the potential for ethnic minority land acquisition, which a) is to be avoided where feasible according to JICA guidelines and b) would likely mean that the project would have to be re-categorised as Category A. Hence, the project plan proposed by the preparatory survey team does not include the activities relating to forest land allocation, if anything, a series of close consultations with local communities, which are necessary for implementation of the project in the areas allocated to local communities, are proposed. This recommendation stands and is re-iterated here: **The loan project should not finance any forest land allocation (or re-allocation)**



However, it is essential to note in this report that processes of FLA might be in progress in the project provinces anyway, which are to some extent influenced by the project (to be selected as the project areas) though they are not directly linked with project activities. Thus, according to our judgement, FLA should therefore be considered in the context of JICA guidelines, even if the land allocation would be completed prior to the start of the loan implementation period. This however is the first grey area i.e. the JICA guidelines are not explicit in how such situations (where there are actions which are linked and/or relevant to implementation of the loan project, but are not to be financed by the loan project) are to be treated, nor any clear guidance on at what point linked actions/measures must be completed prior to loan implementation for them not to necessitate the application of the JICA safeguard policies.

To provide more specific context, in the project provinces, there are several FMBs that are or may be currently in the process of accumulating lands, particularly in Dien Bien province (e.g. Dien Bien, Tuan Giao, Muong Cha PFMBs and Muong Phang SUFMB). FLA to FMBs is being pursued for more effective management and control of the forests, facilitation of distribution of PFES funds and, in part, participation in the proposed JICA loan project. In protection forests, one of the primary reasons for promotion of FLA is the existing MARD regulation on the management of protection forests, which clearly state that PFMB should have more than 5,000 ha of allocated protection forests to be officially registered. The extent to which the project has affected their motivation is not fully clear, but there might be a possibility that the project might have enhanced DARDs' interest in FLA to FMBs as one of the criteria for the first selection of the target sites was the official allocation to FMBs.

Next, in terms of this being a project safeguard issue, it is necessary to consider the status of lands to be (re)allocated to PFMBs. Here too the situation is far from clear. Considerable efforts have been made by the survey team to confirm and re-verify data due to conflicting information provided by different stakeholders (including the DARDs themselves). Situations appear to be extremely confusing in the field and land conflict appears to be an issue at many sites. Below, we present analysis of some of the information we have received regarding some of the project sites.

### **Hoa Binh Province:**

- i) **Song Da PF:** Song Da PFMB has a relatively large area in total but it is all reportedly allocated to households and none allocated to the PFMB. There is no plan to re-allocate the land to the PFMB and hence formal land acquisition is not assessed to be a problem at this site. Box below provides some further analysis of forest tenure issues in this site based on grassroots consultations carried out by the national environmental specialist.

*Box: Consultation in Na Loc village, Dong Chum commune, Da Bac district, Hoa Binh province*

Background: Na Loc village is one of 10 village of Dong Chum commune, one of the most difficult commune in Vietnam with 57% of poor household. There are 5,612 ha of natural land area including 4,841ha of forest land area. The ethnic minorities are mostly Tay and Muong group. Currently, the Song Da PFMB has contracted with local people to carry out their annual reforestation plans as well as the national programmes like 661 and 327 previously. Song Da PFMB has assigned a field officer in every commune to work with local authorities as well as individual households by supporting them on reforestation planning, seedling, PFES payment, and other technical assistance.

Safeguard issue: The forestland area was allocated to local people by Decree 02/02/1994/NĐ-CP before the establishment of the Song Da PFMB. After that, under the Decision 672/2006/QĐ-TTg dated 26/4/2006, Hoa Binh DONRE has reviewed the previous allocation to allocate, re-allocate the land use right for organizations, individuals and households. These allocations have created the difference of boundaries, locations to the allocated parties. As reported, Song Da PFMB has contracted with local people to implement their approved annual plan on reforestation, afforestation. It is observed that there is no conflict between

Song Da PFMB and local people except complaining on the low support on both reforestation and protection. In addition, the households in Na Loc village are aware of the growing importance of the forest in term of economic and environment value throughout the years and ready to participate into the project

Recommendation for project implementation: Meaningful consultation with full and effective participation of the local people is crucial not only for site level planning but also for implementation of the project. During FPIC, safeguards issue will be identified once project plans become clearer and addressed in timely manner. In addition to that, the site level planning should not only be implemented in paper but also based on the field work with participation of both FMBs, DONRE and local people. To do that, the resource in term of human, capital and time should be adequately allocated.

**ii) Ngoc Son – Ngo Luong SUF:** Ngoc Son – Ngo Luong was established as a Nature Reserve in 2004. However, a substantial proportion of the land inside the reserve is allocated (with LUCs) to local households, including settlement, agriculture and forest land. The tenure situation is complicated and there appear to be conflicting reports as well as conflicts on the ground. Post-designation as a NR all the forestland allocated as production forest (approx. 2,000 ha) with LUC to households was re-classified as SUF and re-allocated to the SUFMB, meanwhile agricultural land was not re-allocated and constitutes about 15% of the NR area<sup>7</sup>. Currently, the NR reserve area stands at 19,254 ha, of which 16,800ha is forest land. This suggests a historical conflict and a previous involuntarily resettlement issue but that the situation is now clear. However, another report<sup>8</sup> utilises land allocation data from DoNRE illustrating that in fact some 9,927 ha had been allocated to households between 1998-2002 under the land allocation policy of Decree 01/1995, and remains under conflict.

Moreover, since 2014, the authorities are also trying to secure the re-allocation of some lands currently allocated to households inside the protected area boundary to the SUFMB in return for new cultivation areas for households in the buffer zone. This is a long and difficult process and is still ongoing. It is unclear whether these would also be the same lands slated for ‘forest development’ under the project but if so this is a potential land acquisition and resettlement issue. Further and more detailed assessment is required at the site level.

**iii) Phu Canh SUF:** Phu Canh was established as a Nature Reserve in 2001. However, a proportion (over 500ha) of the land inside the reserve is allocated (with LUCs) to local households, including settlement, agriculture and forest land before the establishment of Phu Canh SUF by Decree 02/1994/NĐ-CP. To resolve this conflict, the authorities has re-allocated around 395 ha forest area which are poor, degraded and low biodiversity value to local people. However, there are still 160ha area of production and forest land area has not been addressed. There are thus some existing forest land conflict issues at Phu Canh, however there is no plan to expand the protected area or acquire more land formally owned by local households.

### **Son La Province:**

**i) Quynh Nhai PF:** Quynh Nhai PFMB has not even been legally established yet although it is assumed that it will be established with a land area of 9,163 ha (7,758 ha of existing

<sup>7</sup> Do, AT & Bui, MH. 2008. *Survey Report on Land Use and Forest Use at Ngoc Son – Ngo Luong*. Survey report for the Community-based Conservation and Ecotourism in Ngoc Son – Ngo Luong Project. Fauna and Flora International – Indochina Programme and Vietnam Forestry University.

<sup>8</sup> Nguyen, HV & Nguyen VD, 2015. *Conflicts on Land-use Rights: Challenges for planning and managing special use forest in Vietnam*. PanNature, Forland, Corenarm and Crd.

forest), the same area currently assigned to Quynh Nhai Forest Protection Station (FPS). In the data initially provided by Son La DARD, this land was apparently allocated to local households, however follow-up with the Quynh Nhai FPS indicated that in fact the land had not been allocated to households yet and thus the legal ‘owner’ is the CPC i.e. the land is unallocated. It is not clear whether or to what extent there have been any surveys or efforts to begin the process of formally allocating lands to households in this area or not. However, apparently to date roughly 2,700 ha has been allocated to Quynh Nhai PFMB, which indicates that FLA processes are ongoing. Realistically, the process of allocating such a large area of forest land to the PFMB is extremely complicated, will take a long time and will be fraught with challenges in an area which is populated by upland ethnic minority groups that have been cultivating the area for a long time. If the land is indeed unallocated then allocation to the FMB, in spite of it’s challenges would not be an issue in terms of formal land acquisition. Further and more detailed assessment is required at the site level.

### **Dien Bien Province:**

Dien Bien province has issued a decision advocating for FLA to households and communities (in line with national government policy). However, FLA has been implemented slowly and poorly. Outcomes of these efforts and the current status of both agricultural and FLA is extremely confusing and unclear. In truth, further and more detailed consideration of these issues is required. However, the team is able to draw attention to the following situations at the respective sites:

- i) **Dien Bien District PF:** Dien Bien PFMB is effectively a former State Forest Enterprise (same headquarters and same staff). Like many SFEs, it was restructured and became a PFMB in 2008. The PFMB was established with an area of about 1,000 ha. However, this land area has absolutely no basis in reality, specific location is not provided and no LUC is available for this area. Instead, currently Dien Bien PFMB has some 1,300 ha allocated and according to interviews with PFMB, they expect to be re-allocated more in the coming year. However, in Muong Nha commune and possibly others within the planned area of Dien Bien PFMB, suggested to be supported by the project it appears (according to information from the livelihoods survey consultant) that LUCs or ‘red books’ have indeed been issued by District PCs to households for both agricultural and forest land. However, the certificates do not specify the location of the plots effectively rendering them legally meaningless/useless documents. This is a very grey area. It would seem that it would not be the fault of the household that they had been issued with substandard legal documents, thus they could have a reasonable rightful claim to the particular land parcels they were using or at least some form of legitimate right, and thus there is a potential formal land acquisition issue.
- ii) **Tuan Giao PF:** In Tuan Giao, surveying for FLA apparently began in 2013, however no LUCs have been issued, despite the fact that the data initially provided by SubDOF Dien Bien indicates it has been allocated to households. In which case legally the land still belongs to the CPC (unallocated land). However, if the process of FLA to households or communities had been started, it would mean that ethnic minority households/communities were being deprived of lands which although never formally allocated to them, had in fact been effectively ‘promised’ to them and they had begun assisting with the survey work to identify land parcels and plots (needs to be confirmed). Another grey area, however again it would appear that local people would have a legitimate claim over the lands and that such FLA to the PFMB would be a formal land acquisition issue.

Another layer of confusion relates to recent surveys which have attempted to define which areas of ‘forest’ (not land) are to be managed by which communities. The purpose here does not concern the allocation of land rights but rights to manage and protect particular areas of forest and hence the basis for distributing PFES payments. Forest management areas are determined on a community (village) basis. The areas awarded to the villages therefore do not correspond to the total forest land area (because some of the forest land does not have forest on it and PFES payments are only made per the area of actual forest). It seems this process has also not been completed and villages have also not been formally presented with forest protection and management rights as yet.

- iii) Muong Phang SUF:** Muong Phang is a small site at just 2,403 ha, with only 1,003 ha actually allocated to the MB, the majority is apparently allocated to households. There are plans to increase the area of Muong Phang to roughly 6,000 ha through incorporating different surrounding areas including adjacent Pa Khoang Lake PF as well as other lands currently used by villages in Muong Phang and Pa Khoang communes (land allocation status unknown but people are living there). The FLA (to Muong Phang SUF) process began in December 2014 in Pa Khoang and is still ongoing. SUF regulations on land use and access to forest lands and resources are even more restrictive than PF areas, and such protected area expansion could also be an involuntary resettlement and land acquisition issue. The project would not support SUF expansion activities themselves. It is noted that JICA has already supported some of the SUF expansion activities under SUSFORM-NOW<sup>9</sup>.

### **Lai Chau Province:**

The proposed PFMB sites in Lai Chau (Tan Uyen, Than Uyen and Sin Ho) are the clear legal forest owners. The PFMBs have large areas of land allocated and the areas are not allocated to households, meaning formal land acquisition is not an issue in Lai Chau.

#### *ii) Loss of productive land where the household has no existing/formal land right*

The project proposes a considerable area for afforestation and ANR. Much of this is proposed within the boundaries of lands formally allocated to PFMBs or SUFMBs. Therefore, in general the FMBs are the de jure forest owner and are the legal entity entitled to make land use decisions such as which areas are available for afforestation and ANR. However, in reality many of these FMB areas are interspersed with lands under cultivation or at various stages of recovery within traditional upland swidden-fallow cycle employed by the different ethnic groups resident in or adjacent to the FMB area. In some cases, land has been illegally converted by recent migrants or new households. In many cases however ethnic minority households may have ‘reasonable’ claims to land based on customary or traditional land tenure systems going back many generations, pre-dating the establishment of the FMB, or indeed the modern Vietnamese State itself but whose claims were never formally recognised. In this case a project decision to afforest an area of ‘bare’ or ‘degraded’ land may in fact, effectively be acquiring a given households productive agricultural land. In such areas with steep slopes and marginal soils, it is necessary to leave land fallow to recover before once again becoming productive. Thus, afforestation may lead to future restrictions on ethnic minority livelihoods and food insecurity. This issue is prevalent at all sites in the project area and in general throughout the mountainous Northwest sub-region.

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<sup>9</sup> <http://www.jica.go.jp/project/english/vietnam/004/news/general/141124.html>

Vietnamese law does not recognise customary claims to such lands. The JICA Guidelines are also not explicit about how such a situation is to be treated. It seems unrealistic for the project to contradict national policies and sovereignty, and even if it were to, there would be many questions emerging, such as on what basis or criteria would the land claims of shifting cultivators be recognised? and what evidence would be acceptable? Therefore, it is proposed that this situation is resolved through consultation, negotiation and detailed participatory land use planning during implementation. Where there is a clear conflict situation leading to a loss of de facto productive assets and livelihoods, such lands should be eliminated from afforestation/ANR plans. In this manner involuntary resettlement (including land acquisition) can be avoided.

Another issue relating to involuntary resettlement and loss of de facto access to productive assets was mentioned during the Hoa Binh Provincial Stakeholder Consultation Meeting. There is a provincial plan to re-categorise production forest land covered with natural forest in the Song Da catchment as protection forest. Production forests are also allocated to households. This re-classification could lead to a restriction of access to productive assets and a loss of livelihoods. The project will not support this provincial plan to re-classify natural forest as protection forest but there may be a cumulative impact on livelihoods due to restricted access to agricultural lands under the project (as a result of reforestation or ANR in PF).

**c) Loss of income sources or livelihoods**

The loss of land (both land that is formally owned by households and land which is used informally) will have a direct impact on livelihoods and income sources for rural upland poor ethnic minority households in the project area. Households are almost unanimously and almost entirely dependent on upland agriculture as their main source of income as well as means to meet their own subsistence needs. Thus, any loss of productive land could have significant impacts. However, those who are willing or agree to use their lands (either formally owned or informally used) are also expected to gain substantial income from the project activities and be able to have continuous income from forest resources as well as PFES even after the project under the collaborative management contracts with PFMBs/SUFMBs.

Furthermore, a set of measures effective for recovering the loss of income source or livelihoods should be examined and implemented as one of the project component; hence, it is considered that the sources of income or livelihood conditions of local communities, especially those participating in the project, could be enhanced over the course of the project.

**d) Restricted access to protected areas resulting in adverse impacts on incomes and livelihoods**

The project does include a number of protected area sites. At all sites there are local ethnic minority populations residing within and/or on the periphery of the protected area. Local people continue to cultivate (often illegally) within the protected area boundary and they are also dependent to varying degrees on the natural resources of the protected area. Although the project will invest in certain actions and measures to improve forest protection, it is not perceived that such actions will lead to significant additional restrictions on such local communities beyond the issues already discussed above for households with agricultural lands inside the protected areas but which are not formally or legally allocated.

**2. Exclusion from and/or or inequitable distribution of project benefits (and costs):**

There is the danger that the same communes and villages are selected for reasons of convenience or ease of implementation and/or that project benefits are skewed towards those

households that are already better off (e.g. they have larger land areas for cultivation), leaving behind those poorer or more vulnerable households or groups such as more vulnerable ethnic minority groups, ethnic minority women or female headed households. During stakeholder consultations in several sites, participants raised the issue of how particular sites, communities and households are selected as beneficiaries, noting that the project must select certain communes and villages to participate in the project and exclude others. Participants stressed the need for this process to be open, accountable and transparent. Similarly, at the intra-community level, the issue of specifically who participates in and benefits from the project should be handled in an open and transparent manner and that benefits should be distributed 'equitably'.

### **3. Full and Effective Consultation and Participation:**

With the project focusing primarily on forest development and implemented through FMBs, there are concerns that the project could be implemented in a top-down manner by the FMBs with local communities merely providing labour.

Whilst initial stakeholder consultation was conducted as part of the preparatory survey, consultation needs to be maintained throughout the project, and there is also a need for greater consultation at grassroots level among local people. It will be especially important during the initial planning stages of site-level implementation as a means towards verifying community support for interventions, particularly regarding the location of afforestation and ANR at the sites.

Beyond consultation, the effective participation of local people in project activities is also important. To be effective this means engaging local people and communities in a meaningful way such that they become genuine stakeholders in contributing to forest protection and development and project implementation at the sites.

### **4. Gender Issues:**

Gender is an important consideration with respect to forest protection and development activities in Vietnam. Men and women often have gendered divisions of labour in relation to management, protection and use of forests. As in many parts of rural Asia, women in the remote areas of the mountainous North-west sub-region are often excluded from participating in natural resource planning and decision-making as well as certain activities due to patriarchal tenure systems, male-dominated cultural beliefs as well as the lack of women in official forest management positions, in spite of the fact that women are involved in many aspects of forestry and are often knowledgeable about various aspects of forest management.

Another factor that is specifically relevant in remote, ethnic minority regions of mountainous NW Vietnam is the fact that typically girls spend less time in school and drop out of formal education at a younger age than boys. This combined with other restrictions in terms of female roles within the home and the community and their exposure to outside communities means that often ethnic minority women in this region do not have as strong a grasp of the Vietnamese language – this in turn limits awareness, knowledge and participation. It is important to actively involve women in forest planning and livelihood development activities.

## **B.5. Stakeholder Consultation**

### **B.5.1 Rationale and Purpose of Stakeholder Consultation**

The guidelines state that in principle JICA recognizes the importance of; developing and implementing environmental and social safeguards from an early stage in project planning,

early information disclosure and meaningful stakeholder participation in project design and implementation. Thus, Site-level and Provincial Stakeholder Consultation Meetings were conducted during the preparatory survey in June-July 2016.

The project is classified as a Category B project meaning that according to the guidelines stakeholder meetings should be conducted ‘when necessary’ (rather than as a pre-determined requirement as per Category A projects). In this case, the Environmental and Social Safeguards Specialists deemed site-level consultation with local stakeholders to be good practice in line with the spirit of the JICA Guidelines and environmental and social principles and appropriate and necessary in consideration of the large number of ethnic minority (indigenous) peoples in the project area and associated potential social issues related to access to lands and resources and loss of livelihoods. The site-level stakeholder consultation meetings provided an opportunity to receive local comments and feedback on the appropriateness and feasibility of proposed project interventions as well as further relevant perspectives on social issues and impacts.

The site-level stakeholder consultation meetings were carried out by a National Consultant under the guidance and supervision of the International and National Environmental and Social Safeguards Specialists and the International Livelihoods Specialist.

The specific objectives of the meetings were as follows:

- 1) To disclose information on project activities to local stakeholders at an early stage in project preparation
- 2) To provide an opportunity for local stakeholders to provide comments and feedback on the appropriateness and feasibility of proposed activities and interventions
- 3) To invite local participation in the assessment of environmental and particularly social benefits and risks associated with the project
- 4) To confirm the willingness of local stakeholders to participate in the project

Comments and feedback from the stakeholder consultation process will be noted and will help to inform the final analysis and assessment of project-related environmental and social issues as well as measures intended to enhance benefits and mitigate risks (i.e. the Environmental and Social Management Framework).

## **B.5.2 Approach and Contents of the Stakeholder Consultation Meetings**

### **Project Information Disclosure:**

In the first session the Consultant presented information on the features of the proposed project including:

- Project Stage and Development Process
- Project Rationale and Objectives
- Size and Scope of the Project
- Geographical Coverage and Project Sites
- Project Approaches and Strategies
- Project Components and Activities

Time was provided for clarifications and questions. A project information brochure/hand-out was also provided to workshop participants.

### **Appropriateness/Feasibility Consultation:**

In the second session, local stakeholder participants provide comments on the project components, activities and approaches/strategies and their appropriateness/feasibility in the local context. In the site-level consultation meetings this was done using a participatory group work approach. With time constraints local level stakeholders focused primarily on the feasibility of community development components. Meanwhile at provincial level comments and feedback were received in a plenary/roundtable format.

### **Assessment of Environmental and Social Benefits and Risks:**

In the third session, a presentation on environmental and social considerations is made. Then local stakeholders are asked to identify/confirm potential environmental and (mainly) social risks associated with the project and suggest appropriate mitigation measures. In the site-level consultation meetings this was done using a participatory group work approach. With time constraints local level stakeholders focused mainly on social safeguards issues related to forest development components. Meanwhile at provincial level comments and feedback were received in a plenary/roundtable format.

### **Confirmation of willingness to participate:**

At the end of the meeting, all participants are requested to complete a 'voting slip' . As representatives of their respective agencies and jurisdictions, participants confirm whether they are willing to participate in the project (or not).

## **B.5.3 Schedule of Meetings and Stakeholders Consulted**

The table below summarises the main groups of stakeholders consulted during the site-level and provincial meetings.

