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Project title: Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Viet Nam		
Country: Vietnam	**Implementing Partner:** Ministry of Natural Resources and Environment (MONRE)	**Management Arrangements:** National Implementation Modality (NIM)
UNDAF/Country Program Outcome: 2.3 Policies, systems and technologies in place to enable people to benefit from sustainable management of natural resources (forests, ecosystems), and reduced environmental and health risks		
UNDP Strategic Plan Output: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.		
UNDP Social and Environmental Screening Category: Moderate Risk	**UNDP Gender Marker:** 2	
Atlas Project ID/Award ID number: 00095982	**Atlas Output ID/Project ID number:** 00100000	
UNDP-GEF PIMS ID number: 5659	**GEF ID number:** 9361	
Planned start date: January 2020	**Planned end date:** December 2024	
LPAC date: February 20, 2019		

Brief project description: Economic development has accelerated in recent years in Vietnam through new infrastructure developments, expanding transportation networks, tourism and socio-economic growth that is rapidly changing the landscape with consequential threats to biodiversity and ecosystem services. The project is thus aimed at addressing these multiple threats by harmonizing socio-economic development, sustainable management of natural resources and biodiversity conservation through an integrated landscape approach in the planning and management of Biosphere Reserves in Vietnam. To achieve this, actions will be taken to strengthen capacity and coordinated planning at the national and provincial levels on socio-economic development on the one hand as well as demonstrate sustainable natural resources management, biodiversity conservation and restoration, and alternative livelihood initiatives on the other.

The project objective will be achieved through the implementation of three inter-related and mutually complementary Components (Project Outcomes) that are focussed at addressing existing barriers. The three Outcomes of the project are:
Outcome 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place;
Outcome 2: Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves to mainstream protected area management, sustainable resource use and biodiversity-friendly development; and
Outcome 3: Knowledge management and monitoring and evaluation support contributes to equitable gender benefits and increased awareness of biodiversity conservation.

FINANCING PLAN	
GEF Trust Fund	USD 6,660,000
UNDP TRAC resources	USD
(1) Total Budget administered by UNDP	USD 6,660,000
PARALLEL CO-FINANCING (*all other co-financing that is not cash co-financing administered by UNDP*)	
Cash co-financing by UNDP	USD 1,000,000
Government	USD 35,538,222
(2) Total co-financing	USD 36,538,222

(3) Grand-Total Project Financing (1)+(2)	USD 43,198,222	
SIGNATURES		
Signature: Vo Tuan Nhan Deputy Minister Ministry of Natural Resources and Environment	Agreed by Ministry of Natural Resources and Environment	Date/Month/Year: 04 Feb 2020
Signature: Caitlin Wiesen Resident Representative	Agreed by UNDP	Date/Month/Year: 06 Feb 2020

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Abbreviations

APR	Annual Progress Report
AWP	Annual Work Plan
BCA	Biodiversity Conservation Agency
BIA	Biodiversity Impact Assessment
BR	Biosphere Reserve
BRTC	Biosphere Reserve Technical Coordinator
BSM	Benefit Sharing Mechanism
CBD	Convention on Biological Diversity
CBO	Community-based Organization
CCC	Commune Conservation Committee
CCP	Commune Conservation Plan
CIP	Co-Implementing Partner
CLC-HA BR	Cu Lao Cham-Ho Anh Biosphere Reserve
CMA	Collaborative Management Agreement
CO	Country Office
CPC	Commune People's Committee
CSO	Civil Society Organization
DARD	Department of Agriculture and Rural Development
DCFPR	Department of Capture Fisheries and Resource Protection
DCST	Department of Culture, Sports and Tourism
DN BR	Dong Nai Biosphere Reserve
DONRE	Department of Natural Resources and Environment
DP	Development Partner
DPC	District People's Committee
EA	Executive Agency
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
ERC	Evaluation Resource Center
FFI	Fauna and Flora International
FORMIS	Forest Management Information System
FSP	Full Sized Project
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GIS	Geographic Information System
GIZ	Gesellschaft für Internationale Zusammenarbeit (German Development Agency)
GOV	Government of Vietnam
GRM	Grievance Redressal Mechanism
HACT	Harmonized Approach to Cash Transfers
HCVF	High Conservation Value Forest
IAS	Invasive Alien Species
IBA	Important Bird and Biodiversity Area
IBRMA	Integrated Biosphere Reserve Management Agreement
IEBR	Institute of Ecology and Biological Resources