Given the scale and scope of the project, limited resources and the short period of the preparatory survey it was not possible to conduct detailed stakeholder consultation at local levels (across 4 provinces and potentially up to 98 communes). However, efforts were made to ensure a reasonable level of consultation took place for all potential sites in the project and to maximise the number of communes consulted. At this stage consultation was primarily with the FMBs and relevant local government agencies and mass organisations as representatives of their constituencies. To address the gender concern that women may not be consulted in project design or participate in implementation, efforts were made to where possible, include Women's Union representatives at the workshops at site and provincial levels. Similarly, many of the local government staff are also ethnic minority peoples themselves, however ethnic minority interests were also represented through the inclusion of staff from Ethnic Minority Councils at the provincial level consultations.

In addition, some grassroots consultations were also conducted at a limited number of sites by the national environmental specialist in an attempt to at least do some consultation at this level. Key informant interviews and focus group discussions were held with ethnic minority households including groups of ethnic minority women.

The full list of sites and communes selected for consultation is shown in the schedule below with the total number of participants were around 455 people.



Table B.5.1: Schedule of Stakeholder Consultation Meetings

Province	Location	Participants	No.
<b>Dien Bien (24-29 June 2016)</b>			<b>76</b>
	Office of Dien Bien DARD	Dien Bien DARD, Sub-Department of Forestry, Dien Bien DPC, Dien Bien DARD, Muong Cha DARD, Dien Bien Forest Ranger Station and Muong Cha Forest Ranger Station FMBs: Dien Bien PFMB, Muong Cha PFMB; Muong Phang SUF Staffs from communes: Muong Nha, Na Tong, Phu Luong and Muong Tung, Muong Phang and Pa Khoang. Mass organisations: Communes Women Unions (WU); Famers Unions (FU)	30
	Tuan Giao PFMB	Tuan Giao DPC, Tuan Giao Ranger Station FMB: Tuan Giao PFMB Staffs from communes: Ta Ma and Phinh Sang Mass organisations: WUs of Ta Ma, Phinh Sang ; FUs of Ta Ma and Phinh Sang	17
	Dien Bien provincial meeting in DARD	Provincial Gov. agencies: DARD, SubDoF, SubFPD, DARDs, DONRE, DONREs, Department of Ethnic minority, Dien Bien DPC, Tuan Giao DPC, Muong Cha DPC, DPI, Ranger stations FMBs: Dien Bien, Muong Cha and Tuan Giao, Muong Phang SUF Mass organisations: Provincial WU	29
<b>Lai Châu (1 -6 July 2016)</b>			<b>100</b>
	Sin Ho district's meeting room	Sin Ho DPC FMBs: Nam Ma PFMB, Nam Na PFMB: Staff from communes: Hong Thu, Nam Cui, Nam Han, Phang So Lin, Chan Nua, Pa Tan, Sa De Phan, TT. Sin Ho, Tua Sin Chai Mass organisations: WUs of communes	30
	Tan Uyen PFMB	Tan Uyen DPC FMB: Tan Uyen PFMB Staff from communes: Nam Can, Nam So, Ta Mit, Muong Khoa, Tan Uyen Mass organisations: WUs of communes	25
	Than Uyen DPC	Than Uyen DPC FMB: Than Uyen PFMB Staff from communes: Muong Mit, Pha Mu, Khoen On, Muong Than, Ta Gia Mass organisations: WUs of communes	25
	Lai Chau Provincial meeting in DARD	Provincial Gov. agencies: DARD, SubDoF, SubFPD, DARDs, DONRE, DONREs, Department of Ethnic minority, Sin Ho DPC, Tan Uyen DPC, Than Uyen DPC, DPI FMBs: Nam Ma, Nam Na, Tan Uyen, Than Uyen PFMBs Mass organisations: Provincial WU	20
<b>Son La (29-June - 6 July 2016)</b>			<b>127</b>
	Thuan Chau district	Thuan Chau DPC FMBs: Copia Natural Reserve MB, Thuan Chau PFMB Staff from communes: Chieng Bom, Co Ma, Long He, Ban Lam Muong Bam, Nam Lau Mass organisations: WUs of communes	36
	Quynh Nhai district	Quynh Nhai DPC FMBs: Quynh Nhai PFMB Staff from communes: Ca Nang, Mieng Chieng, Pac Ma, Pha Kinh, Muong Giang, Muong Sai Mass organisations: WUs of communes	31
	Van Ho district	Van Ho DPC FMBs: Xuan Nha Natural Reserve MB Commune staff: Chieng Xuan, Tan Son, Xuan Nha, Chieng Son Mass organisations: WUs of communes	27

Province	Location	Participants	No.
	Son La Provincial meeting in DARD	Provincial Gov. agencies: DARD, SubDoF, SubFPD, DARDs, DONRE, Department of Ethnic minority, Thuan Chau DPC, Quynh Nhai DPC, Van Ho DPC FMBs: Thuan Chau PFMB, Quynh Nhai PFMB, Copia NR, Xuan Nha NR Mass organisations: Provincial WU, FU	33
<b>Hoa Binh (21-27 June 2016)</b>			<b>152</b>
	Phu Canh Natural Reserve office	Da Bac DPC, Da Bac Ranger station FMBs: Da River PFMB, Phu Canh NR, Staff from communes: Dong Chum, Tan Pheo, Dong Ruong, Doan Ket, Dong Nghe, Muong Chieng, Suoi Nanh, Tien phong, Vay Nua Mass organisations: WUs of communes	44
	Hang Kia Pa Co Nature Reserve office	Mai Chau DPC, Mai Chau Ranger station FMBs: Hang Kia-Pa Co NR, Staff from communes: Hang Kia, Pa Co, Tan Son, Ba Khan, Tan Mai, Trung Hoa, Ngoi Hoa Mass organisations: WUs of communes	39
	Ngoc Son-Ngo Luong Natural Reserve	Lac Son DPC, Lac Son, Tan Lac Ranger station, Tan Lac DPC FMBs: Da River PFMB, Phu Canh NR, Staff from communes: Ngoc Lau, Ngoc Son, Tan My, Tu Do, Ngo Luong, Nam Son, Bac Son Mass organisations: WUs of communes	39
	Hoa Binh provincial meeting in DARD	Provincial Gov. agencies: DARD, SubDoF, SubFPD, DARDs, DONRE, DONREs, Department of Ethnic minority FMBs: Da River PFMB, Hang Kia Pa Co Natural Reserve, Ngoc Son – Ngo Luong Natural Reserve, Phu Canh Natural Reserve Mass organisations: Provincial WU, FU	30
<b>TOTAL</b>			<b>455</b>

Source: JICA Preparatory Survey Team (2016)

## B.5.4 Summary of Key Findings and Results

### Comments and Feedback on Basic Project Design

Table B.5.2 below summarises comments and feedback on project objectives/design and component activities.

**Table B.5.2: Comments and Feedback on Project Design**

Project Component	Comments/Feedback	Site-level/Provincial workshop
<b>General Project Design/Objectives</b>	<ul style="list-style-type: none"> <li>Agree with project objectives</li> <li>Project beneficiaries should be emphasized on people who are living in the forest area</li> <li>Areas for project implementation in some communes of 4 provinces should be increased.</li> </ul>	All site-level and provincial workshops
<b>Information Dissemination &amp; Extensions</b>	<ul style="list-style-type: none"> <li>People should be clearly provided concise and clear information on benefits and duties of all stakeholders before project implementation</li> <li>To co-operate with other projects and programs in information dissemination and extensions</li> <li>Training in advance for village heads</li> <li>Design different dissemination channels to fit different stakeholders (ethnic groups, women, the poor, farmers, province/district/commune, village level, etc.)</li> </ul>	All site-level and provincial workshops
<b>Forest Development Components</b>		

Project Component	Comments/Feedback	Site-level/Provincial workshop
<b>Forest Inventory &amp; Planning</b>	<ul style="list-style-type: none"> <li>• Forests boundaries demarcation is very important. Thus, suitable budget should be considered</li> <li>• Supports for establish village regulations on land use and forest utilization should implemented before other project activities</li> <li>• Participation of local people representatives;</li> <li>• Detail land map with territory lines provided to local villages</li> <li>• Provide maps with detail and clear forest boundaries for each commune in the project area.</li> </ul>	All site-level and provincial workshops
<b>Improving Watersheds</b>	<ul style="list-style-type: none"> <li>• Agree with the proposal of the project</li> <li>• Local people, whose cultivation areas are being brought into afforestation activity of the project, should be brought into trees plantation activities with payment for their working time.</li> <li>• Some communes (Nam Can, Lai Chau province, Dong Chum, Hoa Binh province) complained that their bare land areas were much wider than proposed area</li> <li>• Benefit allocation should be transparency and fair.</li> </ul>	All site-level and provincial workshops
	<ul style="list-style-type: none"> <li>• There are some people, who want that project should focus its activities on regeneration and afforestation only. Meanwhile, project should focus on protection of current existing forests and application of regeneration because these bare land are food crops cultivation local people.</li> <li>• Too many communes with small/limited area for forest development (e.g. Nam Cha commune in Sin Ho district, Lai Chau province), making it difficult for project management</li> </ul>	Provincial workshop in Dien Bien and Lai Chau
<b>Silvicultural Infrastructure</b>	<ul style="list-style-type: none"> <li>• Agree with the proposal of the project</li> <li>• Not very practical in Son La and Hoa Binh because of steep topography and scattered forest.</li> <li>• Hire local people to take part in the construction and management.</li> </ul>	All site-level and provincial workshops
<b>Forest Fire Control</b>	<ul style="list-style-type: none"> <li>• Agree with the proposal of the project</li> <li>• This component should emphasize on capacity-building and training for village protection teams</li> <li>• Allocated some village funds or increase forest protection fees for local communities</li> </ul>	All site-level and provincial workshops
<b>Community Development Components</b>		
<b>Small-scale Infrastructure</b>	<ul style="list-style-type: none"> <li>• Participants agree that determination of SSI for each village will be based on consultation in participatory land use planning stage.</li> <li>• All participants agree that SSI investment for repairing and upgrading the SSIs only</li> <li>• All participants prioritize the village road to other infrastructures except participants in Lai Chau which prioritize water reservoir and renovation of water supply system given that road construction has been invested from other budget.</li> </ul>	All site-level and provincial workshops
<b>Livelihood Improvement</b>	<ul style="list-style-type: none"> <li>• Vegetables cultivation, husbandry raising models and capacity building were ranked the most important livelihood activities. New high productivity crop seeds for maize; cow and pig;</li> <li>• Good cultivation models suitable with weather conditions, poor soil quality, high sloping land and ethnic groups should be built and transferred to the villages</li> </ul>	All site-level and provincial workshops

Project Component	Comments/Feedback	Site-level/Provincial workshop
	<ul style="list-style-type: none"> <li>Plantation of medicinal plants in protection forests is also received greater agreement of the participants in Dien Bien, Lai Chau, Son La such as cardamom (Thảo quả), Amomum Villosum (Sa nhân), Flower of Japanese (Hoa Hoè);</li> <li>The project should help to find the market for outputs or assist establishing value chains.</li> <li>Application of improved stoves is suitable with households with Tai ethnic group, but it does not suit households of H'mong ethnic group in Dien Bien and Lai Chau. Biogas utilization is suitable with better-off households and in low land areas only</li> <li>Handicraft activities such as weaving, knitting are proposed to deliver to local women in Lai Chau.</li> </ul>	

Source: JICA Preparatory Survey Team (2016)

### **Comments and Feedback on Environmental and Social Issues**

Table B.5.3 below summarises comments and feedback on potential environmental and social issues/risks and mitigation measures. Because feedback/comments are too general due to unclear information of the project in terms of where, what scale, how, when project activities will be carried out, the gathered information are quite identical from site to site. However, most of stakeholder believe this project has positive impacts, and the negative impacts (if any) are just very minor and temporary.

**Table B.5.3. Summary of comments and feedback on potential environmental and social issues/risks**

Project Component	Comment/Feedback	Site/District
<b>Information Dissemination &amp; Extensions</b>	<ul style="list-style-type: none"> <li>Information on areas, benefits and duties should be disseminated before project activity implementation</li> <li>Concise, clear and in time for every project related partners so as no need to have many meetings to update information</li> <li>Differences between the project policy and that of the province need to negotiate and inform local communities</li> <li>Assure understandable for local people especially women and ethnic minority people</li> </ul>	All site-level workshops
<b>Forest Development Components</b>		
<b>Forest Inventory &amp; Planning</b>	<ul style="list-style-type: none"> <li>The following potential social risks are stated by the participants: Loss of rights to use land, Increment of conflicts over boundary between villages, and between households, conflicts over benefits given by the project activities may happened, reduction of land for food crop cultivation.</li> <li>The solution they proposed was that the project managers should keep local villagers informed about the activity's plan and schedule, all results of inventory and planning must be discussed clearly in village meetings, and the consultation process should be conducted carefully.</li> </ul>	All site-level workshops
<b>Improving Watersheds</b>	<ul style="list-style-type: none"> <li>Loss of right for logging of timber for housing</li> <li>Poor households will be affected due to being unable to collect bamboo shoots, firewood for sale</li> <li>Increased inequality between people in planned area (have their production land lost) and people outside planned area (do not lose production land)</li> </ul>	All site-level workshops

Project Component	Comment/Feedback	Site/District
<b>Silvicultural Infrastructure/ Forest Fire Control</b>	<ul style="list-style-type: none"> <li>No potential social risk</li> </ul>	All site-level and provincial workshops
<b>Community Development Components</b>		
<b>Small-scale Infrastructure</b>	<ul style="list-style-type: none"> <li>Social risk is small</li> <li>Temporarily impacts on farming land</li> <li>Temporary impact on access to the field;</li> </ul>	All site-level and provincial workshops
<b>Livelihood Improvement</b>	<ul style="list-style-type: none"> <li>Increased inequality between project beneficiaries (who receive supports from the project) and people outside planned area (who do not receive any support from the project)</li> <li>Favor concentration on some groups who have good relationships with local leaders;</li> <li>Unstable market price for farming products may challenge the success of introduce crops</li> </ul>	Site-level and provincial workshop

Source: JICA Preparatory Survey Team (2016)

In conclusion, all participants show their willingness to support the project and they all wish that activities of the project would be implemented as early as possible.

The results of consultation workshops show that the proposed project objectives and project components are suitable. Activities of all components are applicable. Among the proposed activities, livelihood development activities and SSI supports have received greater interests of the participants. It is agreed that all sustainable forest protection cannot be established without significant livelihood investments. Moreover, there is a need to find out types of supports, suitable supports mechanism, and cultivation models for livelihood development suitable with natural conditions and ethnic groups in each site.

In terms of social and environmental issues, there is an agreement that there are some social risks. These include loss of rights to use land, increment of conflicts over boundary, reduction of land for food crop cultivation, reduction of area for cattle grazing, loss of minor forests products and so on. However, it is said the possibilities for these social risks are at low level. This analysis is derived from perception that people still have enough land for cultivation, while they are going to receive livelihood development supports, income from their activities on forest protection and development and so forth. It is strongly recommended that there should be employed FPIC before/during project implementation to avoid any social and environmental risks (if any).

## **B.6. Environmental and Social Management Measures and Monitoring**

### **B.6.1 Introduction**

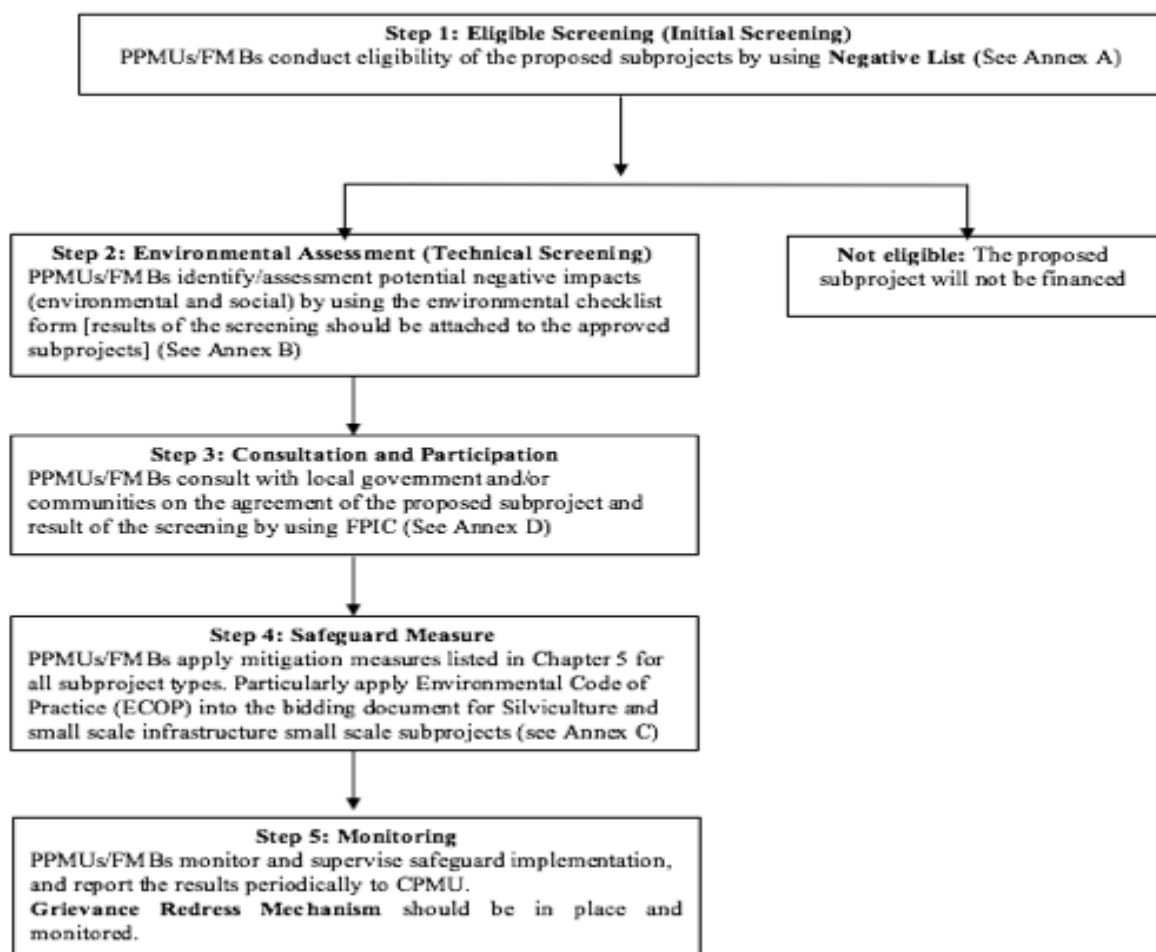
The Integrated ESMF is prepared to ensure that potential adverse environmental and social impacts associated with the project could be minimized in accordance with JICA's policies on environmental and social considerations in development projects, as well as Vietnam's own relevant policies, laws and regulations.

The ESMF aims to manage the potential adverse impacts by establishing a guide consisting of a set of relatively simple procedures and measures to facilitate adequate environmental and

social management, including risk management of environmental and social impacts, in relation to the activities to be financed by the project.

The Integrated ESMF is comprised of the following elements:

- 1) **Negative Checklist:** Eliminates activities and/or provides conditions so as to ensure the scope and scale of project impacts do not exceed that of its categorisation level i.e. Category B)
- 2) **Environmental Management and Monitoring Procedures:** Provides guidance for meeting environmental planning requirements for management and mitigation of small-scale infrastructure sub-projects and monitoring
- 3) **Consultation and Participation Guidelines:** Provides guidance for free, prior and informed consultation (FPIC) processes, stakeholder engagement and participation and serves to meet the requirements for ethnic minority development planning



Source: JICA Preparatory Survey Team (2016)

Figure B.6.1. Schematic Flowchart for Safeguard Actions for Subprojects

## B.6.2 Negative Checklist

The Negative Checklist eliminates activities and/or provides conditions so as to ensure the scope and scale of sub-project impacts do not exceed that of its categorisation level i.e.

Category B, the negative checklist has been prepared (below and **Appendix-A**), and does not invite the requirement for further environmental clearance.

This first screening step is required for all proposed subprojects/activities to confirm the eligibility of subproject and/or activities to be financed by the Project. If proposed activities are listed in the negative list, it means that these proposed activities would not be financed by the Project. At this step, PPMUs/FMBs will be responsible for checking the proposed activities against negative checklist. The negative checklist eliminates sub-projects which involve the following activities or impacts:

### **Environmental Considerations**

1. Conversion of natural forest
2. Conversion of >5ha of Protection Forest
3. Conversion of >50ha of any kind of forest
4. Road construction inside SUF core zones
5. Use of non-native species in afforestation/ANR activities in SUFs
6. Use of non-approved stand designs for afforestation/ANR activities in Protection Forests (should promote use of native species and encourage natural regeneration without enrichment)
7. Construction of roads of 50 km (class IV mountainous roads) or more
8. Construction of irrigation and water supply and drainage works for agricultural, forestry and fishery production in the area over 500 hectares
9. Construction of reservoirs with capacity/volume of 100,000 m<sup>3</sup> or more
10. Purchase and use of dangerous substances such as toxic chemicals, explosives, inflammable, prohibited pesticides and fertilizers
11. Other subprojects (with scope and scale) which lead to the requirement for national EIA clearance (according to Decree 18/2015).

### **Social Considerations**

12. Involuntary resettlement
13. Land acquisition
14. Activities affecting physical cultural resources such as graves, temples, pagodas, churches, historical relics, archaeological sites, and other religious structures

## **B.6.3 Environmental Management and Monitoring Procedures**

### **B.6.3.1 Scope of Application**

Environmental Management and Monitoring Procedures (EMMP) will be applied in particular for the civil works/construction activities which may have negative environmental impacts. There are two kind of small civil works:

- 1) Silviculture infrastructure: Upgrade and construct silvicultural infrastructure, such as motorbike/forestry roads, watch towers, guard stations, fire break lines, and information boards, to enable forest owners to improve and manage forests, especially protection and special use forests, in a proper and sustainable manner.

- 2) Small-scale rural infrastructure: Improve small-scale rural infrastructure, such as village roads, communal irrigation systems, and water supply systems, which could increase productivity or profitability of existing or potential income generating/livelihood improvement activities and/or contribute to the improvement of living conditions in the target communes/villages.

### B.6.3.2 Procedures and Institutional Responsibilities

EMMP will be undertaken after the proposed activities has passed the screening of negative checklist. In particular, the proposed activities should be further analyzed in term of environmental and social impact. In this regard, Site-level Implementation Plan Environmental and Social Checklist has been prepared (**Appendix-B (3)**). In addition, the simple ECOP (**Appendix-C**) has been prepared for incorporated into the bidding document for the contractor contracts of infrastructure subprojects.

In fact, the EIA would be required and prepared for the whole project. However, it is suggested that for individual subprojects, particularly the silviculture and small scale infrastructure projects should be further analysed and assessed in term of environmental and social risk by applying the Site-level Implementation Plan Environmental Checklist. This procedure might be especially helpful for proposed activities which might not be listed in the initial proposed activities and subject to the government EIA/EPP procedures and cleared at the district level.

FMBs will be responsible for undertaking this procedure for their respective site-level implementation plans. PPMBs will be responsible for due diligence and checking to make sure the procedure has been correctly applied. Further, due diligence and periodical checks and spot-checks should also be carried out by the CPMB with support from the international/national safeguard consultants. Training will be provided during implementation to ensure all stakeholders understand the procedures and their responsibilities.

### B.6.3.3 Environmental Management Plan/Environmental Code of Practice (ECOP)

As mentioned in the Table B.4.1, the rehabilitation/upgrading of small-scale rural infrastructure and silviculture infrastructure could generate minor environmental impacts on air/dust, water sources, chemicals/pollutants, noise, waste disposal during the construction. However, these impacts will be inconsiderably, temporally and under the country's emission standard. To minimize these limited impacts, Environmental Management Plan - the Environmental Code of Practice (ECOP - see **Appendix C**) has been prepared.

ECOPs outline typical generic low-level impacts that can be expected to occur in a wide range of small scale temporary construction activities in the four provinces. They include mitigation measures for these impacts and a process for including them in the construction contracts of contractors. During the detailed design of technical specifications for each construction contract, the technical design consultant will incorporate into the contract the parts of the ECOPs specific to that contract, as well as the specific measures identified should be strictly followed by the contractors during the construction time.

Table 6.1 briefly introduce the proposed Environmental Management Plan/Environmental Code of Practice. The detail ECOP has been included in **Appendix C**.



**Table B.6.1: Proposed Environmental Management Plan/Environmental Code of Practice**

Potential Environmental Impact	Proposed Mitigation/Enhancement	Responsibility	Cost
<b>Construction Phase</b>			
Dust generation/ Air pollution	<ul style="list-style-type: none"> <li>- The Contractor implement dust control measures to ensure that the generation of dust is minimized.                             <ul style="list-style-type: none"> <li>✓ water dusty roads and construction sites.</li> <li>✓ cover materials loaded/stockpiled in the sites to protect soils and materials stockpiled from being exposed to wind.</li> <li>✓ prevent soils, sands, materials and dusts from scattering during transportation.</li> </ul> </li> </ul>	Contractor	to be included in construction cost
Water pollution (Water quality)	<ul style="list-style-type: none"> <li>- Portable or constructed toilets must be provided on site for construction workers. Wastewater from toilets shall be discharged into a holding tank for removal from the site</li> <li>- Wastewater over permissible values set by relevant Vietnam technical standards/regulations must be collected in a storage tank and removed from site by licensed waste collectors.</li> </ul>	Contractor	to be included in construction cost
Solid waste (Waste)	<ul style="list-style-type: none"> <li>- At all places of work, the Contractor shall provide litter bins, containers and refuse collection facilities.</li> <li>- No burning, on-site burying or dumping of solid waste shall occur.</li> <li>- Recyclable materials such as wooden plates for trench works, steel, scaffolding material, packaging material, etc. shall be collected and separated on-site from other waste sources for reuse, for use as fill, or for sale.</li> </ul>	Contractor	to be included in construction cost
Chemical or hazardous wastes (Waste)	<ul style="list-style-type: none"> <li>- Used oil, lubricants, cleaning materials shall be collected in holding tanks and removed from site.</li> <li>- Chemicals shall be stored in a safe and appropriate manner by roofing, fencing and appropriate labelling.</li> </ul>	Contractor	to be included in construction cost
Drainage and sedimentation (Soil)	<ul style="list-style-type: none"> <li>- Areas of the site not disturbed by construction activities shall be maintained in their existing conditions.</li> </ul>	Contractor	to be included in construction cost
Soil Erosion (Soil)	<ul style="list-style-type: none"> <li>- The excavation in the open cutting area shall be avoided during heavy rainy season.</li> <li>- The tentative prevention measures against soil erosion shall be prepared before rain</li> </ul>	Contractor	to be included in construction cost
Restoration of affected areas (Soil)	<ul style="list-style-type: none"> <li>- Cleared areas such as disposal areas, site facilities, workers' camps, stockpiles areas, working platforms and any areas temporarily occupied during construction of the project works shall be restored using landscaping, adequate drainage and vegetation.</li> <li>- Trees shall be planted at exposed land and on slopes to prevent or reduce land collapse and keep stability of slopes.</li> </ul>	Contractor	to be included in construction cost
Noise and vibration	<ul style="list-style-type: none"> <li>- All vehicles must have appropriate "vehicle inspection certificate," and "technical safety and environmental protection certificate" to avoid exceeding noise emission from poorly maintained machines.</li> <li>- Permissions from local authorities should be obtained in case of night time activities, if necessary.</li> </ul>	Contractor	to be included in construction cost
Disruption of vegetative cover and ecological resources (Ecosystems)	<ul style="list-style-type: none"> <li>- Areas to be cleared should be minimized as much as possible.</li> <li>- The application of chemicals for vegetation clearing shall not be permitted.</li> <li>- Cutting of any tree shall be prohibited unless such an act is explicitly authorized in the vegetation clearing plan.</li> <li>- When needed, temporary protective fence shall be set up to efficiently protect the preserved trees before commencement of any works within the site.</li> <li>- The Contractor shall ensure that no hunting, such as trapping shooting, poisoning of fauna, takes place.</li> </ul>	Contractor	to be included in construction cost
Communication with local	<ul style="list-style-type: none"> <li>- The contractor shall disseminate project information to communities/groups/ entities affected by the construction (for</li> </ul>	Contractor	to be included in construction cost

Potential Environmental Impact	Proposed Mitigation/Enhancement	Responsibility	Cost
communities (Resettlement)	<p>example local authority, enterprises and affected households, etc) through community meetings before construction commencement.</p> <ul style="list-style-type: none"> <li>- The contractor shall provide a community relations contact from whom interested parties can receive information on site activities, project status and project implementation results.</li> <li>- Local residents shall be informed about construction and work schedules, interruption of services, and traffic detour routes as appropriate.</li> <li>- Notification boards shall be erected at all construction sites providing information about the project.</li> </ul>		
Worker and public Safety (Work environment)	<ul style="list-style-type: none"> <li>- The contractor shall train workers on occupational safety regulations and provide sufficient protective clothing for workers in accordance with applicable Vietnamese laws.</li> <li>- Fences, barriers, dangerous warning shall be installed around the construction area which showing potential danger to public people.</li> <li>- The contractor shall provide safety measures as installation of fences, barriers warning signs, lighting system against traffic accidents as well as other risk to people and sensitive areas.</li> <li>- First-aid stations, safety equipment, and warning signals shall be placed.</li> </ul>	Contractor	to be included in construction cost
Traffic management (Work environment)	<ul style="list-style-type: none"> <li>- Signs/notices with directions, safety advice and warning shall be placed around the construction areas to facilitate traffic movement.</li> <li>- Safe traffic control measures, including road/rivers/canal signs and flag persons, shall be employed to warn of dangerous conditions</li> </ul>	Contractor	to be included in construction cost
<b>Operation Phase</b>			
Air Quality, Noise and Vibration	<ul style="list-style-type: none"> <li>- All the constructed facilities, especially forest roads and commune roads, shall be properly maintained on a regular basis.</li> </ul>	FMBs/ PPMBs	to be included in construction cost
Water Quality	<ul style="list-style-type: none"> <li>- All the constructed facilities, especially irrigation and water supply facilities, shall be properly maintained on a regular basis.</li> </ul>	FMBs/ PPMBs	to be included in construction cost
Accidents	<ul style="list-style-type: none"> <li>- Staff of FMBs/CPCs and communities concerned shall be trained on operation and maintenance.</li> </ul>	FMBs/ PPMBs	to be included in construction cost

### B.6.3.4 Environmental Monitoring Plan

Safeguard implementation, monitoring, and reporting is an integral part of the project implementation and specific safeguard officer under each PPMB/FMB shall be assigned to be responsible for the activities. At the stage of site-level implementation planning, the designated staff responsible for safeguards at the FMB shall ensure that the CPGs have been correctly followed e.g. to ensure that communities have been selected appropriately, social assessments and participatory land use planning have been carried out according to the specified requirements so that interventions are appropriate and could be broadly supported by communities. Each of these safeguards requirements has corresponding process indicators. Therefore, it is the job of the designated safeguards staff to collect and collate the various forms that provide evidence of the consultation and participation processes. In addition, he/she should also check the proposed plan against the Negative Checklist.

Once project activities have been appraised and approved (requiring environmental clearance or not), it is necessary to monitor the implementation of the activities to ensure that environmental and social impacts do not occur and/or are being managed and mitigated

appropriately. For example, the designated FMB staff responsible for environmental and social safeguards should follow up during the implementation of activities such as the construction/upgrade of forest roads to ensure that environmental protection measures pertaining to tree-clearance, road width, management and use of chemicals and hazardous substances and other safeguards are being implemented in reality by the contractors.

The safeguard compliance during the project/subproject implementation should be also closely monitored by staff from local authorities; provincial and district Environment Officers; Technical staff of CPMU and representatives from local NGOs, Cooperatives and Associations; and community mass organizations such as Social Groups, women’s Unions, youth unions. Regular/periodic visits should also be carried out to confirm that the potential positive impacts have been led by the project and mitigation measure have been carried out properly by the awarded contractors/implementer.

Table B.6.2 below shows the proposed environmental monitoring plan, especially for silviculture infrastructure (forest roads, sub-stations, watchtowers, fire-breaks, etc.) and small-scale infrastructure (commune roads, water supply, irrigation facilities) which expectedly would generate minor temporary/reversible environmental impacts on air/dust, water sources, chemicals/pollutants, noise, waste disposal during the construction.

**Table B.6.2 (1):Environmental Monitoring Plan (for Construction)**

Items	Parameters	Location	Method	Frequency	Responsibility <sup>10</sup>	Due Diligence
<b>Construction Phase</b>						
Dust generation/ Air pollution	Dust, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Water pollution (Water quality)	Water quality change, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Solid waste (Waste)	Volume and kind of construction wastes, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Chemical or hazardous wastes (Waste)	oil, lubricants, cleaning materials, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Drainage and sedimentation (Soil)	mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Soil Erosion (Soil)	Visual monitoring of storm water runoff, mitigation	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)

<sup>10</sup> FMB shall be supported by NREO as required. Simple monitoring form shall be drafted by TA Consultants and applied by FMBs in the field.

Items	Parameters	Location	Method	Frequency	Responsibility <sup>10</sup>	Due Diligence
	measure implemented					
Restoration of affected areas (Soil)	mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Noise and vibration	Noise, complain from local resident mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Disruption of vegetative cover and ecological resources (Ecosystems)	Illegal tree clearing, wild animal hunting, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Communication with local communities (Resettlement)	Complaint from local resident, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Worker and public Safety (Work environment)	Training for worker, fences, barriers warning signs, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
Traffic management (Work environment)	Signs, mitigation measure implemented	Subproject areas	Visit site and visual check	Bi-annually	FMB Safeguards Officer/ CPC	PPMB Safeguards Officer (and CPMB/TA Consultant)
<b>Operation Phase</b>						
Accidents (Work environment)	Regularly maintenance	Subproject areas	Record the accident Check the training record	Annually	PPMB, FMB	

Source: JICA Preparatory Survey Team (2016)

Furthermore, the following table gives the proposed monitoring plan on the potential environmental and social risks associated with the forest development activities.

**Table B.6.2 (2): Environmental Monitoring Plan (for Forest Development)**

Items	Parameters	Location	Method	Frequency	Responsibility <sup>11</sup>	Due Diligence
<b>Construction Phase</b>						
Disturbance of ecosystem	Design, Species planted,	Subproject areas	Visit site and visual check	Bi-annually	PPMB, FMB	PPMB Safeguards Officer (and CPMB/TA Consultant)
Resettlement (loss of income or loss of access)	Process of selection of the project areas, Negative impact	Subproject areas	Interviews	Bi-annually	PPMB, FMB	PPMB Safeguards Officer (and CPMB/TA Consultant)

<sup>11</sup> FMB shall be supported by NREO as required. Simple monitoring form shall be drafted by TA Consultants and applied by FMBs in the field.

Items	Parameters	Location	Method	Frequency	Responsibility <sup>11</sup>	Due Diligence
	on household economy					
Affects on livelihoods	Any direct or indirect impact on livelihoods	Subproject areas	Interviews	Bi-annually	PPMB, FMB	PPMB Safeguards Officer (and CPMB/TA Consultant)
<b>Operation Phase</b>						
Affects on livelihoods (loss of income or loss of access)	Any direct or indirect impact on livelihoods	Subproject areas	Interviews	Annually	PPMB, FMB	PPMB Safeguards Officer (and CPMB/TA Consultant)

Source: JICA Preparatory Survey Team (2016)

**Appendixes-F and G** show the draft TORs for environmental monitoring and the samples of the environmental monitoring forms in and post project periods, respectively.

## B.6.4 Consultation and Participation Guidelines

### B.6.4.1 Objectives and Principles of the Consultation and Participation Guidelines

Detailed guidance for the Consultation and Participation Guidelines is provided as **Appendix-D**.

The Consultation and Participation Guidelines (CPG) have been developed to ensure that all local communities and households;

- a) are adequately informed about the project's objectives, activities, benefits and risks;
- b) have equitable opportunities to participate in the project;
- c) receive culturally appropriate benefits responsive to their interests, capacities and priorities which will be identified through prior consultations, and that those benefits are shared in an equitable way;
- d) are not adversely impacted by the project (or associated/linked) activities and/or that any adverse impacts are managed and mitigated appropriately;
- e) have the opportunity to raise project-related grievances and have processes in place for their redress.

In principle, firstly the CPGs are applied at all project sites and throughout project implementation and is focused on ensuring that vulnerable groups (including poor/near poor, landless, ethnic minority groups and women) in particular are properly consulted in site-level project planning and that they have equitable opportunities to participate in the project, based on internationally recognised principles of free, prior and informed consultation and participation.

Secondly, it is intended that the CPGs provide guidance such that the substantive elements of indigenous peoples planning are met in accordance with the JICA guidelines. The term indigenous peoples is not used in Vietnam with respect to peoples within its own borders. However, the country does recognise 54 ethnic groups including the ethnic majority Kinh people as well as 53 other ethnic minority groups, who share many of the characteristics of the internationally recognised definition of indigenous peoples (e.g. having cultural and belief systems, language, institutions which are distinct from the majority and close associations with/dependency on forests and natural resources). The overwhelming majority of project-

affected households are ethnic minorities. Therefore, rather than having a separate stand-alone Indigenous Peoples Planning Framework or an Ethnic Minority Development Framework (EMDF), it is proposed that the substantive elements are integrated here within the ESMF and the CPGs provide a process of stakeholder engagement and free, prior and informed consultation leading to broad community support for the site-level interventions. The site-level implementation plan includes the required elements of the Indigenous Peoples Plan or Ethnic Minority Development Plan (EMDP), as it would more appropriately be termed in Vietnam.

#### **B.6.4.2 Stakeholder Engagement and Free, Prior and Informed Consultation Elements and Procedures**

The key elements and procedures in the CPGs include the following:

- Community/Village Selection Procedures
- Baseline Social Assessment
- Confirmation of Broad Community Support
- Participatory Land Use Planning
- Site-level Implementation Planning
- Beneficiary Selection
- Grievance Redress Mechanism

Detailed guidance on these elements and procedures is provided as **Appendix-D**.

### **B.6.5 Institutional Responsibilities for ESMF Implementation and Monitoring**

#### **B.6.5.1 Central Level**

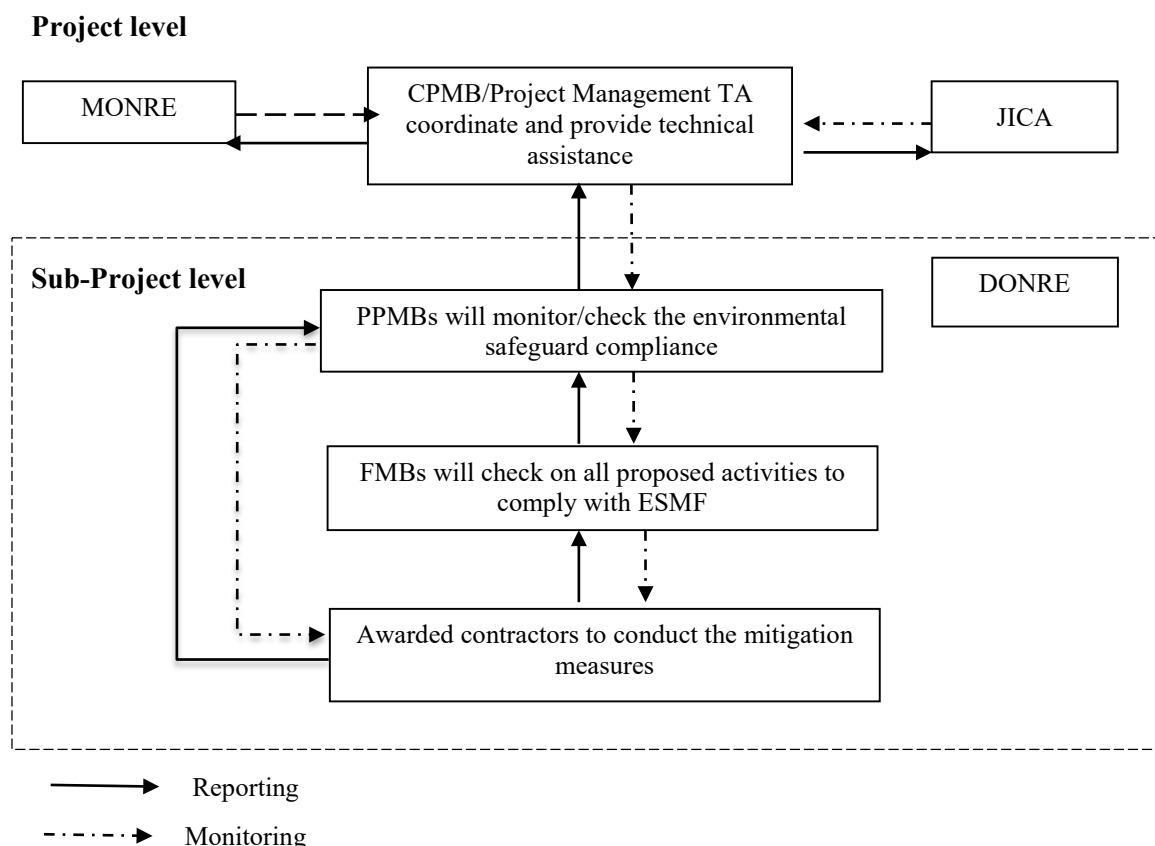
MoNRE is the environmental management authority at the central level in Vietnam. As part of its management function, MONRE appraises and approves environmental reports and carries out post-EIA monitoring given that the project impact is positive by mostly restoring and improving the forest cover/quality.

At the central level, the MBFP under MARD will be the overall coordinators of the project. In addition to that, the project consultat will be also expected. In this regard, the environmental and social safeguard technical advice will also be provided during the project implementation.

#### **B.6.5.2 Provincial Levels**

PPMBs will be established in each of the four provinces under the DARDs/PPCs and will be the main body responsible for project management and implementation in each province. This will include management and oversight of safeguards tasks, especially ESMF implementation and monitoring. A designated safeguard staff of PPMBs will be responsible for monitoring and cooperating with FMBs on environmental safeguard compliance. FMBs will also assign a designated safeguard staff in charge of checking on all planned activities against Negative Checklist, additional requirement for environmental and socio monitoring, ensure full and effective consultation and participation and full environmental and social compliance and reporting during the project implementation at site level.

DoNREs are the provincial agencies responsible for environmental management and will provide additional monitoring oversight for the environmental and social safeguard compliance during project implementation. The institutional arrangements for ESMF monitoring and reporting are presented below.



Source: JICA Preparatory Survey Team (2016)

**Figure B.6.2 Diagram of institutional arrangement on safeguard compliance monitoring and reporting**

The table below highlights key environmental and social management roles of the different project stakeholders in the institutional framework.