IEO	Independent Evaluation Office
IMER	Institute of Marine Environment and Resources
INRM	Integrated Natural Resources Management
IP	Implementing Partner
IUCN	International Union for the Conservation of Nature
JICA	JAPAN International Cooperation Agency
KAP	Knowledge, Attitudes and Practice
KBA	Key Biodiversity Area
KfW	Kreditanstalt für Wiederaufbau
KM	Knowledge Management
LOA	Letter of Agreement
MAB	Man and Biosphere
MARD	Ministry of Agriculture and Rural Development
MB	Management Board
MCD	Centre for Marinelife Conservation and Community Development
MOCST	Ministry of Culture, Sports and Tourism
MOF	Ministry of Finance
MOFA	Ministry of Foreign Affairs
MONRE	Ministry of Natural Resources and Environment
MOST	Ministry of Science and Technology
MPA	Marine Protected area
MPI	Ministry of Planning and Investment
MSP	Medium Sized Project
MTR	Mid-Term Review
NA	National Assembly
NBDS	National Biodiversity Data System
NBSAP	National Biodiversity Strategy and Action Plan
NEX	National Execution
NGO	Non-Government Organization
NIM	National Implementation Modality
NPC	National Project Coordinator
NPD	National Project Director
NPDD	National Project Deputy Director
NPM	National Project Manager
NPT	National Project Team
NRM	Natural Resources Management
NTFP	Non-Timber Forest Product
OFP	Operational Focal Point
PA	Protected Area
PFES	Payment for Forest Environmental Services
PIF	Project Identification Form
PIR	GEF Project Implementation Report
PIT	Planning and Implementation Team
PMB	Project Management Board
POPP	Program and Operations Policies and Procedures
PPC	Provincial People's Committee

PPG	Project Preparation Grant
PRA	Participatory Rural Appraisal
PSC	Project Steering Committee
PTC	Project Technical Coordinator
QPR	Quarterly Progress Report
REDD+	Reduced Emission from Deforestation and Forest Degradation
RIFEE	Research Institute of Forest Ecology and Environment
ROAR	Results Oriented Annual Report
RPMU	Regional Project Management Unit
RTA	Regional Technical Advisor
SDG	Sustainable Development Goal
SEA	Strategic Environmental Assessment
SESP	Social and Environment Screening Procedures
SFM	Sustainable Forest Management
SLM	Sustainable Land Management
SIP	Stakeholder Involvement Plan
STAP	GEF Scientific Technical Advisory Panel
SUF	Special Use Forests
TE	Terminal Evaluation
USAID	United States Agency for International Development
UNCCD	United Nations Convention to Combat Desertification
UNDP	United National Development Program
UNDP-CO	UNDP Country Office
UNDP-GEF	Global Environmental Finance Unit
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
VAFS	Vietnam Academy of Forest Science
VAST	Vietnam Academy of Science and Technology
VEA	Vietnam Environment Administration
WNA BR	Western Nghe An Biosphere Reserve

II. DEVELOPMENT CHALLENGE

1. This project aims to address the negative impacts of unsustainable sector-led development practices by trying to harmonize socio-economic development, sustainable management of natural resources and conserve biodiversity through a landscape approach in Biosphere Reserves in Vietnam. The project's intervention comes at a time when expanding tourism and infrastructure development, pollution and climate change is becoming an ever-increasing threat to critical habitats and ecosystems and their attendant biodiversity. Tourism is a significant component of the modern Vietnamese economy. In 2012, Vietnam received more than 6.8 million international arrivals, up from 2.1 million in the year 2000. More than a third of gross domestic product is generated by services, which include the hotel and catering industry and transportation. Meanwhile, tourism that contributed 4.5% to Gross Domestic Product (GDP) in 2007 increased to 6.6% in 2016. As of 2013, the Government of Vietnam (GOV) invested no less than US$ 94.2 billion towards its tourism infrastructure. Vietnam's tourism sector has grown 9.5% from 2010 to 2015, with 10 million international and 62 million domestic tourists in 2016. Agriculture (including forestry and fisheries) contributes 20% to GDP and still provides the main livelihood for a significant part of Vietnam's population. However, increasing pressures from agriculture and fisheries development activities are also resulting in rapidly increasing pressures on the country's natural resources and biodiversity, and the rich terrestrial and marine natural resources on which tourism (and agriculture and fisheries) is dependent on.

2. Located in the Indochina Peninsula in Southeast Asia, Vietnam is within the Indo-Burma Biodiversity Hotspot. Forests are among the most species-rich ecosystems in the hotspot, and before major anthropogenic change they covered vast majority of its land. The variety of forest types is immense, from evergreen forests with a high diversity of canopy tree species, through semi-evergreen and mixed deciduous forest, to relatively species-poor deciduous dipterocarp forests. The country is ranked as the 16th most biodiversity rich country in the world. It hosts 110 Key Biodiversity Areas (KBAs) and 59 Important Bird and Biodiversity Areas (IBAs). In addition to its impressive biodiversity, the country stands out for its high level of endemism. It is estimated that 10% of Vietnam's plants are endemic to the country. 12 known species of mammals, 7 species of birds, 48 species of reptiles, 33 species of amphibians, and 80 species of freshwater fish are endemic to the country. However, Vietnam has one of the highest proportions of threatened species in the world. Of 4,490 species assessed by the International Union for Conservation of Nature (IUCN, 2017), 14% (617) are assessed as threatened, as vulnerable, endangered or critically endangered[1]. By end 2015, forests are estimated to cover approximately 14,061,9090 ha (40.8%) of Vietnam's land surface. Naturally regenerated forest accounts for approximately 10.2 million hectares (72%) and planted forests accounts for another 3.9 million hectares (28%)[2]. Primary forests are estimated to represent only 83,000 ha (1%) of Vietnam's forest cover. Vietnam's marine ecosystems provide habitats to an estimated 10,837 species of plants and animals and over 10 identified marine fish species are endemic to Vietnam.