**Table B.6.2: ESMF Main Institutional Responsibilities in the Project Cycle**

Institution	ESMF Main Responsibilities
<b>CPMB</b>	<ol style="list-style-type: none"> <li>1. Pre-project EIA – procure and manage consultant</li> <li>2. Advise on the integration of national/project EIA measures and procedures with those proposed here</li> <li>3. Overall oversight on ESMF and safeguards implementation and monitoring</li> <li>4. Establishment of a project monitoring system including relevant safeguards indicators</li> <li>5. Periodical checks and due diligence on safeguards reports, monitoring data etc.</li> </ol>
<b>Project Consultant</b>	<ol style="list-style-type: none"> <li>1. Support CPMB/FMBs with elaboration of project information brochures for disclosure and consultation, guidance to FMBs and consultants on information disclosure and consultation</li> <li>2. Training for PPMB and FMB safeguards officers on safeguards requirements</li> <li>3. Technical design of SA methodology and tools, elaboration of monitoring indicator set, advice to CPMZB on monitoring system establishment (for safeguards indicators), support CPMB/PPMBs with management of SA consultant/NGO, provision of SA training</li> <li>4. Development of PLUP approach and guidelines, training on PLUP to FMBs and consultants, and support CPMB/FMBs with management of PLUP consultants</li> <li>5. Safeguard checks on subprojects, especially to verify avoidance of involuntary resettlement and land acquisition issues</li> <li>6. Development of EMMP checklist, procedures and training; Safeguard checks</li> <li>7. Due diligence follow ups</li> <li>8. Technical guidelines for component technical approaches, safeguard checks/guidelines for particular activities (if required)</li> </ol>

Institution	ESMF Main Responsibilities
	9. Development of monitoring forms, review of monitoring data, reporting, assistance with evaluations
<b>PPMBs</b>	<ol style="list-style-type: none"> <li>1. PPMB will assign an environmental and social safeguards officer</li> <li>2. The safeguards officer will facilitate the work of the PMC safeguards specialists in the field as required</li> <li>3. The safeguards officer will be responsible for ensuring the proper implementation of the ESMF at the project sites within their respective province through checking site implementation plans and specific activities/items requiring Environmental Management and Monitoring as per the EMMP procedures outlined.</li> <li>4. The safeguards officer will be responsible for collating and checking monitoring of activities at the sites in the province, and reporting to CPMB</li> <li>5. Due diligence checks (as required)</li> </ol>
<b>FMBs</b>	<ol style="list-style-type: none"> <li>1. FMBs will assign a member of staff to be responsible for ensuring ESMF implementation and monitoring at the site level</li> <li>2. Organise stakeholder engagement and free, prior and informed consultation processes</li> <li>3. Backstopping guidance and logistical support to SA, participation as key informants</li> <li>4. Backstopping guidance, logistical support to and participation in PLUP</li> <li>5. Receipt of funds for subprojects, beneficiary selection, subproject implementation and management, community-based operation and maintenance</li> <li>6. Receive and address project-related complaints and grievances</li> <li>7. Report to PPMBs on implementation of safeguards-related aspects e.g. PLUPs, site-level implementation plans, Environmental Management and Monitoring as per the EMMP procedures, grievances etc.</li> </ol>

Source: JICA Preparatory Survey Team (2016)

### B.6.6 Capacity Development for ESMF Implementation and Monitoring

In order to implement the proposed ESMF and associated safeguards procedures effectively, it is necessary to build the capacity of various agencies and stakeholders. Tables B.6.3 and B.6.4 below provide some suggested/tentative itineraries for environmental and social safeguards trainings during the project implementation.

Training 1 would be for staff of CPMB, PPMB and FMBs with designated environmental and social safeguards responsibilities and would focus specifically on applying the ESMF.

**Table B.6.3: Training Programs for Capacity Building on Safeguard Implementation and Compliance**

Training 1	JICA Environmental and Social Guidelines and ESMF Procedures
<b>Participants</b>	<ol style="list-style-type: none"> <li>1. Designated staff CPMB/MARD</li> <li>2. Designated safeguards staff of DARD/PPMBs</li> <li>3. Designated safeguards staff of FMBs</li> </ol>
<b>Duration</b>	3 days training per province (including 1 day on-the-job training in the field) to be repeated once a year in the first three years
<b>Content</b>	<p>The detail content of training would be further developed by the consultant with clearance by CPMU and JICA, but may tentatively include</p> <ul style="list-style-type: none"> <li>• Legal framework on environmental and social safeguards of Vietnam and JICA guidelines</li> <li>• UNFCCC REDD+ Safeguards</li> <li>• Environmental and Social Considerations and Potential Impacts</li> <li>• ESMF Procedures: Negative Checklist</li> <li>• ESMF Procedures: Environmental Management Monitoring Procedures</li> </ul>



<b>Training 1</b>	<b>JICA Environmental and Social Guidelines and ESMF Procedures</b>
	<ul style="list-style-type: none"> <li>ESMF Procedures: Consultation and Participation Guidelines (Social Assessment, FPIC, Beneficiary Selection, Grievance Redress Mechanisms)</li> </ul>
<b>Consultant input</b>	International and National Environmental and Social Specialists (see <b>Appendix-E</b> )

Source: JICA Preparatory Survey Team (2016)

Training 2 would be more generic and could involve a broader range of participants from the FMBs to provide

**Table B.6.4: Training Programs for Capacity Building on Safeguard Implementation and Compliance**

<b>Training 2</b>	<b>General Co-management/Participatory Forestry and REDD+ Training</b>
<b>Participant</b>	1. Designated staff of FMBs,
<b>Time</b>	1 day presentation and 1 day on-the job training/province repeated once a year in the first 3 years
<b>Content</b>	<p>The detailed content of training would be further developed by the qualified TA Consultant firm or individual hired by CPMU/JICA. Contents may tentatively include:</p> <ul style="list-style-type: none"> <li>Community-based Natural Resource Management/Participatory Forestry</li> <li>REDD+ (including REDD+ Safeguards)</li> <li>Sustainable livelihoods and PRA skills</li> <li>Free, Prior and Informed Consultation/Consent (FPIC)</li> <li>Participatory Land/Resource Use Mapping</li> <li>Land/Resource Conflict Management</li> <li>Co-management</li> <li>Gender Issues in forestry, forest conservation</li> </ul>
<b>Consultant input</b>	International and National Environmental and Social Specialists (see <b>Appendix-E</b> )

Source: JICA Preparatory Survey Team (2016)

The capacity-building programme will help to address gaps in the existing environmental and social management system. The programme should be designed and delivered (or at least supervised) by the appropriately qualified environmental and social specialists of the TA Consultant hired by the CPMU/JICA. The trainings are necessary to ensure that the environmental and social safeguards are effectively operationalised, and in many cases are also linked to the effective implementation of the project activities. It is suggested that the training courses should be carried out as soon as possible after commencing of the project and repeated at least once a year in the first three years. The detail content of training course should be further developed by hired consultants with comments and clearance of CPMU and JICA. The template of TOR of the consultants have been attached as **Appendix-E**.

### **B.6.7 Necessary Arrangement for Implementation of the ESMF**

The ESMF and its associated capacity development activities will be implemented by CPMB and PPMBs by using the Vietnamese budget, except for those needed for REDD+ Safeguard experts. **Appendix-H** describes types of activities and inputs needed and financially covered by the project, either the GoV's budget or JICA loan.

# ***Appendix***

## Appendix-A: Negative Checklist

No	Type of subprojects
<b>Environmental Considerations</b>	
1.	Sub-projects that result in any clearance of natural forest
2.	Conversion of >5ha of Protection Forest
3.	Conversion of >50ha of any kind of forest
4.	Road construction inside SUF core zones
5.	Use of non-native species in afforestation/ANR activities in SUFs
6.	Use of non-approved stand designs for afforestation/ANR activities in Protection Forests (should promote use of native species and encourage natural regeneration without enrichment)
7.	Construction of roads of 50 km (class IV mountainous roads) or more
8.	Construction of irrigation and water supply and drainage works for agricultural, forestry and fishery production in the area over 500 hectares
9.	Construction of reservoirs with capacity/volume of 100,000 m <sup>3</sup> or more
10.	Purchase and use of dangerous substances such as toxic chemicals, explosives, inflammable, prohibited pesticides and fertilizers
11.	Other subprojects (with scope and scale) which lead to the requirement for national EIA clearance (according to Decree 18/2015).
<b>Social Considerations</b>	
12.	Involuntary resettlement
13.	Involuntary land acquisition and loss of livelihoods
14.	Activities affecting physical cultural resources such as graves, temples, pagodas, churches, historical relics, archaeological sites, and other religious structures

Any subprojects or activities of subprojects listed in the negative list are not allowed to be financed by the project

## Appendix-B (1): Environmental Checklists

### a. Forestry Project

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
1 Permits and Explanation	(1) EIA and Environmental Permits	(a) Have EIA reports been already prepared in official process? (b) Have EIA reports been approved by authorities of the host country's government? (c) Have EIA reports been unconditionally approved? If conditions are imposed on the approval of EIA reports, are the conditions satisfied? (d) In addition to the above approvals, have other required environmental permits been obtained from the appropriate regulatory authorities of the host country's government?	(a) N (b) N (c) N/A (d) N	(a) As regulated in the Decree No 18/2015/ND-CP dated February 14th 2015 and Circular No 27/2015/TT-BTNMT dated May 29th 2015, an EIA is required as part of the project approval process on GoV side but has not been conducted yet. (b) EIA report shall be prepared by the project proponent (MBFPs) and submitted to MONRE for obtaining of approval before submission of pre-F/S for approval of PM. (c) See above. (d) Beyond the project-level EIA, no further approvals are required.
	(2) Explanation to the Local Stakeholders	(a) Have contents of the project and the potential impacts been adequately explained to the Local stakeholders based on appropriate procedures, including information disclosure? Is understanding obtained from the Local stakeholders? (b) Have the comment from the stakeholders (such as local residents) been reflected to the project design?	(a) Y (b) Y	(a) Stakeholder Consultation Meetings were held during the project preparation survey, however this was restricted to consultations with local level government authorities and mass organisations and did not include adequate consultation with project affected communities and households. Further consultation is therefore required specifically at project site levels prior to implementation of specific activities. Such consultation is provided for in the ESMF - see Consultation and Participation Guidelines (Appendix D) (b) Comments from project stakeholders (Forest Management Boards, Local government authorities (PPC, CPC, DARD, DoNRE, CEMA etc.) and mass organisations) were noted and reflected in project design. However, comments from affected communities and households should be absorbed into detailed design of interventions at the site level.
	(3) Examination of Alternatives	(a) Have alternative plans of the project been examined with social and environmental considerations?	(a) Y	(a) Full consideration of an alternative for the project has not been considered however the project design has been examined with respect to environmental and social considerations during the preparatory survey. Certain activities have been eliminated or altered so as to ensure that environmental and social impacts are avoided, minimised or otherwise mitigated during implementation (see ESMF).
2 Pollution Control	(1) Air Quality	(a) Do air pollutants, such as dust, soot and dust, sulphur oxides (SOx), nitrogen oxides (NOx), and organic chemical substances emitted from various sources, such as logging operations, forest products manufacturing processes, and incinerators comply with the country's emission standards and ambient air quality standards? Are any mitigating measures taken?	(a) N/A	(a) There will be no project activities with any significant impact in terms of air pollution.
	(2) Water Quality	(a) Is there a possibility that the use of chemicals, such as fertilizers, and agrochemicals will cause water pollution? (b) Where facilities, such as forest products manufacturing facilities are installed, do effluents from the facilities comply with the country's effluent standards and ambient water quality standards?	(a) N (b) N	(a) There may be some limited use of fertilizer in afforestation and fertilizers/pesticides for certain agricultural/NTFP livelihood activities, however these will have a very minimal environmental impact. In general the project will promote organic farming and the use of bio-fertilizers. In case that this is not feasible in certain areas and the use of chemicals is inevitable for some agricultural livelihood models, the project

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
				<p>will develop instructions on the use of fertilizers/pesticides throughout the introduction of farming good practices. There will not be any noticeable impact on water sources.</p> <p>(b) There will be no 'manufacturing' of forest products under the project, except for small scale honey production. No pulp, paper or timber operations with factories etc. Thus any associated effluent and effect on water sources/supply will be nil or negligible.</p>
	(3) Wastes	(a) Are wastes properly treated and disposed of in accordance with the country's regulations?	(a) Y	(a) There will not be any significant waste associated with project activities since there will be no manufacturing.
	(4) Soil Contamination	(a) Are adequate measures taken to prevent contamination of soil and groundwater by use of chemicals, such as agrochemicals? (b) Are any agrochemicals management plans prepared? Are any usages or any implementation structures organized for proper use of the plans?	(a) N/A (b) N/A	(a) Use of such chemicals will be minimal under the project (b) Agricultural livelihood interventions in the project are very small scale and mainly restricted to technical trainings with limited provision of inputs such as the provision of fertilizers and pesticides. Agricultural models will not promote the extensive use of agrochemicals, indeed organic production models are preferred.
3 Natural Environment	(1) Protected Areas	(a) Is the project site or discharge area located in protected areas designated by the country's laws or international treaties and conventions? Is there a possibility that the project will affect the protected areas?	(a) Y	(a) The project will not involve any significant discharge from construction or other production activities such as wood processing. The project aims to implement the forest development and improvement activities in protected areas (e.g., nature reserves); however, the project interventions are primarily beneficial to the conservation and protection of the protected areas. In addition, the project will strengthen the capacity of SUFMBs concerned, which will further contribute to strengthen the management of the protected areas.
	(2) Ecosystem	(a) Does the project site encompass primeval forests, tropical rain forests, ecologically valuable habitats (e.g., coral reefs, mangroves, or tidal flats)? (b) Does the project site encompass the protected habitats of endangered species designated by the country's laws or international treaties and conventions? (c) Is there a possibility that changes in localized micro-meteorological conditions, such as solar radiation, temperature, and humidity due to a large-scale timber harvesting will affect the surrounding vegetation? (d) Is there a possibility that a large-scale timber harvesting will result in loss of breeding and feeding grounds for wildlife? (e) In the case of reforestation projects, is there a possibility that mono-species plantations will adversely affect wildlife habitats? Is there a possibility that mono-species plantations will cause outbreaks of pests? (f) If significant ecological impacts are anticipated, are adequate protection measures taken to reduce the impacts on the ecosystem? (g) Isn't an illegal deforestation associated with the project being carried out, or is an acquisition of the forest certification by the project proponent being carried out?	(a) Y (b) Y (c) N (d) N (e) N (f) N/A (g) N	(a) The project will be implemented at several protected area sites and in other tropical rain forest areas. However, project interventions are aimed at forest protection and restoration. (b) A number of the forest sites, especially the designated protected area sites, include important habitats for endangered species. However, project interventions are primarily beneficial (and not damaging) to the conservation and protection of the protected areas (c) No large scale timber harvesting activities (d) No large scale timber harvesting activities (e) Mix planting of indigenous species and fast growing species is the main design of afforestation in protection forests, while planting of several indigenous species is the main design of the same in nature reserves. (f) Significant ecological impacts are not anticipated since sub-projects activities with significant ecological impacts are eliminated (see Negative Checklist in ESMF Appendix A) (g) The project supports sustainable forest development and protection and thus does not include any significant deforestation activities. Moreover, any clearance of natural forest is also eliminated through

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
				the Negative Checklist in ESMF Appendix A.
	(3) Hydrology	(a) Is there a possibility that alteration of rainwater runoff and runoff characteristics due to a large-scale timber harvesting and access road construction will cause impacts on the hydrology of the surrounding areas? (b) Is there a possibility that decreased water retention capacity due to deforestation will affect the existing drainage patterns of the forest?	(a) N (b) N	(a) There is no large scale timber harvesting activities planned in the project. (b) The project supports sustainable forest development and protection and thus does not include any significant deforestation activities. The project is aimed at enhancing water retention in critical watersheds.
	(4) Topography and Geology	(a) Is there a possibility that loss of forest stability due to timber harvesting will cause slope failures or landslides?	(a) N	(a) There is no significant timber harvesting activities planned in the project, although some minimal clearance may be associated with establishment of fire-breaks, constructing forest roads, and upgrading small scale village roads.
	(5) Management of Abandoned Sites	(a) Are adequate restoration and vegetation plans considered for the harvested areas? In particular, are adequate measures taken to prevent soil runoff from the harvested areas? (b) Is a sustainable management system for the harvested areas established? (c) Are adequate financial provisions secured to manage the harvested areas?	(a) N/A (b) N/A (c) N/A	(a) There is no significant timber harvesting activities planned. (b) Ditto (c) Ditto
4 Social Environment	(1) Resettlement	(a) Is involuntary resettlement caused by project implementation? If involuntary resettlement is caused, are efforts made to minimize the impacts caused by the resettlement? (b) Is adequate explanation on compensation and resettlement assistance given to affected people prior to resettlement? (c) Is the resettlement plan, including compensation with full replacement costs, restoration of livelihoods and living standards developed based on socioeconomic studies on resettlement? (d) Is the compensations going to be paid prior to the resettlement? (e) Is the compensation policies prepared in document? (f) Does the resettlement plan pay particular attention to vulnerable groups or people, including women, children, the elderly, people below the poverty line, ethnic minorities, and indigenous peoples? (g) Are agreements with the affected people obtained prior to resettlement? (h) Is the organizational framework established to properly implement resettlement? Are the capacity and budget secured to implement the plan? (i) Are any plans developed to monitor the impacts of resettlement? (j) Is the grievance redress mechanism established?	(a) N (b) N/A (c) N/A (d) N/A (e) N/A (f) N/A (g) N/A (h) N/A (i) N/A (j) Y	(a) There will be no physical displacement nor land acquisition under the project. (b) There will not be any resettlement associated with the project. (c) Ditto. (d) Ditto. (e) Ditto. (f) Ditto. (g) Ditto. (h) Ditto. (i) Ditto. (j) Guidance on GRM is prepared as part of IPPF substantive requirements and included as part of the Consultation and Participation Guidelines (ESMF Appendix D)
	(2) Living and Livelihood	(a) Is there a possibility that the project will adversely affect the living conditions of inhabitants? Are adequate measures considered to reduce the impacts, if necessary? Is particular attention paid to the inhabitants whose livelihoods are based on primary industries, such as farming, raising livestock, or hunting and gathering in the forests? (b) Are adequate measures taken to prevent illegal entry into the forestry resource areas from the outside through newly constructed access roads?	(a) N (b) N/A (c) N (d) Y	(a) There may be the possibility for some loss of access to productive assets and livelihoods by introduction of afforestation and ANR activities in lands under customary use. However, this threat can be avoided and mitigated through consultations with local communities including participatory land use planning activities planned in the project. Procedures and measures for consultations are described in Consultation and Participation Guidelines of ESMF. In fact, it is expected that local people can increase their cash earnings through

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
		(c) Is there a possibility that the forest right of common is obstructed? (d) Are considerations given to life of residents before implementation of project?		participation of the project because of the following reasons: - In general, the project will use abandoned areas where local communities have left as fallow over years and do not plan to use for farming in coming years; and - Local communities will gain cash income from the forest development and improvement activities during the project period; and - They will be able to earn cash income from thinning of subordinate (economic) species, collection of NTFPs, and payment of PFES after the end of the project under the collaborative management agreement with PFMBs/ SUFMBs. (b) Forestry road is basically developed for carrying seedlings for afforestation and patrolling the areas. Hence, the major part of it will be just good for motorbike use, which cannot be used for transportation of timber illegally cut. (c) The project does not include activities which significantly strengthen forest law enforcement or create additional restrictions of access to forest lands and resources (d) A socio-economic baseline survey is planned to be conducted in the beginning of the project to clarify the life of local communities residing in the project areas. Consultations will also be carried out to give due considerations to local livelihoods and life style in making detailed designs of the project activities. Detailed description of consultation and participation procedures to be applied prior to and during project implementation are included in ESMF (Please see ESMF Appendix D).
	(3) Heritage	(a) Is there a possibility that the project will damage the local archaeological, historical, cultural, and religious heritage? Are adequate measures considered to protect these sites in accordance with the country's laws?	(a) N	(a) There is no archaeological, historical, cultural, and religious heritage sites in and around the project areas.
	(4) Landscape	(a) Is there a possibility that the project will adversely affect the local landscape? Are necessary measures taken?	(a) N	(a) The project promotes sustainable forest development and protection, as such it aims to enhance local landscapes.
4 Social Environment	(5) Ethnic Minorities and Indigenous Peoples	(a) Are considerations given to reduce impacts on the culture and lifestyle of ethnic minorities and indigenous peoples? (b) Are all of the rights of ethnic minorities and indigenous peoples in relation to land and resources respected?	(a) Y (b) Y	(a) An Integrated ESMF is prepared to meet the substantive requirements of an IPPF, which details the procedures for consultations to reduce and minimize impacts on culture and lifestyle of ethnic minorities in the Consultation and Participation Guidelines (see ESMF Appendix D). (b) The project avoids any involuntary resettlement or formal land acquisition of ethnic minority households. The project does not include significant additional restrictions on access to forest resources. Where there are situations of existing latent land tenure conflict these are to be resolved through a process of free, prior and informed consultation (FPIC) leading to broad community support and agreements on spatial land use plans which acknowledge customary/informal land use areas to avoid and mitigate any

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
				loss of livelihoods (see ESMF, especially Appendix D).
	(6) Working Conditions	<p>(a) Is the project proponent not violating any laws and ordinances associated with the working conditions of the country which the project proponent should observe in the project?</p> <p>(b) Are tangible safety considerations in place for individuals involved in the project, such as the installation of safety equipment which prevents industrial accidents, and management of hazardous materials?</p> <p>(c) Are intangible measures being planned and implemented for individuals involved in the project, such as the establishment of a safety and health program, and safety training (including traffic safety and public health) for workers etc.?</p> <p>(d) Are appropriate measures taken to ensure that security guards involved in the project not to violate safety of other individuals involved, or local residents?</p>	<p>(a) N/A (b) N/A (c) N/A (d) N/A</p>	<p>(a) No physical development relating to forestry development is planned in the project.</p> <p>(b) Ditto.</p> <p>(c) The majority of the works to be undertaken by local communities are simple and less dangerous, as they are similar to farming activities, such as weeding, hole digging, carrying materials, and planting seedlings. Hence, health program and safety training are not necessarily required for the project.</p> <p>(d) No security guard will be placed in the project.</p>
5 Others	(1) Impacts during Construction	<p>(a) Are adequate measures considered to reduce impacts during construction (e.g., noise, vibrations, turbid water, dust, exhaust gases, and wastes)?</p> <p>(b) If construction activities adversely affect the natural environment (ecosystem), are adequate measures considered to reduce impacts?</p> <p>(c) If construction activities adversely affect the social environment, are adequate measures considered to reduce impacts?</p>	<p>(a) N/A (b) N/A (c) N/A</p>	<p>(a) No physical development relating to forestry development is planned in the project.</p> <p>(b) Ditto.</p> <p>(c) Ditto.</p>
	(2) Monitoring	<p>(a) Does the proponent develop and implement monitoring program for the environmental items that are considered to have potential impacts?</p> <p>(b) What are the items, methods and frequencies of the monitoring program?</p> <p>(c) Does the proponent establish an adequate monitoring framework (organization, personnel, equipment, and adequate budget to sustain the monitoring framework)?</p> <p>(d) Are any regulatory requirements pertaining to the monitoring report system identified, such as the format and frequency of reports from the proponent to the regulatory authorities?</p>	<p>(a) N/A (b) N/A (c) N/A (d) N/A</p>	<p>(a) Environmental Management and Monitoring Framework developed in ESMF can be used for the basis of monitoring plan.</p> <p>(b) Ditto.</p> <p>(c) Ditto.</p> <p>(d) Environmental monitoring will be carried out as a part of regular monitoring defined by Decision No. 18/2016.</p>
6 Note	Reference to Checklist of Other Sectors	<p>(a) Where necessary, pertinent items described in the Agriculture checklist should also be checked.</p>	<p>(a) N/A</p>	<p>(a) Agricultural activities under the project are extremely small-scale, restricted mainly to capacity-building and do not involve significant environmental or social risks.</p>
	Note on Using Environmental Checklist	<p>(a) If necessary, the impacts to trans-boundary or global issues should be confirmed (e.g., the project includes factors that may cause problems, such as transboundary waste treatment, acid rain, destruction of the ozone layer, or global warming).</p>	<p>(a) N/A</p>	<p>(a) No significant negative impacts on trans-boundary or global issues are expected. To the contrary, the project is expected to enhance GHG sequestration as forest carbon sinks.</p>

Remarks: "Y," "N," and "N/A" means "Yes," "No," and "Not Applicable."

Note:

1) Regarding the term "Country's Standards" mentioned in the above table, in the event that environmental standards in the country where the project is located diverge significantly from international standards, appropriate environmental considerations are required to be made. In cases where local environmental regulations are yet to be established in some areas, considerations should be made based on comparisons with appropriate standards of other countries (including Japan's experience).

2) Environmental checklist provides general environmental items to be checked. It may be necessary to add or delete an item taking into account the characteristics of the project and the particular circumstances of the country and locality in which the project is located.



## Appendix-B (1): Environmental Checklists

### b. Silviculture and Small Scale Rural Infrastructure Project

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
1 Permits and Explanation	(1) EIA and Environmental Permits	<p>(a) Have EIA reports been already prepared in official process?</p> <p>(b) Have EIA reports been approved by authorities of the host country's government?</p> <p>(c) Have EIA reports been unconditionally approved? If conditions are imposed on the approval of EIA reports, are the conditions satisfied?</p> <p>(d) In addition to the above approvals, have other required environmental permits been obtained from the appropriate regulatory authorities of the host country's government?</p>	<p>(a) N</p> <p>(b) N</p> <p>(c) N</p> <p>(d) N</p>	<p>(a) As regulated in the Decree No 18/2015/ND-CP dated February 14th 2015 and Circular No 27/2015/TT-BTNMT dated May 29th 2015, an EIA is required as part of the project approval process on GoV side but has not been conducted yet.</p> <p>(b) EIA report shall be prepared by the project proponent (MBFPs) and submitted to MONRE for obtaining of approval before submission of pre-F/S for approval of PM.</p> <p>(c) See above.</p> <p>(d) Beyond the project-level EIA, no further approvals are required.</p>
	(2) Explanation to the Local Stakeholders	<p>(a) Have contents of the project and the potential impacts been adequately explained to the Local stakeholders based on appropriate procedures, including information disclosure? Is understanding obtained from the Local stakeholders?</p> <p>(b) Have the comment from the stakeholders (such as local residents) been reflected to the project design?</p>	<p>(a) Y</p> <p>(b) Y</p>	<p>(a) Stakeholder Consultation Meetings were held during the project preparation survey, however this was restricted to consultations with local level government authorities and mass organisations and did not include adequate consultation with project affected communities and households. Further consultation is therefore required specifically at project site levels prior to implementation of specific activities. Such consultation is provided for in the ESMF - see Consultation and Participation Guidelines (Appendix D)</p> <p>(b) Comments from project stakeholders (Forest Management Boards, Local government authorities (PPC, CPC, DARD, DoNRE, CEMA etc.) and mass organisations) were noted and reflected in project design. However, comments from affected communities and households should be absorbed into detailed design of interventions at the site level.</p>
	(3) Examination of Alternatives	<p>(a) Have alternative plans of the project been examined with social and environmental considerations?</p>	<p>(a) Y</p>	<p>(a) Full consideration of an alternative for the project has not been considered however the project design has been examined with respect to environmental and social considerations during the preparatory survey. Certain activities have been eliminated or altered so as to ensure that environmental and social impacts are avoided, minimised or otherwise mitigated during implementation (see ESMF).</p>
2 Pollution Control	(1) Air Quality	<p>(a) Do air pollutants, (such as sulphur oxides (SOx), nitrogen oxides (NOx), and soot and dust) emitted from the proposed infrastructure facilities and ancillary facilities comply with the country's emission standards and ambient air quality standards? Are any mitigating measures taken?</p> <p>(b) Are electric and heat source at accommodation used fuel which emission factor is low?</p>	<p>(a) N/A</p> <p>(b) N/A</p>	<p>(a) The rehabilitation/upgrading of small-scale rural infrastructure and silviculture infrastructure could generate unnoticeable dust. However, these impacts are inconsiderably temporal and below the country's emission standard. These potential risks will be further minimized by following the environmental management plan, particularly the Environmental Code of Practice (ECOP) given by ESMF. ECOPs outline typical generic low risk techniques that can be applied to a wide range of small scale temporary construction activities in the four provinces. ECOPs include mitigation measures and procedures for introduction of mitigation measures in the construction works. They include mitigation measures for these impacts and a process for including them in the construction contracts of contractors. Detailed designs shall be developed in accordance with ECOPs and also other specific measures identified in the environmental management plan.</p>

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
				(b) All the construction work is seasonal and temporal. In fact, the construction period is estimated at less than 6 months in general. Therefore, no electric and heat source is required during the construction. Furthermore, no infrastructure development associated with an electric and heat source is planned in the project.
	(2) Water Quality	(a) Do effluents or leachates from various facilities, such as infrastructure facilities and the ancillary facilities comply with the country's effluent standards and ambient water quality standards?	(a) Y	(a) The rehabilitation/upgrading of small-scale rural infrastructure and silviculture infrastructure could only generate small amount of effluents; therefore, these impacts are inconsiderably temporal and below the country's emission standard. However, EMP/ECOP included in ESMF specifies the mitigation measures to control the effluent to minimize the water pollution during the construction phase.
	(3) Wastes	(a) Are wastes from the infrastructure facilities and ancillary facilities properly treated and disposed of in accordance with the country's regulations?	(a) Y	(a) There will not be any significant waste associated with project activities since any small-scale issues of waste will be dealt with according to national regulations and in accordance with the proposed Environmental Code of Practice (ECOP - see ESMF Appendix C).
	(4) Soil Contamination	(a) Are adequate measures taken to prevent contamination of soil and groundwater by the effluents or leachates from the infrastructure facilities and the ancillary facilities?	(a) Y	(a) Likewise, the impact will be temporal and minimal, and a potential risk of effluents will be strictly dealt with by applying the ECOPs.
	(5) Noise and Vibration	(a) Do noise and vibrations comply with the country's standards?	(a) Y	(a) Given that small-scale rural infrastructure focuses on rehabilitation/ upgrading and the scale of silviculture infrastructure is small, noise and vibration are expected to be very small. Furthermore, the locations of the construction sites are remote and mountainous areas, there will be less households who might be affected by the construction. Moreover, the issue can be properly dealt with by applying the noise/vibration mitigation measure described in the ECOPs.
	(6) Subsidence	(a) In the case of extraction of a large volume of groundwater, is there a possibility that the extraction of groundwater will cause subsidence?	(a) N/A	a) No extraction of a large volume of groundwater is associated with the construction works of such small scale infrastructure and silviculture infrastructure.
	(7) Odor	(a) Are there any odor sources? Are adequate odor control measures taken?	(a) N	a) No odor sources are foreseen during the project implementation.
3 Natural Environment	(1) Protected Areas	(a) Is the project site or discharge area located in protected areas designated by the country's laws or international treaties and conventions? Is there a possibility that the project will affect the protected areas? (b) Is the project site located in protected areas designated by the country's laws or international treaties and conventions? Is there a possibility that the project will affect the protected areas?	(a) Y	(a) The project will not involve any significant discharge from construction. (B) No physical development of small scale rural infrastructure is planned in the project. Only minor works, such as set-ups of watch towers and information boards, may be undertaken in the special use forests. However, they are generally simple interventions which will not disturb ecosystem around them. Moreover, they are primarily part of the management works of SUFMBs concerned and beneficial to strengthening of conservation and protection in the protected areas.
	(2) Ecosystem	(a) Does the project site encompass primeval forests, tropical rain forests, ecologically valuable habitats (e.g., coral reefs, mangroves, or tidal flats)? (b) Does the project site encompass the protected habitats of endangered species designated by the country's laws or international treaties and conventions? (c) If significant ecological impacts are anticipated, are adequate protection measures taken to reduce the impacts on ecosystems?	(a) N (b) N (c) Y (d) Y (e) Y (f) N/Y	(a) No infrastructure development even watch tower and information board is not planned in primary forests and tropical rain forests, which are designated as strictly conservation sub-zone. (b) As described above, no infrastructure development is planned in the protected habitats (or nature reserves). Any potential impacts on ecosystems in protection forests can be eliminated by applying the Negative Checklist given in ESMF.

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
		<p>(d) Are adequate protection measures taken to prevent impacts, such as distribution of migration routes, habitat fragmentation, and traffic accident of wildlife and livestock?</p> <p>(e) Is there a possibility that installation of roads will cause impacts, such as destruction of forest, poaching, desertification, reduction in wetland areas, and disturbance of ecosystem due to introduction of exotic (non-native invasive) species and pests? Are adequate measures for preventing such impacts considered?</p> <p>(f) In cases the project site is located at undeveloped areas, is there a possibility that the new development will result in extensive loss of natural environment?</p>		<p>(c) Only motorbike road is proposed as the forestry road in principle so as to minimize significant negative impact on ecosystems. All construction works for small scale rural infrastructure are upgrading of existing facilities; hence, the construction works will be extremely small-scale and temporal. Furthermore, any potential impacts can be minimized or prevented by application of the negative checklists and mitigation measures described in in the ECOPs of the ESMF.</p> <p>(d) Ditto.</p> <p>(e) Natural vegetation might be cleared by installation of the forestry road. However, as described above, the installation of motorbike road can mitigate such a risk. Furthermore, forestry road (either motorbike road or forestry road) will not be developed in existing forests but in degraded vegetation areas; hence destruction of forest is considered minimal. Again, the application of the negative checklists and mitigation measures described in in the ECOPs could minimize the risk.</p> <p>(f) Any infrastructure development will not be undertaken in undeveloped areas.</p>
	(3) Hydrology	<p>(a) Is there a possibility that hydrologic changes due to the project will adversely affect surface water and groundwater flows?</p> <p>(b) Is there a possibility that alteration of topographic features and installation of structures, such as tunnels will adversely affect surface water and groundwater flows?</p>	<p>(a) N (b) N/Y</p>	<p>(a) Given that the scale and scope of "improvement of small-scale rural infrastructure" and "development of silviculture infrastructure" and small and scattered, and mainly focus on rehabilitation/upgrading of existing facilities, the potential risks on surface water and groundwater flows are expected to be minimal. Furthermore, the impacts on surface water and groundwater flows can be eliminated by applying the Negative Checklist in ESMF. In addition, the ECOPs with mitigation measures will help the contractors not to cause any adverse impacts.</p> <p>(b) No physical development which might cause the alteration of topographic features is planned in the project.</p>
	(4) Topography and Geology	<p>(a) Is there a possibility the project will cause large-scale alteration of the topographic features and geologic structures in the project site and surrounding areas?</p> <p>(b) Is there any soft ground on the route that may cause slope failure or landslides? Are adequate measures considered to prevent slope failures or landslides, where needed?</p> <p>(c) Is there a possibility that civil works, such as cutting and filling will cause slope failures or landslides? Are adequate measures considered to prevent slope failures or landslides</p> <p>(d) Is there a possibility that soil runoff will result from cut and fill areas, waste soil disposal sites, and borrow sites? Are adequate measures taken to prevent soil runoff?</p>	<p>(a) N</p>	<p>(a) No large scale alteration of topographic features and geologic structures are expected and eliminated by using the Negative Checklist.</p> <p>(b) The size and scale of construction works are minimal and the extent of ground work is limited. The potential risk of slope failure and landslide can also be minimize and eliminated by application of the negative checklist and mitigation measures described in in the ECOPs.</p> <p>(c) Some cutting and filling will be associated with construction of motorbike/forestry road as well as improvement of rural roads. However, the size of filling and cutting is minimal; therefore the potential impacts is likely negligible. ECOPs describe the necessary mitigation measures to protect slopes (cutting and filling areas) from erosion and failures.</p> <p>(d) In theory, there is possibility that soil runoff can happen in cut and fill areas. However, the size of the construction site is general minimal and construction period is seasonal (mainly dry season) and temporal, hence the potential risk is also minimal. Plus, the application of the mitigation measures described in in the ECOPs can further minimize the risks.</p>
4 Social Environment	(1) Resettlement	<p>(a) Is involuntary resettlement caused by project implementation? If involuntary</p>	<p>(a) N (b) N/A</p>	<p>(a) There will be no physical displacement nor land acquisition under the project.</p>

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
		<p>resettlement is caused, are efforts made to minimize the impacts caused by the resettlement?</p> <p>(b) Is adequate explanation on compensation and resettlement assistance given to affected people prior to resettlement?</p> <p>(c) Is the resettlement plan, including compensation with full replacement costs, restoration of livelihoods and living standards developed based on socioeconomic studies on resettlement?</p> <p>(d) Is the compensations going to be paid prior to the resettlement?</p> <p>(e) Is the compensation policies prepared in document?</p> <p>(f) Does the resettlement plan pay particular attention to vulnerable groups or people, including women, children, the elderly, people below the poverty line, ethnic minorities, and indigenous peoples?</p> <p>(g) Are agreements with the affected people obtained prior to resettlement?</p> <p>(h) Is the organizational framework established to properly implement resettlement? Are the capacity and budget secured to implement the plan?</p> <p>(i) Are any plans developed to monitor the impacts of resettlement?</p> <p>(j) Is the grievance redress mechanism established?</p>	<p>(c) N/A (d) N/A (e) N/A (f) N/A (g) N/A (h) N/A (i) N/A (j) Y</p>	<p>(b) There will not be any resettlement associated with the project. (c) Ditto (d) Ditto (e) Ditto (f) Ditto (g) Ditto (h) Ditto (i) Ditto (j) Guidance on GRM is prepared as part of IPPF substantive requirements and included as part of the Consultation and Participation Guidelines (ESMF).</p>
	(2) Living and Livelihood	<p>(a) Is there a possibility that the project will adversely affect the living conditions of inhabitants? Are adequate measures considered to reduce the impacts, if necessary?</p> <p>(b) Is there any possibility that the project will adversely affect the living conditions of the inhabitants other than the target populations? Are adequate measures considered to reduce the impact, if necessary?</p> <p>(c) Is there any possibility that diseases, including infectious diseases, such as HIV will be brought due to immigration of workers associated with the project? Are adequate considerations given to public health, if necessary?</p> <p>(d) Is there any possibility that the project will adversely affect road traffic in the surrounding areas?</p> <p>(e) Is there any possibility that roads will impede the movement inhabitants?</p> <p>(f) Is there any possibility that structures associated with roads will cause a sun shading and radio interference?</p>	<p>(a) N (b) N (c) N (d) N (e) N (f) N</p>	<p>(a) The rehabilitation/upgrading of small-scale rural infrastructure and silviculture infrastructure will not adversely affect the living conditions of inhabitants. However, ESMF includes a detailed description of consultation and participation procedures to be applied for the adequate consideration of local livelihoods and consultation with affected communities and households prior to and during project implementation (see ESMF Appendix D).</p> <p>(b) No adverse influence is caused by the project. If anything, all the small scale rural infrastructure will give substantial benefits to local communities and improve their living conditions.</p> <p>(c) The construction works for all the infrastructure is at the small scale, hence, casual labourers will be mainly local people living in the target areas. The risk of the outbreak of HIV or other transmittable diseases is limited.</p> <p>(d) There is no possibility of affecting the existing road traffic.</p> <p>(e) There is no possibility of impeding the movement of inhabitants as the scale of the planned rural and silviculture infrastructure facilities is small.</p> <p>(f) There is no possibility of sun shading and radio interference.</p>
	(3) Heritage	<p>(a) Is there a possibility that the project will damage the local archaeological, historical, cultural, and religious heritage? Are adequate measures considered to protect these sites in accordance with the country's laws?</p>	<p>(a) N</p>	<p>(a) There is no archaeological, historical, cultural, and religious heritage sites in and around the project areas. Also any such activities can be further eliminated by using a negative checklist presented in ESMF Appendix A.</p>
	(4) Landscape	<p>(a) Is there a possibility that the project will adversely affect the local landscape? Are necessary measures taken?</p>	<p>(a) N (b) N</p>	<p>(a) The project will not adversely affect the local landscapes. (b) No high building is proposed in the project</p>

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
		(b) Is there a possibility that landscape is spoiled by construction of high-rise buildings such as huge hotels?		
	(5) Ethnic Minorities and Indigenous Peoples	(a) Are considerations given to reduce impacts on the culture and lifestyle of ethnic minorities and indigenous peoples? (b) Are all of the rights of ethnic minorities and indigenous peoples in relation to land and resources respected?	(a) Y (b) Y	(a) An Integrated ESMF is prepared to meet the substantive requirements of an IPPF, which details the procedures for consultations to reduce and minimize impacts on culture and lifestyle of ethnic minorities in the Consultation and Participation Guidelines (see ESMF Appendix D). (b) Any involuntary resettlement or land acquisition will not occur along with improvement of small scale rural infrastructure and development of silviculture infrastructure in general. In the process of free, prior and informed consultation (FPIC), which leads the participatory land use planning, the proposed locations of village roads or forest roads to be developed could be discuss with local communities to avoid land acquisition and cause any loos of livelihood.
	(6) Working Conditions	(a) Is the project proponent not violating any laws and ordinances associated with the working conditions of the country which the project proponent should observe in the project? (b) Are tangible safety considerations in place for individuals involved in the project, such as the installation of safety equipment which prevents industrial accidents, and management of hazardous materials? (c) Are intangible measures being planned and implemented for individuals involved in the project, such as the establishment of a safety and health program, and safety training (including traffic safety and public health) for workers etc.? (d) Are appropriate measures taken to ensure that security guards involved in the project not to violate safety of other individuals involved, or local residents?	(a) N (b) Y (c) Y (d) Y	(a) The project will not violate any laws regarding working conditions (see Environmental Code of Practice in ESMF Appendix C) (b) Environmental Code of Practice in ESMF Annex C is included the content of Worker safety which require the worker should wear protective labour equipment at construction site. (c) Environmental Code of Practice in ESMF Appendix C include the contractor's workers environmental code of conducts to cope with risk and emergency at construction site and provide training for workers on occupational safety regulations. (d)Environmental Code of Practice is also included the requirement of Installation of fences, barriers, lighting system against traffic accidents, dangerous warning/prohibition site around the construction area which showing potential danger to public people .
5 Others	(1) Impacts during Construction	(a) Are adequate measures considered to reduce impacts during construction (e.g., noise, vibrations, turbid water, dust, exhaust gases, and wastes)? (b) If construction activities adversely affect the natural environment (ecosystem), are adequate measures considered to reduce impacts? (c) If construction activities adversely affect the social environment, are adequate measures considered to reduce impacts?	(a) Y (b) Y (c) Y	(a) Construction activities in the project are small scale (primarily upgrading existing infrastructure); therefore, the potential adverse impact is expected to be minimal. However, measures to reduce impacts are specified as the ECOP in ESMF Annex C) (b) There will be no clearance of natural forest under the project nor any construction of new roads, even forestry road in the nature reserves (protected areas). Forestry or motorbike roads will be developed in the protection forests, but its scope (width) is narrow and the lengths are also limited; therefore, the potential impact is expected to be less. Moreover, any significant impact can be avoided by applying the Negative Checklist in ESMF Appendix A. (c) There will be no physical resettlement or land acquisition in the project; therefore social issues can be expected to be minimal and temporary disruption during the construction phase. These are generally mitigated by application of the ECOP in ESMF Appendix C.
	(2) Monitoring	(a) Does the proponent develop and implement monitoring program for the environmental items that are considered to have potential impacts? (b) What are the items, methods and frequencies of the monitoring program?	(a) Y (b) Y (c) Y (d) Y	(a) Environmental Management and Monitoring Framework developed in ESMF can be used for the basis of monitoring plan. (b) Ditto. (c) Ditto.