Key Threats to natural resources management and biodiversity

3. The primary threats to biodiversity and direct causes of ecosystem degradation in the Vietnam are:

4. ***Overexploitation**:* Many communities in Vietnam, especially ethnic minority groups in mountainous areas depend on forest resources for their survival. The same applies to the marine resources. Socio-economic development, population growth and improved transportation networks have increased demand for forest and marine products resulting in overexploitation of timber, medicinal plants, wildlife and marine fish species. In addition, between 2005 and 2015, wood production increased by more than 200%, from about 3 million cubic meters to more than 9 million[3]. Preliminary estimates indicate that wood production in 2016 amounted to 9,653,100 cubic meters[4]. At the same time illegal logging, both for commercial and household purposes, remains significant, although reliable statistics are not available. Meanwhile, satellite-based assessment show that forests in the country have undergone a reduction of canopy cover of more than 20% between the years 2000 and 2010 within the forest canopy

[1] http://www.iucnredlist.org, accessed 19 June 2017
[2] Vietnam Statistics Handbook (2016)
[3] Vietnam Statistics Handbook (2016)
[4] Vietnam Statistics Handbook (2016)

cover range of 30-80%. This amounts to the loss of 6,045,460 ha[5]. Destructive methods of fishing, such as use of dynamite and poisons are often used, resulting in a decline of total catch volume, fish sizes and catch-per-effort statistics, especially for marine fisheries. In addition, some seafood specialties such as lobster (*Panulirus* spp.), abalone (*Halioles* spp.), shellfish (*Chalamys* spp.) and squid (*Loligo* spp.) have experienced decline.

5. ***Localized Deforestation and Fragmentation of Forest Habitats**:* Vietnam, historically, had a high deforestation rate. On average about 31,000 ha of forestland were annually converted to other land uses from 2003 to 2013, around 15% of which is for infrastructure and non-agricultural purposes[6]. Primary forests in the country have been decreasing by 1.2% annually, from about 384,000 ha in 1990 to 83,000 ha in 2015. At the same time, since the 1990s, reforestation programs have contributed to a 1-2% annual increase in forest cover, although largely through policies prioritizing single species industrial timber plantations that contribute little to the conservation of biodiversity. Preliminary data for 2016 show an increase in area of planted forest of 233,100 ha, of which 216,300 ha is production forests, 15,900 is protection forest and 900 ha is Special Use Forests (i.e. protected areas)[7]. Meanwhile, local deforestation still occurs in many parts of the country, key causes of which include expansion of more lucrative cash crop plantations, including coffee, rubber, cashew, tea, sugarcane, and more recently, cassava. Since 2010, 150,000 ha of degraded semi-evergreen Dipterocarp forest in the Central Highlands were converted to rubber plantations. A study in 2006 showed that poor–quality forests occupied up to 80% of the total forest area. Furthermore, forest fragmentation severely undermines the quality and quantity of ecosystem services such as water provision and regulation, soil conservation and carbon sequestration.

6. ***Pollution:*** Environmental pollution due to poorly disposed wastes is a significant threat to biodiversity and directly damages wildlife habitats. Pesticides are commonly used in Vietnam, contributing to the decline of bird populations in rural areas. Freshwater, coastal and marine ecosystems are also polluted from wastes of industrial, agricultural and fishery production and domestic sources. The tourism sector is a major contributor to pollution in some Biosphere Reserves in Vietnam, and has the potential to play a major part in others as the tourism sector grows. Hotels and tour boats generate significant waste, often dumped in ecologically sensitive areas. This practice also results in the accumulation of toxic compounds in the ecosystems and food chains.

7. ***Climate Change**:* Vietnam is predicted to be particularly sensitive to global climate change, and is considered as one of the ten countries most negatively impacted by climate change. Ecosystems weakened by fragmentation are less resilient to the impacts of climate change and more vulnerable to mass species loss. The increase in temperature will change geographic distribution of many ecosystems and population structure of species as species loss and migration increases. Increased temperatures are also likely to increase the frequency and severity of forest fires. According to the scenario of climate change and sea level rise in Vietnam, average annual temperature is projected to increase by 0.8°C to 2.7°C by the 2060's and it is predicted that a 75-100 cm rise in sea level would cause 20-38% of the Mekong Delta and about 11% of the Red River Delta to be negatively affected, as well as 78 of Vietnam's 286 "Critical Natural Habitats", 46 protected areas (PAs), 9 biodiversity sites of national and international importance (including BRs) and 23 other important biodiversity sites.[8] Forest fires are also likely to increase beyond current rates that have destroyed about 2,500 ha of forests annually from 2007 to 2013[9]. Climate change, especially increased temperatures as well as frequency and duration of drought spells, is also expected to impact forestry, specifically leading to a reduction in native forest cover, increased frequency and severity of forest fires and increased pests. Overall assessment of threats to the three project Biosphere Reserves (BRs) is provided in Table 1.

Table 1: Threats to Target Biosphere Reserves

Threat	Biosphere Reserves

[5] FAO Global Forest Resources Assessment - Vietnam Country Report (2015)
[6] National Biodiversity Strategy and Action Plan (2015)
[7] Vietnam Statistics Handbook (2016)
[8] National Biodiversity Strategy and Action Plan (2015)
[9] National Biodiversity Strategy and Action Plan (2015)

	Cu Lao Cham	Dong Nai	Western Nghe An
Commercial agriculture	L	H	M
Infrastructure development	L	M	M
Harvest of fuel-wood and timber	L	H	H
NTFP collection	L	H	H
Harvest of aquatic resources	H	M	L
Human-wildlife conflicts	L	M	M
Tourism development	H	L	M
Pollution	L	M	L
Population growth	H	M	M
Climate change	H	M	M

Legend: Assessment levels of threats are H =high, M = medium and L = low

8. The long-term solution in dealing with the above-mentioned threats to biodiversity and causes of ecosystem degradation is to harmonize socio-economic development, sustainable management of natural resources and biodiversity conservation in a biodiversity-rich area using a landscape planning and management approach. One such approach is through integrated Biosphere Reserves (BRs) planning and management. BRs are areas *comprising terrestrial, marine and coastal ecosystems that promote solutions reconciling the conservation of biodiversity with its sustainable use. BRs also provide an opportunity for testing interdisciplinary approaches to understanding and managing changes and interactions between social and ecological systems, including conflict prevention and management of biodiversity. BRs have three interrelated zones that aim to fulfill three complementary and mutually reinforcing functions: the core area(s) comprises a strictly protected ecosystem that contributes to the conservation of landscapes, ecosystems, species and genetic variation; the buffer zone surrounds or adjoins the core areas, and is used for activities compatible with sound ecological practices that can reinforce scientific research, monitoring, training and education; and the transition area is the part of the reserve where the greatest activity is allowed, fostering economic and human development that is socio-culturally and ecologically sustainable"*[10]. Nine biosphere reserves have been designated in Vietnam, encompassing 4,380,715 hectares of diverse marine and terrestrial regions, namely: Can Gio (2000 – 75,740 ha), Dong Nai (2011 – 969,993 ha), Cat Ba Archipelago (2004 – 26,241 ha), Red River Delta (2004 – 137,261 ha), Kien Giang (2006 – 1,188,104 ha), Western Nghe An (2007 – 1,303,285 ha), Cu Lao Cham – Hoi An (2009 – 33,146 ha), Mui Ca Mau (2009 – 317,506 ha), and Lang-Biang Biosphere Reserve (2015 - 275,439 ha).

Root Causes and barriers that need to be addressed

9. Economic development has accelerated in recent years in Vietnam through new infrastructure developments, expanding transportation networks, promotion of tourism and socio-economic growth that is rapidly changing the landscape with consequential threats to biodiversity and ecosystem services. The long-term solution sought by the project is for Vietnam to mainstream conservation and biodiversity safeguards into landscape, forest and seascape planning and management and into key economic and productive sectors to shift to more sustainable, inclusive and equitable development. To achieve this, actions must be taken to strengthen capacity and coordination among the national and provincial levels on natural resources management, biodiversity conservation and prevention and management of invasive alien species. There are three major barriers to implementing this solution, described below:

Barrier 1: Lack of an overriding framework for promoting integrated approaches to sustainable development, ecosystem enhancement and biodiversity conservation in Biosphere Reserves

10. In Vietnam, BRs represent a relatively new concept that is not well understood by most decision makers and is not yet fully recognized or integrated into policy making on conservation and development at either the

[10] http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/

national or provincial levels. The financial and human resources earmarked for BR management and environmental improvement (as discussed in the baseline analysis) are deployed and managed by sectoral ministries/departments under a highly decentralized governance framework. Although recently in Decree 36/2017/NĐ-CP issued by the government on Apr 4th, 2017 on the functions and mandates of the Ministry of Natural Resources and Environment (MONRE) indicates that Biosphere Reserves fall within the purview of MONRE and Provincial People's Committees (PPCs), this is not currently clear and the practical implementation and management of Biosphere Reserves are constrained due to this ambiguity. Although the Man and Biosphere (MAB) National Committee, an overarching body dealing with United Nations Educational, Scientific and Cultural Organization (UNESCO), has been established it does not have the institutional 'teeth' to ensure a coordinated approach and has no operational or regulatory capacity. Similarly, at the site level there is no clear mandate for planning or management across a BR landscape, and although each BR has a management board, there are no uniform regulations for BRs in the country that would support the efforts of these boards to integrate management across different institutions and sectors. As a result, at present BRs in Vietnam suffer from a lack of landscape level planning, monitoring or evaluation, and have yet to integrate biodiversity conservation or protected areas management into socio-economic development plans and processes, resulting in on-going conflicts between conservation and development stakeholders. Moreover, the lack of clear mandates and processes for BRs at the national and site levels has contributed to a shortage of financing arrangements and mechanisms, as well as insufficient regulation and enforcement capacities (for example to control encroachment or illegal wildlife hunting and consumption). In addition, the weak regulatory/policy system, and a lack of industry standards or systems to guide and control tourism sector activities, has allowed tourism development/operations to negatively impact biodiversity and ecosystem services within BRs, while also failing to harness the tourism sector as a partner and potential funding source for management activities that can combine sustainable tourism with other conservation and development objectives. Underlying the difficulties in coordinating responsibilities and partnerships for the management of BRs in Vietnam is insufficient information on biodiversity, ecosystem functioning and values, and resource use patterns within BRs necessary to support integrated natural resources management and biodiversity conservation across the conservation and development landscapes that typify Vietnam's BRs.