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
		(c) Does the proponent establish an adequate monitoring framework (organization, personnel, equipment, and adequate budget to sustain the monitoring framework)? (d) Are any regulatory requirements pertaining to the monitoring report system identified, such as the format and frequency of reports from the proponent to the regulatory authorities?		(d) Environmental monitoring will be carried out as a part of regular monitoring defined by Decision No. 18/2016.
6 Note	Reference to Checklist of Other Sectors	(a) Where necessary, pertinent items described in the Roads, Railways and Bridges checklist should also be checked (e.g., projects including access roads to the infrastructure facilities).	(a) N/A	(a) The small-scale rural infrastructure and silviculture infrastructure under the project are extremely small-scale, restricted mainly to rehabilitation/upgrading/restoration the existing works and do not involve significant environmental or social risks.
	Note on Using Environmental Checklist	(a) If necessary, the impacts to trans-boundary or global issues should be confirmed (e.g., the project includes factors that may cause problems, such as trans-boundary waste treatment, acid rain, destruction of the ozone layer, or global warming).	(a) N/A	(a) No significant negative impacts on trans-boundary or global issues are expected. To the contrary, the project is expected to enhance GHG sequestration as forest carbon sinks.

Remarks: "Y," "N," and "N/A" means "Yes," "No," and "Not Applicable."

Note:

1) Regarding the term "Country's Standards" mentioned in the above table, in the event that environmental standards in the country where the project is located diverge significantly from international standards, appropriate environmental considerations are required to be made. In cases where local environmental regulations are yet to be established in some areas, considerations should be made based on comparisons with appropriate standards of other countries (including Japan's experience).

2) Environmental checklist provides general environmental items to be checked. It may be necessary to add or delete an item taking into account the characteristics of the project and the particular circumstances of the country and locality in which the project is located.

## Appendix-B (2): Environmental Scoping

### a. Forestry Project

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
Pollution control measures	1	Air	D	D	<p><u>Before/during construction</u> Any activities planned before and during the project are not expected to cause air pollution.</p> <p><u>After construction</u> No activity which might cause air pollution will be carried out in the post project period.</p>
	2	Water	D	D	<p><u>Before/during construction</u> Any activities planned before and during the project are not expected to cause water pollution as the opportunity to use fertilizer in the project is limited and the amount of use is also small.</p> <p><u>After construction</u> No activity which might cause water pollution will be carried out in the post project period.</p>
	3	Waste	D	D	<p><u>Before/during construction</u> Any activities planned before and during the project are not expected to generate significant waste.</p> <p><u>After construction</u> No activity which might generate waste will be carried out in the post project period.</p>
	4	Soil	D	D	<p><u>Before/during construction</u> As the use of chemical (e.g., fertilizers and agrochemicals) is limited, the possibility of soil contamination is nil.</p> <p><u>After construction</u> No activity which might cause soil pollution and degradation will be carried out in the post project period.</p>
	5	Conservation area	D	B+	<p><u>Before/during construction</u> Although special use forests, namely nature reserves, are part of the project areas in the project, the project plans to restore deforested areas into forests of indigenous species, assist natural regeneration of degraded forests, and protect natural forests in such areas. Hence, no adverse effect caused by the project is foreseen.</p> <p><u>After construction</u> The project plans to strengthen the capacity of SUFMBs responsible for management of the conservation areas.</p>
	6	Ecosystem	B+	B+	<p><u>Before/during construction</u> The project activities, particularly those under "Improvement of Watershed Forests," will improve the function of ecosystems through restoration/rehabilitation of degraded areas and protection of natural forests.</p> <p><u>After construction</u> Under the collaborative management agreement, local communities and SUFMBs will protect the ecosystems in a sustainable manner. As mentioned above, SUFMBs will be capacitated to manage the protected areas in a proper manner.</p>
	7	Hydrology	D	D	<p><u>Before/during construction</u> Any activities planned before and during the project are not expected to alter the hydrologic characteristics of the project areas.</p> <p><u>After construction</u> No large scale timber harvesting or deforestation activity will be carried out in the post project period.</p>
	8	Topography and geology	D	D	<p><u>Before/during construction</u> Any activities planned before and during the project are not expected to alter the topographic conditions of the project areas.</p>

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
					<u>After construction</u> No large scale timber harvesting or deforestation activity will be carried out in the post project period.
Natural environment	9	Resettlement	D/B-	D/B-	<u>Before/during construction</u> No physical displacement, land acquisition, or any other types of resettlement will be associated with the project. Loss of assets or limited access to productive asset could also be eliminated and minimized as long as the project will hold adequate consultation meetings as planned in the participatory land use planning as well as indicated in the Consultation and Participation Guidelines (CPGs) in the ESMF. <u>After construction</u> Likewise, no physical displacement or any types of resettlement is foreseen in the post project period. Some communities might want to convert forested areas into farms.
Social environment	10	Living and Livelihood	B+	B+	<u>Before/during construction</u> Temporary employment opportunities will be heightened during the project period. <u>After construction</u> Livelihood conditions of local communities will be improved by improvement of small scale rural infrastructure, introduction of additional income generating activities, and PFES payment.
	11	Heritage	D	D	<u>Before/during construction</u> T There is no archeological, historical, cultural, and religious heritage sites in and around the project areas. <u>After construction</u> Ditto.
	12	Landscape	D	D	<u>Before/during construction</u> T There is no physical development activity which might change the landscape of the project areas. <u>After construction</u> Ditto.
	13	Ethnic minority • indigenous people	B+	B+	<u>Before/during construction</u> Ethnic minorities can enhance their skills and techniques on agriculture and forestry production and livelihood development activities. <u>After construction</u> They can use the skills and techniques that they learned from the project for operations of improved agriculture and forestry production and livelihood development activities in the post project period. They can also earn cash income from forestry products under the collaborative management agreement with SUFMBs concerned.
	14	Gender	C	D	<u>Before/during construction</u> An in-depth gender sensitive analysis will be carried out in the beginning of the project so that the project could further give consideration to gender aspect. <u>After construction</u> No significant impact is expected.
	15	Work environment ( including work safety)	D	D	<u>Before/during construction</u> The majority of the works will be simple and less dangerous. In fact, they are similar to farming activities. Hence, there is no possibility of i) violating any laws and ordinances associated with the working conditions or ii) causing any risks to health conditions of local communities. <u>After construction</u> Only patrolling works will be carried out in the post project period, which do not require any physical



Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
					development; therefore, any risk is not foreseen in the post project period.

Remarks: The alphabets indicate the extent of impact, namely, A: Highly possible, B: Slightly possible, C: Unknown, and D: Less possible, while the mathematical symbols (- and +) indicate the types of impact, namely, - : negative and + : positive.

## Appendix-B (2): Environmental Scoping

### b. Silviculture and Small-Scale Rural Infrastructure Development

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
Pollution control measures	1	Air	D/B-	D	<p><u>Before/during construction</u> The construction works might generate innoticeable dust. However, these impacts re inconsiderably temporal and below the country’s emission standard. These potential risks will be further minimized by following the environmental management plan, particularly the Environmental Code of Practice (ECOP) described in the ESMF.</p> <p><u>After construction</u> No physical development works which might generate dust or cause air pollution is planned in the post project period.</p>
	2	Water	D/B-	D	<p><u>Before/during construction</u> The construction works might generate small amount of effluents. As they will be small, inconsiderably temporal and below the contry’s emission standard. Likewise, potential adverse impact can be minimized and eliminated by following the EMP/ECOP in the ESMF.</p> <p><u>After construction</u> No physical development works which might cause water pollution is planned in the post project period. .</p>
	3	Waste	D/B-	D	<p><u>Before/during construction</u> There will not be any significant waste associated with the project activities.</p> <p><u>After construction</u> No physical development works which might generate waste is planned in the post project period. .</p>
	4	Soil	D/B-	D	<p><u>Before/during construction</u> The construction works might generate small amount of effluents or leachates from the infrastructure facilities. As they will be small, inconsiderably temporal and below the country’s standard. Likewise, potential adverse impact can be minimized and eliminated by following the EMP/ECOP in the ESMF.</p> <p><u>After construction</u> No physical development works which might cause water pollution is planned in the post project period.</p>
	5	Noise • Vibration	D/B-	D	<p><u>Before/during construction</u> Likewise, noise and vibration associated with the construction works are expected to be very small in consideration of the types and scale of rural and silviculture infrastructure. The occurrence of noise and vibration can be minimized by applying the mitigation measures described in ECOP.</p> <p><u>After construction</u> No physical development works which might cause noise and vibration is planned in the post project period.</p>
	6	Land sinkage	D	D	<p><u>Before/during construction</u></p>

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
					There is no construction work which requires the extraction of groundwater in the project. <u>After construction</u> No physical development works which might cause land sinkage is planned in the post project period.
	7	Bad odor	D	D	<u>Before/during construction</u> There is no construction work which might generate sources of bad odor in the project. <u>After construction</u> No physical development works which might cause bad odor is planned in the post project period.
Natural environment	8	Conservation area	D	D	<u>Before/during construction</u> No physical development of small scale rural infrastructure is planned in the project. Only minor works, such as set-ups of watch towers and information boards, may be undertaken in the special use forests. However, they are generally simple interventions which will not disturb ecosystem around them; therefore, no adverse impact on conservation area is foreseen during the construction. <u>After construction</u> No physical development or construction work within the special use forests is planned in the post project period.
	9	Ecosystem	D/B-	D/B-	<u>Before/during construction</u> Natural vegetation might be cleared by installation of the forestry road. However, the installation of motorbike road, as proposed in the plan, can mitigate such a risk. Furthermore the application of the mitigation measures described in ECOP in the ESMF can further minimize and eliminate the adverse impact on the natural ecosystems in the project areas. <u>After construction</u> No physical development or construction work within the special use forests is planned in the post project period. Silviculture /motorbike roads might facilitate the human encroachment of natural resources in ecosystems in the project areas.
	10	Hydrology	D	D	<u>Before/during construction</u> No large scale deforestation which may cause hydrologic changes would happen in the project. <u>After construction</u> Ditto.
	11	Topography and geology	D	D	<u>Before/during construction</u> No large scale physical development which cause the alteration of topographic/geologic conditions is not planned in the project. There will be some cutting and filling works associated with parts of infrastructure development in the project. However, the size of filling and cutting is minimal; therefore, the potential impacts is likely negligible. Moreover, potential impacts can

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
					be further minimized by applying the mitigation measures described in ECOP in the ESMF. <u>After construction</u> No large scale physical development which cause the alteration of topographic/geologic conditions is not planned in the post project period.
Social environment	12	Resettlement	D	D	<u>Before/during construction</u> No physical displacement nor land acquisition is expected to occur in the project. <u>After construction</u> Ditto.
	13	Living and Livelihood	B+	B+	<u>Before/during construction</u> The rehabilitation and upgrading of small scale rural infrastructure will not adversely affect the living conditions of local communities. If anything, the construction works associated with the infrastructure development can generate additional employment opportunities for local communities. <u>After construction</u> Livelihoods of local communities will be improved by improvement of marketability of local products and productivity of major crops.
	14	Heritage	D	D	<u>Before/during construction</u> T There is no archeological, historical, cultural, and religious heritage sites in and around the project areas. <u>After construction</u> Ditto.
	15	Landscape	D	D	<u>Before/during construction</u> T There is no physical development activity which might change the landscape of the project areas. <u>After construction</u> Ditto.
	16	Ethnic minority • indigenous people	D	B+	<u>Before/during construction</u> The majority of local communities in the project areas are ethnic minorities. There is no involuntary resettlement nor land acquisition (including any forms of resettlement) caused by the silviculture and rural infrastructure development. <u>After construction</u> As described above, the economic conditions and local livelihoods of ethnic minorities will be improved owing to the improvement of small scale rural infrastructure.
	17	Work environment ( including work safety)	D/B-	D	<u>Before/during construction</u> The project will not violate any laws and regulations relating to working environment. As long as ECOP described in the ESMF is properly observed, workers' safety can be protected and maintained. <u>After construction</u> No physical development is planned in the post project period. Local communities will

Category		Item	Evaluation		Reason for evaluation
			Before/ during construction	After construction	
					be involved in daily maintenance on a voluntary base.
	18	Gender	C	D	<u>Before/during construction</u> An in-depth gender sensitive analysis will be carried out in the beginning of the project so that the project could further give consideration to gender aspect. <u>After construction</u> No significant impact is expected.

Remarks: The alphabets indicate the extent of impact, namely, A: Highly possible, B: Slightly possible, C: Unknown, and D: Less possible, while the mathematical symbols (- and +) indicate the types of impact, namely, - : negative and + : positive.

### Appendix-B (3): Site-level Implementation Plan Environmental Checklist

No.	Items	N	L	M	Not known	Remarks
<p><b>Does the subproject is eligible (pass the negative list)?</b>  <i>(If Yes, please continue answer the below question? If No, stop and remove the name of the subprojects out of eligible list)</i></p>						
<p><b>Does the subproject entail these environmental impacts?</b></p>						
1.	Encroachment on historical/cultural areas					
2.	Encroachment on an ecosystem (e.g. natural habitat sensitive or protected area, national park, nature reserve etc....)					<i>Describe and briefly assess impact's level</i>
3.	Disfiguration of landscape and increased waste generation					
4.	Removal of vegetation cover or cutting down of trees during clearance for construction					
5.	Change of surface water quality or water flows (e.g. Increase water turbidity due to run-off, waste water from camp sites and erosion, and construction waste) or long-term.					<i>Indicate how and when this occurs.</i>
6.	Increased dust level or add pollutants to the air during construction					<i>Indicate how and when this occurs</i>
7.	Increased noise and/or vibration					<i>Indicate how and when this occurs</i>
8.	Temporally impact to households? If yes, how many households?					
9.	Risk of disease dissemination from construction workers to the local peoples (and vice versa)?					<i>Note estimated number of workers to be hired for project construction in the commune/district and what kind of diseases they might introduce or acquire</i>
11.	Potential for conflict between construction workers and local peoples (and vice versa)?					
12.	Use of explosive and hazardous chemicals					
13.	Construction that could cause disturbance to the transportation, traffic routes, or waterway transport?					
14.	Construction that could cause any damage to the existing local roads, bridges or other rural infrastructures?					
15.	Soil excavation during subproject's construction so as to cause soil erosion					

16.	Need to open new, temporary or permanent, access roads?					<i>Estimate number of and length of temporary or permanent access roads and their locations</i>
17.	Long-term impacts on air quality					
18.	Accident risks for workers and community during construction phase					
19.	Use of hazardous or toxic materials and generation of hazardous wastes					
20.	Risks to safety and human health					<i>Describe how.</i>
<b>Does the subproject entail temporarily land acquisition or restriction of access to resources?</b>						
21.	Acquisition (only allow temporarily of land (public or private) for its development					<i>List land areas for temporary land acquisition, type of soils, duration and purpose of acquisition</i>
22.	Use land that is currently occupied or regularly used for productive purposes (e.g., gardening, farming, pasture, fishing locations, forests)					
23.	Temporary or permanent loss of crops, fruit trees or household infrastructure					
24.	Involuntary restriction of access by people to legally designated parks and protected areas					
<p><i>If the answer to any of the questions 21-24 is “Yes” for “L”, “M”, please further consult with local people and authorities for voluntary donation or preparation of a simple Resettlement Action Plan (RAP)</i></p> <p><i>N: No impact; L: Low Impact; M: moderate impact</i></p>						

## Appendix-C: Simplified Environmental Code of Practice (ECOP) for Small Civil Works

The Environmental Codes of Practice (ECOP) is prepared to manage small environmental impacts during construction. The ECOPs is the good practice of World Bank funded project to manage small scale infrastructure investments subproject. ECOP will be a mandatory part of construction contract or bidding documents so that contractor complies with environmental covenants. The subproject owner (PPMU/FMB) will be responsible for monitoring of compliance with ECOP and preparing the required reports.

### Responsibilities:

*The subproject owner* (PPMUs/FMBs) and Contractors are the key entities responsible for implementation of this ECOP. Key responsibilities of PPMUs/FMBs and the contractors are as follows: PPMUs/FMBs is responsible for ensuring that the ECOP is effectively implemented. The PPMUs/FMBs will assign a qualified staff to be responsible for checking implementation compliance of Contractors, include the following: (a) monitoring the contractors' compliance with the environmental plan, (b) taking remedial actions in the event of non-compliance and/or adverse impacts, (c) investigating complaints, evaluating and identifying corrective measures; (d) advising the Contractor on environment improvement, awareness, proactive pollution prevention measures; (e) monitoring the activities of Contractors on replying to complaints;

*Contractor:* Contractor is responsible for carrying out civil works and informs PPMUs/FMBs, local authority and community about construction plan and risks associated with civil works. As such, contractor is responsible for implementing agreed measures to mitigate environmental risks associated with its civil works. Contractor is required to obey other national relevant legal regulations and laws.

*Small Civil Works:* two type of small civil works identified in the project: silviculture infrastructure (forest roads, sub-stations, watchtowers, fire-breaks, etc.) and small-scale infrastructure (commune roads, water supply, irrigation facilities).

### Part 1 – Contractor's Responsibilities

This is an example and is not necessarily a full treatment of all requirements for a specific project. For example, there might be reason to have contractor deal with sexually transmitted diseases, medical and hazardous waste s (e.g., oil from vehicle or furnace repair and similar, oily rags).

Issues/Risks	Mitigation Measure
<b>1) Dust generation/ Air pollution</b>	<ul style="list-style-type: none"> <li>The Contractor implement dust control measures to ensure that the generation of dust is minimized and is not perceived as a nuisance by local residents, maintain a safe working environment, such as: water dusty roads and construction sites; covering of material stockpiles; Material loads covered and secured during transportation to prevent the scattering of soil, sand, materials, or dust; Exposed soil and material stockpiles shall be protected against wind erosion.</li> </ul>
<b>2) Noise and vibration</b>	<ul style="list-style-type: none"> <li>All vehicles must have appropriate "Certificate of conformity from inspection of quality, technical safety and environmental protection" following Decision No. 35/2005/QD-BGTVT; to avoid exceeding noise emission from poorly maintained machines.</li> </ul>
<b>3) Water pollution</b>	<ul style="list-style-type: none"> <li>Portable or constructed toilets must be provided on site for construction workers. Wastewater from toilets as well as kitchens, showers, sinks, etc. shall be discharged into a conservancy tank for removal from the site or discharged into municipal sewerage systems; there should be no direct discharges to any water body.</li> <li>Wastewater over permissible values set by relevant Vietnam technical standards/regulations must be collected in a conservancy tank and removed from site by licensed waste collectors.</li> <li>At completion of construction works, water collection tanks and septic tanks shall be covered and effectively sealed off.</li> </ul>



Issues/Risks	Mitigation Measure
<b>4) Drainage and sedimentation</b>	<ul style="list-style-type: none"> <li>• The Contractor shall follow the detailed drainage design included in the construction plans, to ensure drainage system is always maintained cleared of mud and other obstructions.</li> <li>• Areas of the site not disturbed by construction activities shall be maintained in their existing conditions.</li> </ul>
<b>5) Solid waste</b>	<ul style="list-style-type: none"> <li>• At all places of work, the Contractor shall provide litter bins, containers and refuse collection facilities.</li> <li>• Solid waste may be temporarily stored on site in a designated area approved by the Construction Supervision Consultant and relevant local authorities prior to collection and disposal.</li> <li>• Waste storage containers shall be covered, tip-proof, weatherproof and scavenger proof.</li> <li>• No burning, on-site burying or dumping of solid waste shall occur.</li> <li>• Recyclable materials such as wooden plates for trench works, steel, scaffolding material, site holding, packaging material, etc. shall be collected and separated on-site from other waste sources for reuse, for use as fill, or for sale.</li> <li>• If not removed off site, solid waste or construction debris shall be disposed of only at sites identified and approved by the Construction Supervision Consultant and included in the solid waste plan. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas, such as in areas of natural habitat or in watercourses.</li> </ul>
<b>6) Chemical or hazardous wastes</b>	<ul style="list-style-type: none"> <li>• Used oil and grease shall be removed from site and sold to an approved used oil recycling company.</li> <li>• Used oil, lubricants, cleaning materials, etc. from the maintenance of vehicles and machinery shall be collected in holding tanks and removed from site by a specialized oil recycling company for disposal at an approved hazardous waste site.</li> <li>• Unused or rejected tar or bituminous products shall be returned to the supplier's production plant.</li> <li>• Store chemicals in safe manner, such as roofing, fenced and appropriate labelling.</li> </ul>
<b>7) Disruption of vegetative cover and ecological resources</b>	<ul style="list-style-type: none"> <li>• Areas to be cleared should be minimized as much as possible.</li> <li>• The Contractor shall remove topsoil from all areas where topsoil will be impacted on by rehabilitation activities, including temporary activities such as storage and stockpiling, etc; the stripped topsoil shall be stockpiled in areas agreed with the Construction Supervision Consultant for later use in re-vegetation and shall be adequately protected.</li> <li>• The application of chemicals for vegetation clearing is not permitted.</li> <li>• Prohibit cutting of any tree unless explicitly authorized in the vegetation clearing plan.</li> <li>• When needed, erect temporary protective fencing to efficiently protect the preserved trees before commencement of any works within the site.</li> <li>• The Contractor shall ensure that no hunting, trapping shooting, poisoning of fauna takes place.</li> </ul>
<b>8) Traffic management</b>	<ul style="list-style-type: none"> <li>• Before construction, carry out consultations with local government and community and with traffic police.</li> <li>• Significant increases in number of vehicle trips must be covered in a construction plan previously approved. Routing, especially of heavy vehicles, needs to take into account sensitive sites such as schools, hospitals, and markets.</li> <li>• Installation of lighting at night must be done if this is necessary to ensure safe traffic circulation.</li> </ul>