Barrier 2: Institutional structures and stakeholder capacities at targeted Biosphere Reserve sites are not effective at integrating biodiversity conservation and sustainable resource use into overall Biosphere Reserve planning and management

11. At present, the management of BRs in Vietnam does not integrate planning, zoning, resource use and other interventions across the entire landscape. For example, Provincial socio-economic development plans in the provinces encompassing the BRs take very little account of biodiversity conservation or protected area management, while Provincial tourism sectoral plans generally do not account for the negative impacts, or potential positive role, of tourism with regard to conservation of natural areas. Effective conservation of forest resources and critical habitat of especially large mammals require connectivity between protected areas and other critical habitat areas within BRs, which currently is not actively taken into consideration. In addition, in targeted BRs this is constrained by the continual degradation of forests and the limited capacity and experience with sustainable forest management and forest ecosystem rehabilitation. At present, most BRs in the country are perceived to be sites of inherent conflict between conservation and development, as many of the people living within BRs are poor and depend on practices such as illegal logging and hunting and fishing for their livelihoods. However, this conflict is due in large part to the lack of experience or knowhow to adopt sustainable livelihood options, and an associated lack of incentive mechanisms for sustainable resource use. In addition to potential benefits from sustainable tourism, local communities within BRs could benefit from sustainable forest management activities but at present there are few models or mechanisms to guide and authorize such programs. A key barrier to biodiversity conservation in Vietnam's BRs is the lack of community-based conservation and management programs that integrate conservation at the landscape level; such approaches are essential so that threats to wildlife (e.g. hunting pressure) that emanate from productive landscapes can be addressed through cooperation between PA managers and external authorities, while simultaneously providing potential benefits to local communities from conservation, tourism and sustainable use of wildlife products. This problem reflects a more general barrier to the effective management of BRs, which is the insufficient technical capacity or resources among local stakeholders to implement Integrated BR natural resources management and biodiversity conservation in a coordinated manner and at the level of large landscapes. This capacity shortfall is exacerbated by a lack of information necessary to enable effective biodiversity/ecosystem

monitoring or landscape planning/spatial zoning within BR sites, or to measure and track the negative impacts of tourism and other infrastructure development, agricultural expansion, or other development processes. Protected areas and BRs also suffer from a significant lack of financial resources, caused in part by the lack of financing mechanisms through which to increase the scope of funding partners and generate additional funding. For example, tourism is an important and growing sector at each of the targeted sites, and yet to date the tourism sector contributes extremely little funding to the management of BRs or PAs at the targeted sites, despite the high reliance of tourism operators at these sites on natural and cultural attractions to draw visitors. More generally, there is little cooperation between the tourism sector and BR and PA authorities on developing mutually beneficial sustainable tourism operations and attractions; on designing financing mechanisms to enable increased financing for conservation from tourism operators and clients (and possibly generating tax benefits or other incentives for sustainable tourism); or on developing guidelines, regulations and enforcement mechanisms to reward sustainable operations and penalize tourism development and operations that negatively impact biodiversity and ecosystem functions. Similarly, the lack of participation and benefit sharing for local communities in conservation activities is a barrier to reducing pressure on biodiversity and ecosystem functioning in BRs. Finally, the very low levels of awareness and understanding among local communities and other stakeholders of the conservation and economic benefits of BRs limits support for the mainstreaming of biodiversity conservation or sustainable forest and land management programs.

Barrier 3: Limited awareness among the sector agencies, public and key industrial sectors on how to integrate landscape and seascape planning; and lack of awareness amongst communities, public and tourists of risks posed by biodiversity and ecosystem losses

12. Despite widespread awareness among sectors of the need for integrated planning, there is no cross-sector vision for implementing planning and little capacity in the country to lead such planning. There is limited awareness among the key sector institutions on how to integrate planning and management of landscape, coastal, seascape and marine areas, so as to take into active consideration the biodiversity, natural resources and environmental factors that underpin sustainable management. Major sector agencies, including forestry, agriculture and tourism plan and manage the use of resources within their individual sectoral interests and operations, but with little cross-sector integration. There are efforts to improve integration, such as at the National Government level with multi-agency strategic planning through MONRE. Although Vietnam has already conducted a participatory process for identifying biodiversity priorities, which is articulated in the National Biodiversity Strategy and Action Plan (NBSAP) it lacks critical baseline data on the extent, location, condition and threats for many important ecosystems and species, including coral reef communities. There is an urgent need for a strategy for acquiring and distributing data, and building the institutional, technical, human, and infrastructural capacity needed to support on-going biodiversity monitoring and decision-making. Consequently, it is not surprising that the country's knowledge base on biodiversity and natural resources, and capacity for stewardship are particularly weak. Drivers of, and vulnerabilities to, climate change is also little understood. Among the local community there is little understanding of the importance of biodiversity and natural systems in providing critical ecosystem services to downstream inhabitants and the impact that deforestation could have on provisioning of such services. Tourism and other sector entities remain largely unaware of the value on maintaining existing environmental conditions and to the impacts that environmental degradation can bring to the local, regional and national economy.