Issues/Risks	Mitigation Measure
	<ul style="list-style-type: none"> <li>• Place signs around the construction areas to facilitate traffic movement, provide directions to various components of the works, and provide safety advice and warning.</li> <li>• Employing safe traffic control measures, including road/rivers/canal signs and flag persons to warn of dangerous conditions.</li> <li>• Avoid material transportation for construction during rush hour.</li> <li>• Signpost shall be installed appropriately in both water-ways and roads where necessary.</li> </ul>
<b>9) Restoration of affected areas</b>	<ul style="list-style-type: none"> <li>• Cleared areas such as disposal areas, site facilities, workers' camps, stockpiles areas, working platforms and any areas temporarily occupied during construction of the project works shall be restored using landscaping, adequate drainage and vegetation.</li> <li>• Trees shall be planted at exposed land and on slopes to prevent or reduce land collapse and keep stability of slopes.</li> <li>• Soil contaminated with chemicals or hazardous substances shall be removed and transported and buried in waste disposal areas.</li> </ul>
<b>10) Worker and public Safety</b>	<ul style="list-style-type: none"> <li>• Training workers on occupational safety regulations and provide sufficient protective clothing for workers in accordance with applicable Vietnamese laws.</li> <li>• Install fences, barriers, dangerous warning/prohibition site around the construction area which showing potential danger to public people.</li> <li>• The contractor shall provide safety measures as installation of fences, barriers warning signs, lighting system against traffic accidents as well as other risk to people and sensitive areas.</li> <li>• If previous assessments indicate there could be unexploded ordnance (UXO), clearance must be done by qualified personnel and as per detailed plans approved by the Construction Engineer.</li> </ul>
<b>11) Communication with local communities</b>	<ul style="list-style-type: none"> <li>• The contractor shall coordinate with local authorities (leaders of local communes, leader of villages) for agreed schedules of construction activities at areas nearby sensitive places or at sensitive times (e.g., religious festival days).</li> <li>• Copies in Vietnamese of these ECOPs and of other relevant environmental safeguard documents shall be made available to local communities and to workers at the site.</li> <li>• Disseminate project information to affected parties (for example local authority, enterprises and affected households, etc) through community meetings before construction commencement.</li> <li>• Provide a community relations contact from whom interested parties can receive information on site activities, project status and project implementation results.</li> <li>• Inform local residents about construction and work schedules, interruption of services, traffic detour routes and provisional bus routes, blasting and demolition, as appropriate.</li> <li>• Notification boards shall be erected at all construction sites providing information about the project, as well as contact information about the site managers, environmental staff, health and safety staff, telephone numbers and other contact information so that any affected people can have the channel to voice their concerns and suggestions.</li> </ul>

## Part 2 – Contractor’s Workers Environmental Code of Conducts

This is an example for typical project, but for a specific project, some other requirements might be relevant. For example, washing hands protocol, or agreeing to attend STD workshops.

<b>Do:</b>	<b>Do not</b>
<ul style="list-style-type: none"> <li>◆ <b>Use the toilet facilities provided – report dirty or full facilities</b></li> <li>◆ <b>Clear your work areas of litter and building rubbish at the end of each day – use the waste bins provided and ensure that litter will not blow away.</b></li> <li>◆ <b>Report all fuel or oil spills immediately &amp; stop the spill from continuing.</b></li> <li>◆ <b>Smoke in designated areas only and dispose of cigarettes and matches carefully. (littering is an offence.)</b></li> <li>◆ <b>Confine work and storage of equipment to within the immediate work area.</b></li> <li>◆ <b>Use all safety equipment and comply with all safety procedures.</b></li> <li>◆ <b>Prevent contamination or pollution of streams and water channels.</b></li> <li>◆ <b>Ensure a working fire extinguisher is immediately at hand if any “hot work” is undertaken e.g. Welding, grinding, gas cutting etc.</b></li> <li>◆ <b>Report any injury of workers or animals.</b></li> <li>◆ <b>Drive on designated routes only.</b></li> <li>◆ <b>Prevent excessive dust and noise</b></li> </ul>	<ul style="list-style-type: none"> <li>◆ Remove or damage vegetation without direct instruction.</li> <li>◆ Make any fires.</li> <li>◆ Poach, injure, trap, feed or harm any animals – this includes birds, frogs, snakes, etc.</li> <li>◆ Enter any fenced off or marked area.</li> <li>◆ Drive recklessly or above speed limit</li> <li>◆ Allow waste, litter, oils or foreign materials into the stream</li> <li>◆ Litter or leave food lying around.</li> <li>◆ Cut trees for any reason outside the approved construction area</li> <li>◆ Buy any wild animals for food;</li> <li>◆ Use unapproved toxic materials, including lead-based paints, asbestos, etc.;</li> <li>◆ Disturb anything with architectural or historical value</li> <li>◆ Use of firearms (except authorized security guards)</li> <li>◆ Use of alcohol by workers during work hours</li> <li>◆ Wash cars or machinery in streams or creek</li> <li>◆ Do any maintenance (change of oils and filters) of cars and equipment outside authorized areas</li> <li>◆ Dispose trash in unauthorized places</li> <li>◆ Have caged wild animals (especially birds) in camps</li> <li>◆ Work without safety equipment (including boots and helmets)</li> <li>◆ Create nuisances and disturbances in or near communities</li> <li>◆ Use rivers and streams for washing clothes</li> <li>◆ Dispose indiscriminately rubbish or construction wastes or rubble</li> <li>◆ Spill potential pollutants, such as petroleum products</li> <li>◆ Do explosive and chemical fishing</li> <li>◆ Use latrines outside the designated facilities; and</li> <li>◆ Burn wastes and/or cleared vegetation.</li> </ul>

## Appendix-D: Consultation and Participation Guidelines

### D1 Objectives of the Consultation and Participation Guidelines

The Consultation and Participation Guidelines (CPG) has been developed to ensure that all local communities and households;

- a) are adequately informed about the project's objectives, activities, benefits and risks;
- b) have equitable opportunities to participate in the project;
- c) receive culturally appropriate benefits responsive to their interests, capacities and priorities which will be identified through prior consultations, and that those benefits are shared in an equitable way;
- d) are not adversely impacted by the project (or associated/linked) activities and/or that any adverse impacts are managed and mitigated appropriately;
- e) have the opportunity to raise project-related grievances and have processes in place for their redress.

The CPG places particular emphasis on ensuring that vulnerable groups including but not limited to indigenous communities and households will be informed of the project opportunities and consulted on its activities prior to their commencement, and receive project benefits that are culturally appropriate and gender- and inter-generationally inclusive. It will also ensure that the vulnerable groups will be informed of potential involuntary resettlement and land acquisition and any other potential adverse impacts of the project or potentially associated with the project. As such, the CPG aims to address the requirements of the JICA guidelines, including reference to guiding the preparation of Indigenous Peoples Plans (IPP) following the format indicated in Appendix B of the World Bank Operational Policy 4.10 on 'Indigenous Peoples', as required.

The World Bank and other international agencies use the term "indigenous people" in a broader sense to refer to communities which are socially and culturally different from vulnerable and other communities and possessing some or all of the following characteristics:

- a) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- b) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories
- c) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- d) An indigenous language, often different from the official language of the country or region.

Vietnam does not use the term 'indigenous' peoples to differentiate groups of peoples, because as in many other parts of Asia, the peoples with the dominant culture and language are also 'indigenous'. Instead, Vietnam does recognise 'ethnic minority peoples (*người dân tộc*) or groups (*dân tộc thiểu số*). Thus, the differentiation is based on cultural and ethnic grounds rather than origin or 'native-ness', as per native American Indians, for example (such peoples would be referred to as *người bản địa* or *người bản xứ* in Vietnamese). Ethnic minority groups share many equivalent characteristics with the broader understanding of 'indigenous peoples' as above and typically, major international development agencies apply the policies relating to IPs to projects which affect ethnic minority populations in Vietnam. In view of historical and socio-political contexts surrounding ethnic minority groups in the northern mountains, ethnic minorities are considered a key vulnerable group and treated as such in the CPF.

In compliance with the JICA guidelines, the CPG thus effectively follows the principles of an Indigenous Peoples Planning Framework (IPPF), or more appropriately for Vietnam, an Ethnic Minority Development Framework. As with the ESMF as a whole, a framework approach is taken (as

opposed to a plan) because at this stage, it is not known specifically which ethnic minority communities will be affected nor the precise activities to be implemented or they have only just been determined at the time of writing (with insufficient time for detailed assessment during the preparatory survey). Given that ethnic minority groups make up the overwhelming majority of the population in the target provinces, it is suggested that rather than creating an additional requirement to develop separate EMDPs at each site, the substantive elements are incorporated within the site-level project implementation plans. As such, the CPG set out:

- Village and beneficiary selection principles and criteria
- Social assessment guidelines
- A framework for ensuring free, prior, and informed consultation with the affected ethnic minority communities
- Institutional arrangements (including capacity building where necessary) for screening project-supported activities, evaluating their effects on ethnic minorities, preparing site-level implementation plans (including the required elements indicated in the IPP format OP 4.10), and addressing any grievances.
- Monitoring and reporting arrangements
- Disclosure arrangements for the site-level project implementation plans

## D2 Consultation and Participation Guidelines Principles

Stakeholder engagement in the project should be based on general international standard principles of free, prior and informed consultation (FPIC) and participation i.e.:

- **Free:** No coercion, intimidation or manipulation;
- **Prior:** Conducted sufficiently in advance of commencement of project activities;
- **Informed:** Relevant information is provided covering (at least) the following aspects:
  - a) The nature, size, pace, reversibility and scope of any proposed project or activity;
  - b) The reason/s or purpose of the project and/or activity;
  - c) The duration of the project;
  - d) The area that will be affected;
  - e) An assessment of the potential environmental and social impacts, positive and negative;
  - f) Expected role and responsibilities of different project stakeholders (including government agencies, NGOs, research institutions, private sector individuals/companies, community institutions, sub-groups within communities e.g. indigenous peoples, and others)
  - g) Procedures that the project may entail
- **Consultation:** A two-way process of ongoing dialogue between a proponent and the stakeholders involved or affected

AND

- **Participation:** Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them (World Bank, 1996)<sup>1</sup>.

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<sup>1</sup> World Bank. 1996. *The World Bank Participation Sourcebook*. Washington, D.C.: The World Bank.  
<http://documents.worldbank.org/curated/en/1996/02/696745/world-bank-participation-sourcebook>

D3 Target Groups of the Consultation and Participation Guidelines

Table 1 below indicates the groups the CPG is aimed at protecting, although it should be noted that an individual or household may fall into more than one of the categories below.

**Table 1: CPG Target Groups**

Group	Description/Rationale
1. Poor/Below Near Poor Households	<p>Poor households tend to be more dependent on forest resources and are thus disproportionately impacted by forest protection and development activities. For various reasons they may also be excluded from decision-making processes and equitable opportunities to benefit from development interventions.</p> <p>In Vietnam, there is also a ‘near-poor’ category of household socio-economic status. Such households should also be considered vulnerable as many, although better off than the poor, remain in a precarious position and can easily slip back into poverty. Some of these households were formerly categorized as poor but have become ‘near poor’ following a change in the way the GoV defines and calculates poverty.</p>
2. Landless	<p>The landless are often highly dependent on forest resources for their daily subsistence needs and as a safety net in times of duress. Development interventions can also often neglect this disadvantaged group as investments target farmers who have land and assets. In NW Vietnam, many upland ethnic minority farmers have still not been formally granted land rights for agricultural, forest and settlement land. Without any available alternatives, the majority will continue to clear land and cultivate ‘illegally’ but the lack of formal land rights adversely impacts their livelihoods in a number of ways, not least that without a LUC, farmers are not eligible for preferential/subsidized credit. Many of the landless therefore become trapped in a cycle of debt and are effectively indentured to informal moneylenders who charge extortionate interest rates.</p>
3. Ethnic Minorities	<p>Ethnic minorities in Vietnam share many of the same or similar characteristics as ‘indigenous peoples as defined by the World Bank and other major multilateral development agencies. They are characterized by having their own distinctive cultural and spiritual beliefs, practices and institutions, they have their own languages, they often inhabit specific more geographically remote or isolated areas and agro-ecological zones and are highly dependent on forest lands and natural resources in their daily livelihoods. Ethnic minorities in the mountainous NW region specifically, are amongst the poorest and most vulnerable groups in the country.</p> <p>Ethnic minorities comprise the overwhelming majority of the population in Vietnam’s NW provinces and especially in the remote forest areas. The major ethnic minority groups in the region are Muong, Thai, Tay, H’mong, Dzao, Giay, Lao and San Chay. It is noted that certain ethnic minority groups are poorer and more vulnerable than others, particularly those groups which tend to reside in the highest and most remote areas such as the H’mong and to a slightly lesser extent the Dzao. However, this is not always true and it should also be noted that there are numerous sub-groups (e.g. Black/White Thai, Black/Blue/White/Flower H’mong, Red Dzao etc) again with their own slight distinctions. Many of the mountainous groups traditionally practice shifting cultivation although many communities’ agricultural practices are becoming more sedentary as land availability, conflict and pressure becomes increasingly an issue.</p>
4. Women and Female Headed Households (FHH)	<p>In traditional patriarchal ethnic minority societies women are often excluded by socio-cultural norms and practices from decision-making processes and development interventions do not meet their needs. In NW Vietnam, upland ethnic minority women are often further disadvantaged due to high girl drop-out rates from formal education (earlier than boys) and as a consequence their Vietnamese language ability is weaker affecting their ability and confidence to participate effectively in community meetings.</p> <p>Women also play a specific and differentiated role in terms of agricultural production and forest management within different ethnic minority household divisions of labour (e.g. sowing, tending/weeding, marketing/selling produce, collection of NTFPs, craft production). FHH are a particularly vulnerable sub-group with a typically limited asset base and high levels of forest dependency</p>

Source: Compiled by JICA Survey Team

## D4 Stakeholder Engagement and FPIC Elements and Procedures

### D4.1 Community/Village Selection

The preparatory survey team through consultation with DARDs/FMBs and other local stakeholders have managed to earmark particular project sites for participation in the project, and have even prioritised particular communes for project investment. However, the specific communities (i.e. villages, sub-villages or hamlets) is yet to be determined. Since the project is primarily focused on forest protection and development, it therefore follows that the communities will be selected on the following bases:

- a) Those villages with forest land allocated to households in the area where afforestation, ANR and forest protection activities are desired by the FMBs
- b) Those villages with forest protection contracts (or with identified forest management and protection rights allocated for the provision of services and receipt of PFES payments) in the areas where afforestation, ANR and forest protection activities are desired by the FMBs
- c) Those villages living inside, adjacent to or on the periphery of the FMB site and especially the areas where afforestation, ANR and forest protection activities are desired by the FMBs

Village selection should be done by FMBs in consultation with the relevant CPCs and with due consideration of cost estimates. In principle, forest protection and development activities should be tangibly linked to livelihood and rural infrastructure benefits, and therefore there should be sufficient budget to achieve meaningful impacts with participating households and communities and the temptation to include as many villages as possible (whilst spreading project funds more thinly) should be resisted. Village selection should be checked and approved by the PPMBs.

Once the tentative list of villages is drawn up, initial meetings should be held with the villages to introduce the project and confirm whether they are interested in the project (noting that actual participation is confirmed after Social Assessment – see below).

### D4.2 Baseline Social Assessment

A baseline social assessment (SA) will be carried out in the project preparation phase following confirmation of selected villages. Qualified and experienced experts will be contracted to conduct a SA in a gender-sensitive manner in consultation with local households in the target villages prior to site-level planning and implementation. The SA will serve a number of purposes:

- a) establish the baseline socio-economic situation of local households and ethnic minority groups in the project area (their demographic, social, cultural, and political characteristics)
- b) develop baselines of socio-economic indicators of households targeted by the project for monitoring of project impacts,
- c) clarify gender differences in forest management and protection in the communes.
- d) provide a basis for identifying appropriate community development and livelihoods interventions under the project
- e) assess and determine, based on free, prior, and informed consultation, with the affected communities, the specific potential adverse and positive effects of the project at the site, on the socio-cultural and economic status of particular vulnerable groups, including women, poor households, female-headed households, landless, and others as may be considered relevant
- f) highlight key social issues present, particularly those that are underscored in the JICA guidelines (e.g. relating to human rights, involuntary resettlement, land acquisition, loss of livelihoods, ethnic minorities, gender etc)
- g) provide a basis for developing recommendations for addressing the various concerns and issues of projects that affect them

Whilst the ESMF has identified broad theoretical issues, the SA will help the project to identify more specific issues at the field level and devise appropriate solutions accordingly for implementation. In the case of this project, and given that the preparatory survey has not been able to assess social safeguard issues in detail at each site, the SA represents a particularly important opportunity to confirm the existing land tenure situation and ascertain whether involuntary resettlement and formal land acquisition is going on at the site or whether it is possible to resolve land conflict issues through participatory land use planning and voluntary land acquisition alone. Where it is not, the site, commune or village may need to be removed from project support. In order to comply with World Bank OP 4.10 Appendix B, the SA will also include specific recommendations resulting from consultations with local ethnic minority households and the provision of culturally appropriate benefits, when/where they fall within the project impact area.

Guidelines for carrying out the SA are provided in Chapter 3 of the DFR (including outline approach and methodology and report contents). An SA report will be prepared for each province by the qualified team responsible but will describe conditions separately for each FMB in the province. The PMC will synthesize all the reports into 1 succinct summary report at the project level. At both levels the SA report will include but not necessarily be limited to the following contents:

1. **Introduction:** The introductory section shall define the basic purpose of the SA report. It describes its scope and provides a brief outline of how the report is organized.
2. **Project Description:** This section provides brief details of the site-level project – rationale, objectives, project area, key component activities, proposed implementation schedule etc.
3. **Approach and Methodology:** This section describes the methods used in conducting the assessment, both quantitative and qualitative.
4. **Baseline Socio-economic and Livelihoods Assessment:** This section profiles the project target area and covers:
  - a) **Location and Physical Characteristics:** Description and map
  - b) **Overall Socio-economic Context:** Demographic statistics (male/female, employment, migration, poverty, main industries/livelihoods
  - c) **Stakeholder Analysis:** Identifies and describes particularly vulnerable groups within the community and how they may be affected by the project, including the different ethnic minority groups and sub-groups (where relevant), poor/near poor, women/female headed households, landless, elderly, etc.
  - d) **Sustainable Livelihoods Analysis:** Presents, using primary and secondary data collected from the field, an analysis of ethnic minority household's access to the five forms of capital (i.e. human, social, financial, natural, and physical), the vulnerability of particular groups (to climate change trends, disasters, commodity price shocks etc) as well as the opportunities and constraints for socio-economic development and livelihood improvement (transforming structures and processes)
5. **Description of Project Impacts:** Based on consideration of the project's objectives and activities as well as the socio-economic/livelihoods assessment, describes potential positive and negative impacts of the project.
6. **Mitigation Measures:** Identification of specific measures to avoid, minimize and/or compensate for project activities with adverse impacts on forest dependent communities and particularly vulnerable groups.
7. **Public Consultation and Information Disclosure:** Documents and presents results of public consultation events (presenting project information and results from the SA including potential positive and adverse impacts of the project and receiving feedback) with the communities.



**8. Conclusion and Recommendations:** Conclusions and recommendations from the assessment for project design and implementation in the locality (appropriate types of interventions, key opportunities/constraints, modes of implementation etc)

**D4.3 Consultation Meetings to Confirm Broad Community Support**

Once the particular villages and as part of the SA, it is necessary to organize meetings at all identified villages to confirm broad community support for the project and confirmation of their willingness to participate. The table below outlines the key features of these consultation meetings.