13. There seems to be no single initiative in the country that is currently addressing all three aforementioned barriers. However, the proposed GEF-financed project will work in coordination with ongoing efforts and partners to build on recent advances in land use planning and national biodiversity conservation efforts, including the 2017 clarifications on designated responsibility for management of BRs, including coordination and provision of guidance for management of BRs, assigned to MONRE, the strengthening of Payment for Forest Environment Services (PFES) financial resources allocation to conservation, piloting of mainstreaming biodiversity considerations into provincial land use and socio-economic development planning, national and provincial REDD action planning and a variety of ecosystem valuation studies. The project is aligned with the strategic priorities of the NBSAP to 2020, Vision to 2030 and its Implementation Framework. The project is aligned with the goals of the NBSAP including: (i) Goal 1: Identify the main causes of biodiversity loss; thereby reducing the pressure directly and preventing the decline of biodiversity in protected areas; (ii) Goal 2: Properly resolve conflicts between conservation and development; (iii) Goal 3: Conserve the system of protected areas containing typical ecosystems, and various ecosystems; (iv) Goal 4: Enhance

biodiversity conservation and development at the level of ecosystems, species and genetic resources; and (v) Goal 7: Benefits from biodiversity and ecosystem services should be shared fairly and equitability with participation of local communities. The GEF investment would promote closer cooperation among agencies, sectors and stakeholders in achieving mainstreaming biodiversity conservation into development sector policies and planning and management; strengthen institutional capacity; develop inter-sector collaboration in BR planning approaches, and raise public awareness of the threat to biodiversity. In addition, the project will contribute to achieving the Aichi Targets, in particular Strategic Goal B (Reduce the direct pressures on biodiversity and promote sustainable use), Strategic Goal C (To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity), and Target 12 (By 2020, the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has improved and sustained). The project also contributes to the post-2015 development agenda and the Sustainable Development Goals (SDG) particularly SDG 15 to halt biodiversity loss. It will also support SDG2 to end hunger and achieve food security.

Baseline Scenario and Associated Baseline Projects

14. During the period of project implementation, the Government of Vietnam and the relevant provincial governments will invest at least US$24 million in baseline programs to support conservation and sustainable resource use at the national level and at the three targeted Biosphere Reserve sites that will support the achievement of the project objectives, as follows:

- MONRE through the Vietnam Environment Administration (VEA), will implement biodiversity conservation activities that directly contribute to one or more objectives of the project (US$1.5 million) as well as funding for staff, office space, vehicles, communications and other utilities as part of on-going operations (US$0.5 million).
- The Quang Nam provincial government will invest in programs on improving livelihoods for local people (US$1 million); afforestation, biodiversity corridor planning and development, and land use planning (US$2 million); tourism development (US$2.8 million); and the provision of offices, staff, vehicles etc. (US$0.2 million).
- The Dong Nai provincial government will invest in programs on the conservation of indigenous tree species (US$4.65 million); elephant conservation (US$930,000); biodiversity surveys (US$149,000); a medicinal tree survey (US$116,000); management of the Biosphere Reserve (US$93,000); and the Dong Nai nature and culture reserve project (US$3.26 million).
- The Nghe An provincial government will invest in programs for economic development in Western Nghe An BR (US$2 million); forest fire prevention (US$0.7 million); elephant conservation (US$1.5 million); forest protection and restoration (US$1.4 million); and sustainable forest management (US$1.3 million).

15. In addition, the following donor supported baseline projects will be implemented during the project implementation period:

- The JICA-funded “Sustainable Natural Resource Management Project” from 2015-2020 (US$3 million), which will support development and implementation of policies on sustainable forest management and support for the Forest Management Information System (FORMIS) and the National Biodiversity Database System (NBDS); and establishment of an integrated and collaborative ecosystem management system for the Lang Biang Biosphere Reserve and upgrading of the Collaborative Management Agreement (CMA) with the Benefit Sharing Mechanisms (BSMs).
- An UNESCO Vietnam education project that includes programs on biodiversity and Biosphere Reserves (US$1 million).
- The GIZ-funded project on “Strategic mainstreaming of ecosystem-based adaptation in Vietnam” (2014-2018), with a budget of EUR 4 million (US$ 4.23 million); implemented by MONRE, the project will introduce ecosystem-based land management measures (preservation, protection, rehabilitation, sustainable use).
- A project on coral rehabilitation at the Cu Lao Cham - Hoi An Biosphere Reserve (US$37,200).
- An IUCN Mangrove conservation project in Quang Nam province (US$15,000).

- A KfW (German Financial Development Cooperation) funded project on sustainable management of forests and biodiversity to reduce carbon emissions (2015-2022) in Lao Cai, Ha Giang, Yen Bai, Lai Chau provinces with a budget of EUR 26.7 million (US$ 28.3 million).

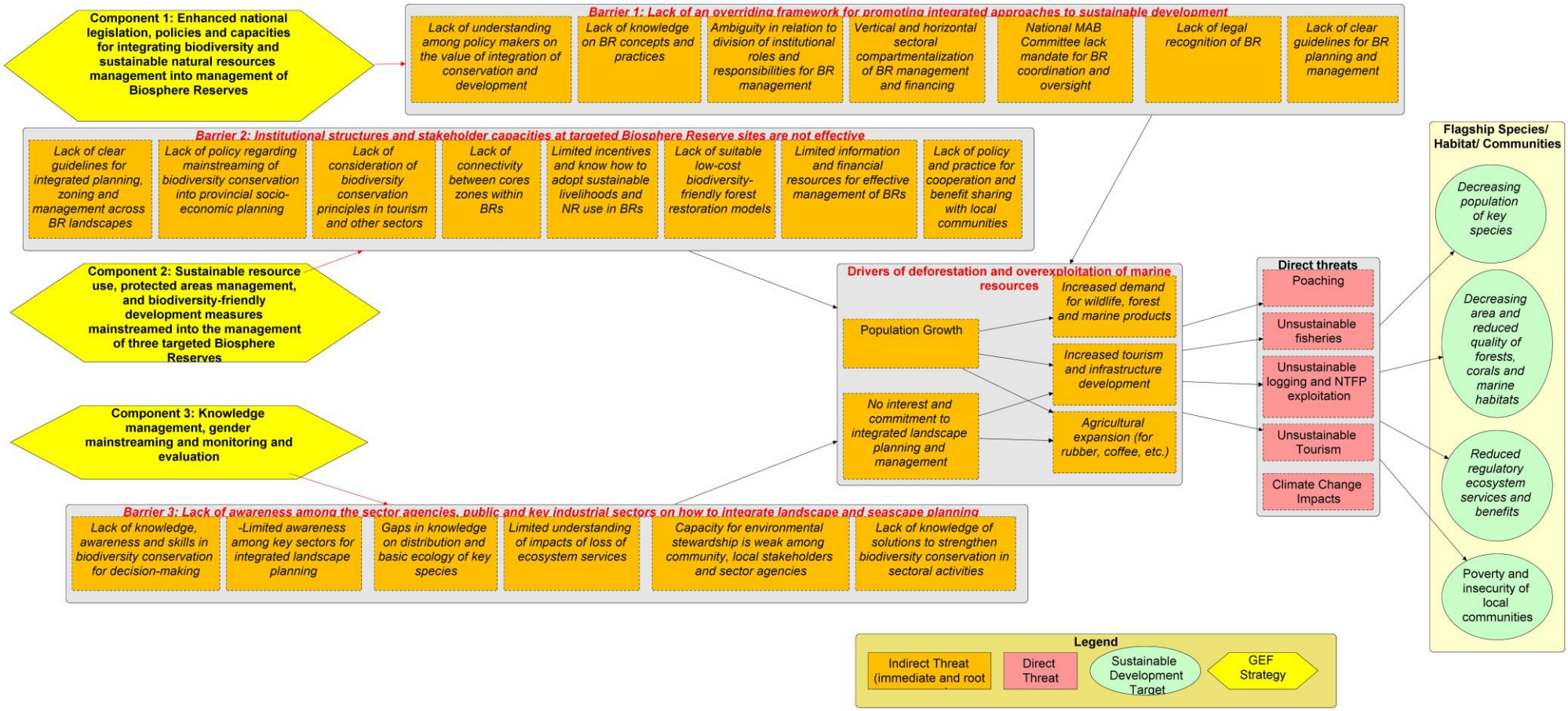


Figure 1: Threats, root causes and barriers to the long-term solution and GEF strategies to address them