**Table 2 Consultation for Broad Community Support**

Consultation Topic/s:	Present, using simple language, basic information about the project including area, location, purpose/objectives, key activities, stakeholders involved, target beneficiaries, expected role and involvement of communities, results of the SA and an overview of possible environmental and social risks. Opportunities for open discussion of the project should be provided
Purpose/Objective:	Establishing broad community support for the project
Participants:	CPC representatives, Village Head, Customary leaders and institutions, Women’s Union, Farmer’s Union, villagers
Time/Timing:	At an early stage in project/batch implementation, immediately following village selection. Adequate time should be provided following the meeting for the community to digest the information, discuss internally and decide if they <u>do not</u> wish to participate (suggested timeframe of 1 week – to be confirmed)
Approach:	<ul style="list-style-type: none"> <li>• Presentation and discussion with Village Head and other key representatives</li> <li>• General community meeting to present, answer questions and discuss concerns</li> </ul>
Materials Required:	<ul style="list-style-type: none"> <li>• Provision of simple/easy to read project brochures in Vietnamese language (using diagrams/pictures as much as possible).</li> <li>• Use of ethnic minority language interpreter as/if required, especially for women groups</li> <li>• Consultation and Participation Monitoring Sheets</li> </ul>
Institutional Responsibilities:	<ul style="list-style-type: none"> <li>• PMC to prepare agenda and project brochure for distribution</li> <li>• FMBs to propose/organize meetings</li> <li>• FMB to present project with assistance from PMC staff in responding to community concerns</li> <li>• FMBs to record participants and meeting minutes</li> </ul>
Special Notes:	In terms of demonstrating broad community support, it is proposed that at the time of recording meeting attendance, participants indicate their support by ticking a box on the attendance sheet. Where the majority (>50%) support the project, the project will go ahead in that village. Below 50% support will be discussed with village heads regarding the possibility that further information is required to better address community concerns. It may be possible to re-convene the meeting and try to establish broad community support a second time. If the majority of people still reject the project, alternative villages will be selected.

Source: Compiled by JICA Survey Team

**D4.4 Participatory Land Use Planning and Formation of Village Working Groups**

Participatory Land Use Planning (PLUP) is already identified as a project activity. It should be noted that there is no intention to conduct any parallel or separate PLUP activities. The intention is that measures proposed here will be fully integrated into the implementation of PLUP activities under Component 2 (Forest Inventory and Planning). The specific aims of PLUP as defined in DFR Chapter 3 are to:

- a) develop present land use maps of villages relating to the project areas based on GIS-based photo-like map
- b) develop future land use maps of villages relating to the project areas with determination of areas which can be used for forest development and improvement

- c) identify and select households who have vested land use rights over the project areas and who are willing to participate in the project activities
- d) verify if the project areas can be used for the project on the ground with households/communities concerned
- e) organize households who are willing to participate in the project into village working groups which will be sub-contractors for forest development and improvement activities
- f) make agreements with village working groups on forest development and improvement activities in the project areas.

It is important to highlight here that PLUP processes offer the main way through which the project will avoid involuntary resettlement and land acquisition issues. The procedures are described in DFR Chapter 3 and briefly listed below with additional comments with relation to key social safeguards concerns:

- 1) Consultation with commune leaders and leaders of villages: This initial consultation step is presumed to be consistent with the procedures described above regarding community/village selection and establishing broad community agreement. It represents an important first opportunity for community leaders to learn about the project and opt out from participating where implementation would be believed to be contentious or undesirable. It is also an opportunity to confirm current forest land allocation status and any plans for re-allocation for the site as a whole.

Where there are ongoing or planned attempts to re-allocate agricultural or forest land currently legally allocated to households (i.e. with red books) to FMBs, it is suggested that the project does not work at these sites at all, or not within the same commune at least.

Where there are ongoing or planned attempts re-allocate agricultural or forest land under conflict and at some stage in the formal process of being allocated to households or communities, further investigation is required to determine precisely what has happened and the extent to which communities have a reasonably legitimate claim over lands (e.g. they were informed that they would be allocated red books and surveys had taken place for the purpose but they had yet to actually receive formal LUCs), when the decision to halt the land allocation process to households was and when the decision to allocate the land to a FMB occurred. Discussions during this stage of consultation should give a good indication as to whether households in particular villages will be willing to participate in the project or whether land conflict issues are simply too heated.

At other sites where there may still be land use conflict issues but where local households have no form of legal claim or right, it is assumed that the project can go ahead (although detailed land use planning is still required, as is community and household agreement).

- 2) Preparation of present land use maps of the villages relating to the target protection forests/nature reserves: This step is absolutely critical as local people will participate in identifying lands within the FMB which are formally allocated to households or where there are conflicts, and where there are viable areas in which the forest development activities can be reasonably implemented.
- 3) Determination of the project areas with development of a future land use map; Based on step 2 above, afforestation and ANR sites will be defined. It is made clear to households with either legal LUCs or claims that if the project activities are implemented on 'their' lands, they will be voluntarily agreeing to those activities on those lands i.e. voluntary land acquisition. If the households do not agree, the plot shall be left out of the project's area. Discussions during step 1 should indicate whether this is likely to be the case or whether households are likely to be amenable to voluntary land acquisition. In this way the project will avoid any involuntary resettlement and land acquisition. All households should be involved in the meeting and the final plan should be agreed by all and signed by the village head (this may require another meeting to re-visit the village with the final confirmed land use map).

- 4) Organization of a village working group: The village working group refers to those individuals and households that will be involved in forest protection and development activities. Households which have voluntarily offered their formal/informal lands should be prioritized as members of the village working group and as project beneficiaries. Otherwise participation in the group should be open to all households in the relevant villages, but with preference for vulnerable households (e.g. poor/near poor, landless, female-headed etc.) agreed through participatory consultation.

#### D4.5 Site-level Implementation Plans

The PLUP process described above will largely define the important aspects of the forest protection and development activities. However, further site-level consultations are required to complete the planning for full project implementation in the target sites i.e. integrating the small-scale infrastructure and livelihoods components in a comprehensive site-level plan. As an output, the site-level plan shall meet the substantive requirements of an IPP or EMDP. As such, the Site-level Implementation Plan shall include:

- A summary of key information from the Social Assessment.
- A summary of the results of the free, prior and informed consultations in the initial meetings and meetings to establish broad community support as well as the PLUP processes in participating villages.
- An action plan setting out the project components and activities at the site. Information from the SA should serve to justify the cultural appropriateness of the activities, and the selection of particular livelihood menu options.
- A section detailing mitigation measures for any potential adverse impacts on ethnic minority communities. This will include specifying that any loss of assets or livelihoods is compensated through the benefits of participating in the forest protection and development activities (employment in forest patrolling, planting, weeding/tending as well as sharing of benefits from thinning) as well as community infrastructure and livelihood development investments.
- Detailed cost estimates for the Plan.
- Project milestones and monitoring.
- A grievance redress mechanism (see below).

#### D4.6 Beneficiary Selection

Participation in the forest protection and development activities is determined through the formation of village working groups as described above.

In addition, the project shall determine the beneficiaries of other project activities e.g. small-scale infrastructure and livelihood support, as follows:

**Small-scale infrastructure:** Investment in small-scale infrastructure should be oriented towards the provision or upgrading of appropriate infrastructure (rural roads, irrigation and water supply facilities) which benefits the specific communities which are involved in the forest protection and development works, as a further incentive or compensatory benefit.

**Livelihood Support:** Livelihood development support activities shall again be organised for the specific benefit of households in the villages involved in forest protection and development. Within which, beneficiaries will be organised into particular interest groups around particular livelihood support activities. The following criteria are suggested in order to offer some guidance on equitable selection of beneficiaries within these groups:

- At least 50% of the members of all livelihood interest groups (collectively) shall be comprised of poor/near poor households that are also members of the village working groups (because livelihood benefits should also be linked to forest protection and development commitments as a form of incentive or compensatory benefit)
- At least 30% of the members of all livelihood interest groups (collectively) shall be comprised of female beneficiaries (from different households), especially poor women and female-headed households (to ensure that women are not excluded from the benefits of the project and including beneficiaries who may not be involved in the village working groups but who are dependent on forest resources)
- The remaining 20% (or less) may be comprised of ‘others’ according to interest (this could include medium/rich households who may be required as demonstration farmers for example as capable, respected members of the community with available land for piloting etc.)

#### D4.7 Grievance Redress Mechanism

As discussed in chapter 3 of this ESMF, there are a number of shortcomings or weaknesses with the existing framework for grievance redress in Vietnam. Vietnam does have systems for addressing disputes and grievances at grassroots level (through grassroots mediation) as well as channels for registering formal complaints (under the framework of the Law on Complaints and Denunciations) and for appealing with regard to cases of land acquisition and resettlement (under the Land Law). However, grassroots mediation is limited with respect to addressing the grievances of villagers against higher level authorities, meanwhile the existing system for registering complaints and grievances is somewhat limited in capacity and local authorities would not have the capacity to deal with and monitor project specific grievances in a timely manner.

Therefore, in order to address these gaps, a simple and direct project grievance redress mechanism (GRM) is proposed, whereby project-related grievances such as disputes over location of afforestation/ANR activities, beneficiary selection, distribution of project benefits, behaviours of project-related staff or consultants etc. can be reported directly to FMBs, who shall record such grievances in a project grievance logbook. A staff of each FMBs would be allocated the responsibility of managing and monitoring these grievances as part of a more modern, open and collaborative approach to community liaison and forest management in general. This staff member would log grievances and could then report upwards to the PPMB (who will also identify a safeguards officer). The same member of staff could also be trained as the resource person for other relevant social safeguards issues such as consultation and participation. It may not necessarily mean creating an entirely new position but a designated staff member being allocated and performing these responsibilities. The creation of such a new system would however incur certain costs and require capacity development.

Grievances can be raised by individuals in name or anonymously, or through traditional institutions (e.g. the same institutions under the Law on Grassroots Mediation) according to culture and context, as appropriate. Grievances should be recorded in written form and efforts made to address them within 30 days. The form of response shall depend on the type and context of the grievance. For example, if an anonymous grievance has been made then it should be addressed through public consultation e.g. a village meeting responding generically to the point raised. If the grievance is raised by and specific to an individual or group of individuals, then it should be resolved through a smaller, more focused meeting. Meeting minutes and outcomes are recorded. It is expected that most project-related grievances could be addressed relatively easily within 1-2 meetings e.g. adjusting beneficiary lists, areas for afforestation/ANR, alignment or location of rural infrastructure etc. If grievances are more serious in nature, then they should be dealt with through the project hierarchy as necessary and any complainant should be made aware of their legal rights according to the Land Law and Law on Complaints and Denunciations.

## **Appendix-E: Basic TORs for PMC Environmental and Social/REDD+ Safeguards Specialists**

The ESMF has identified a number of environmental and social safeguard issues and provided overall guidance on their avoidance, management and mitigation. However, it is believed that it will still be necessary to employ international and national safeguards experts as part of the Project Management Consultant or TA team for the provision of more detailed and specific guidance, capacity-building and follow-up during implementation. This is particularly the case due to the fact that detailed assessments of specific impacts on the ground have been limited during the preparatory survey.

It is envisaged that the international and national experts would work as a team with the international expert engaged for 9 man-months with intermittent inputs in a supervisory and technical guidance role whilst the national expert will have 46 man-months for following up on safeguards activities and checks in the field.

The following TORs provide a basic summary of the key aspects for the attention of the Safeguards Specialists during implementation, and some of their tasks assigned:

### 1) Situation Review and Further Investigation

The project document and the ESMF identify certain potential safeguard issues of particular concern, particularly those related to involuntary resettlement. An important task for the safeguards specialists at an early stage in implementation (inception phase) will be to review and further investigate the potential social safeguard issues at each site and to update the ESMF as appropriate/necessary.

### 2) Safeguards Capacity-building

A key set of tasks for the safeguards experts will relate to building the capacity of project owners and implementing agencies to enable them to implement the ESMF. This will include:

- a) Developing appropriate training materials on the various elements (and sub-elements) of the ESMF i.e. Negative Checklist, Environmental Assessment and Monitoring Procedures and Consultation and Participation Guidance
  - b) Delivering safeguards training courses tailored to the different levels of project stakeholders e.g. i) CPMB/MBFP; ii) PPMBs; iii) FMBs, and any other related stakeholders as required
  - c) Provision of on-the-job guidance and supervision to PPMB and FMBs as required
- ### 3) Stakeholder Engagement Materials and Processes

The safeguards experts should take the lead in designing appropriate consultation and stakeholder engagement materials and processes:

- a) Processes and procedures are indicated in the ESMF, however the safeguards consultants may provide more specific guidance for PPMBs and FMBs for the information dissemination and consultation activities at the project sites, in line with the indicative guidance provided in the Consultation and Participation Guidelines
  - b) Development of appropriate consultation materials
- ### 4) Social Assessments

Baseline social assessments are to be carried out for the purposes of guiding the development of appropriate livelihood interventions, setting a baseline for project impact monitoring and for assessing in greater detail potential impacts on local communities and vulnerable groups (as an ethnic minority development planning requirement). The safeguards experts will:

- a) Work together with the Livelihoods Experts in designing the survey approach, methodology and tools
  - b) Assist with the selection and management of the contractor
  - c) Ensure the adequate supervision of the contractor to conduct a full and proper assessment of impacts, risks and vulnerabilities
  - d) Coordinate and ensure the quality of SA reports
- ### 5) Participatory Land Use Planning

The PLUP activities are of critical importance to the project overall but also from a safeguards perspective as a form of consultation leading to broad community support and individual household agreement to the proposed project activities. The safeguards experts will:

- a) Provide specific inputs to the technical guidelines for PLUP to ensure that the process adequately addresses potential safeguards issues, particularly those related to involuntary resettlement and loss of livelihoods, respect for ethnic minority knowledge, institutions, rights etc, and ensures the full and effective participation of ethnic minorities and other vulnerable groups
- b) Provide on-the-job guidance to FMBs and contractors in the implementation of the PLUP activities at the sites
- 6) Beneficiary Selection

Review and provide additional guidance on community and beneficiary selection procedures

- 7) Benefit Sharing
- 8) Technical Guidelines for Project Activities

Review the technical guidelines produced by other experts for the implementation of project components (e.g. livelihoods, small-scale infrastructure, afforestation/ANR etc) to ensure their compliance with the ESMF and the JICA Guidelines.

- 9) Due Diligence and Monitoring

The safeguards experts will be required to:

- a) Review the proposed set of safeguards indicators and monitoring system
- b) Design a simple monitoring system with simple forms for capturing information on consultation, participation, benefit distribution, application of environmental procedures, impacts on forests and households and other relevant safeguards indicators
- c) Follow up with PPMBs and FMBs to ensure that safeguards are being operationalised and that the safeguards monitoring and reporting system is being correctly implemented. They may also be required to follow-up in the field where particular issues are identified.
- 10) Review of Safeguards and Safeguards Information Reporting Requirements

Over the coming months and years, the national and sub-national REDD+ safeguards information reporting requirements should become clearer. It will be the role of the safeguards experts to ensure that the project adheres to these requirements for reporting to the UNFCCC. This may involve supporting the provinces to develop systems for collecting additional information from the project sites (as required).

- 11) Collating Information and Reporting

The safeguards experts will be responsible for collating information from the relevant agencies on safeguards issues and in formulating reports on implementation of the ESMF e.g. for inception, annual, mid-term reports, and final reports etc. (as required)

## **Appendix F: Basic TORs for Environmental Monitoring**

PPMBs will be established in each of the four provinces and will be the main body responsible for environmental monitoring in each province. A designated safeguard staff of the PPMB will be responsible for monitoring and cooperating with FMBs on environmental monitoring compliance. FMBs will also assign a designated safeguard staff in charge of checking on all planned activities against Negative Checklist, additional requirement for environmental and socio monitoring, ensure full and effective consultation and participation and full environmental and social compliance and reporting during the project implementation at site level. Particularly, environmental monitoring form (See Appendix H) should be used as an effective tool to monitor the environmental compliance during the construction phase.

The following TORs provide a basic summary of the key aspects for the attention of the Safeguards Staffs of FMBs/PFMB during implementation, and some of their tasks assigned:

- a) Review the proposed set of safeguards indicators and monitoring system
- b) Review simple monitoring system with simple forms
- c) Implement the environmental monitoring and reporting system by using the environmental monitoring form during the project implementation.
- d) Regularly (monthly) site visit to infrastructure subproject sites where the civil work taking place
- e) Consult with the local community for the effective mitigation measure taken place.
- f) Closely work with the local authorities, particularly the local environmental authorities (DONRE, District environmental and natural resource office) to comply with the relevant environmental monitoring and reporting procedure.
- g) Closely work with CPMB/safeguard consultant on environmental monitoring and reporting issues.

## Appendix G: Environmental Compliance Monitoring Forms

### 1. Monitoring Form for Construction Works for Silviculture and Small Scale Rural Infrastructure

#### 1.1 General Information

Items	Descriptions
Project	The Sustainable Forest Development Project in the Northwest Sub-region (JICA 3 Project)
Name of subprojects	
Location	
Contractor	

#### 1.2 Information of Monitoring

Items	Descriptions
Name of Monitor	
Date of Monitoring	
Location of Monitoring	
Weather condition	

#### 1.3 Application of Mitigation Measures

Items	Yes/No
Have the contractors applied the mitigation measures?	
Was ECOP applied into the contractor's contract?	

#### 1.4 Monitoring Environmental Impact and Possible Mitigation Measures

Items	Environmental Impact Observed	Mitigation measures applied and Compliance with ECOP (Yes/No). If Yes, please specify	Effectiveness of mitigation measures (1-5 Scaling)	Action to be taken for improvement
Dust generation/Air pollution (Dust and Smoke)				
Water Quality (Change in water quality)				
Drainage and sedimentation				
Solid waste (Waste from construction works (types and volume)				
Chemical or hazardous wastes (oil,				



Items	Environmental Impact Observed	Mitigation measures applied and Compliance with ECOP (Yes/No). If Yes, please specify	Effectiveness of mitigation measures (1-5 Scaling)	Action to be taken for improvement
lubricants, cleaning materials)				
Disruption of vegetative cover and ecological resources (Illegal tree clearing, wild animal hunting)				
Traffic management (Signs)				
Restoration of affected areas				
Soil Erosion (Visible soil erosion and water runoff including rill/gully erosion)				
Worker and public Safety (Training for worker, fences, barriers warning signs)				
Communication with local communities (complaints from local residents about resettlement, loss of livelihoods, wtc.)				

**Date of Monitoring:**

**Signature of Monitor**

## 2. Monitoring Form for Forest Development Activities

### 2.1 General Information

Items	Descriptions
Project	The Sustainable Forest Development Project in the Northwest Sub-region (JICA 3 Project)
Name of subprojects	
Location	
Contractor	

### 2.2 Information of Monitoring

Items	Descriptions
Name of Monitor	
Date of Monitoring	
Location of Monitoring	
Weather condition	

### 2.3 Monitoring Environmental Impact and Possible Mitigation Measures

Items	Environmental Impact Observed	Mitigation measures applied and Compliance with ECOP (Yes/No). If Yes, please specify	Effectiveness of mitigation measures (1-5 Scaling)	Action to be taken for improvement
Disruption of vegetative cover and ecological resources (Illegal tree clearing, wild animal hunting)				
Communication with local communities (complaints from local residents about resettlement, loss of livelihoods, wtc.)				

**Date of Monitoring:**

**Signature of Monitor**

## Appendix H: Budget Allocation necessary for ESMF Activities

In many instances the ESMF includes actions or measures which do not necessarily entail costs which are additional to the implementation costs already identified in the project cost estimate. For example, Baseline Social Assessments and Participatory Land Use Planning activities are already proposed as project activities. The ESMF merely provides guidance on how these activities should be carried out to ensure they meet the requirements of the JICA Guidelines. The following sections describe safeguards-related activities and associated costs.

### Personnel

The ESMF has indicated the need for certain project stakeholders to have staff or consultants designated for the purpose of meeting ESMF implementation requirements.

- 1 member of staff of CPMB should take overall responsibility for overseeing ESMF implementation and monitoring
- PPMBs should allocate 1 staff member for following-up with FMBs, collating safeguards information from the sites, reporting up to CPMB
- FMBs should allocate 1 staff member for ensuring ESMF implementation at the site levels
- The PMC/TA Consultant should have a team of 1 international and 1 national environmental and social safeguards specialists (possibly integrated into the role of the REDD+ Safeguards and Co-management Specialist)

The costs of such personnel have been integrated into the proposed project budget.

### Capacity-building and Training

The CPMB is responsible to ensure that the level of expertise related to the project is adequate to perform the assigned responsibilities, including the application of safeguards through the implementation of the ESMF. PPMBs will be responsible for operationalising the safeguards measures in their respective provinces, meanwhile FMBs will be responsible for ESMF implementation and monitoring at the site-level. One staff of the PPMB and one staff from Technical Section of each FMB will be responsible for fulfilling the safeguards requirements.

The PMC, through the assigned REDD+ Safeguards experts (see Appendix E) will provide TA to ensure that such appropriate capacity-building and training is delivered at central, provincial and site-levels. The following trainings are proposed (consistent with section 8 in the ESMF) with budget itemised:

- **Training 1: CPMB, PPMB and FMB Training on JICA Guidelines and ESMF Procedures** once in each province (CPMB only need to attend training in 1 province)
- **Refresher Training 1 (twice in 3 years)**
- **Training 2: General Co-management/Participatory Forestry and REDD+ Training for FMBs/DARDS** once in each province
- **Refresher Training 2 (twice in 3 years)**

### Activities

There are a number of activities related to ESMF implementation such as Baseline SA, PLUP, Information Dissemination, various consultation activities etc. These costs are embedded within the budgets of the corresponding project components (e.g. PLUP is covered under the Forest Inventory and Planning Component).

PPMBs should have a budget for conducting periodical site visits to target SUFs and PFs. This would include visits to conduct due diligence checks on ESMF implementation. Similarly other administrative and project management costs are embedded within the project budget for CPMB, PPMB and FMB operations. No special equipment is required for ESMF implementation.