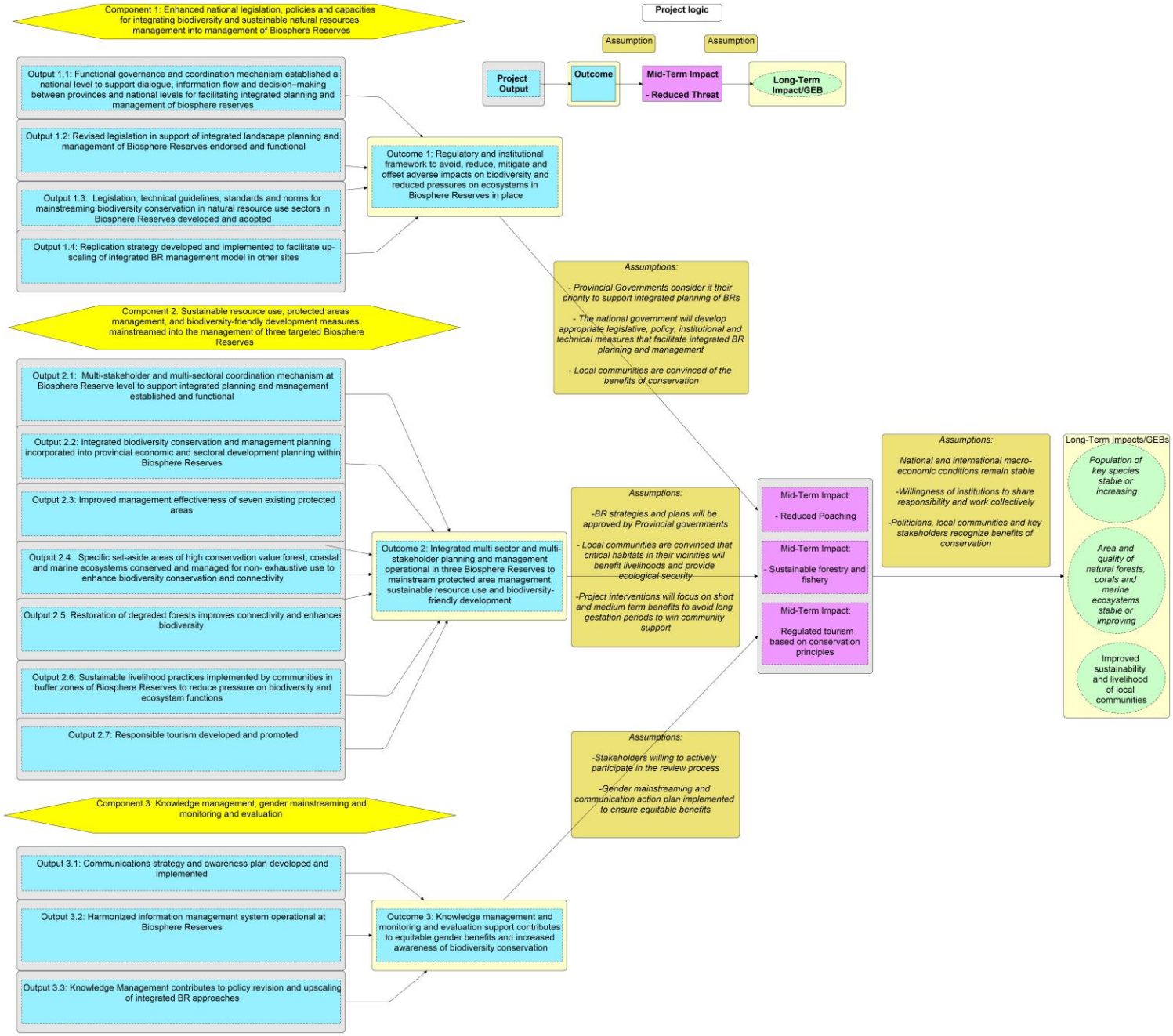


Figure 2. The Project Theory of Change

III. STRATEGY

16. The long-term goal of the project is to mainstream natural resource management and biodiversity conservation objectives into socio-economic development planning and management of BRs in Vietnam. Its objective is to employ integrated BR management planning as a land use planning approach that balances sustainable natural resources management, biodiversity conservation and socio-economic development. The project recognizes that BR landscapes and seascapes underpin the lives and livelihoods of a large number of local communities and that implementation of such an integrated strategy is an integral part of achieving a balanced approach to development. To achieve this objective, the GEF alternative aims to remove the barriers to the long-term solution, to achieve the sustainable development and ecological security of Vietnam's marine, coastal and terrestrial biodiversity within BRs through integrated planning, management and protection involving a wide range of stakeholders. The project will be implemented over a 5-year period based on the following principles:

- Promoting a holistic and integrated land and seascape approach to resource governance as compared to the exclusive protected area centric approach to facilitate the maintenance of the ecological integrity of the landscape and seascape and its constituent parts;
- Supporting and implementing a participatory/consultative bottom-up planning and implementation approach that focuses on provincial and community priorities and decisions that integrate conservation, sustainable resource use, climate risk management and livelihood outcomes;
- Supporting decentralized planning and management by strengthening the role of communities, local provincial government institutions, community based organizations and non-governmental organizations, increasing their potential for becoming agents of change in promoting sustainable natural resource management, climate risk management and biodiversity conservation;
- Strengthening capacities of all stakeholders for the effective enhancement of biodiversity conservation and sustainable use, improve livelihood benefits and provide sustainable incomes;
- Improving coordination and collaboration between local, provincial and national governments;
- Developing an integrated multi-sectoral approach as a strategy for improving the planning and management of land and seascape habitats within the country;
- Ensuring an adaptive management approach to address threats to biodiversity and natural resources and associated challenges, including those related to ecological, demographical, climatic, market, technological and economic factors in the landscape and seascape; and
- Selectivity in terms of interventions and locations to serve as a demonstration model in the landscape/seascape and the nature of challenges taking into account the limited institutional capacity and resources available under the project.

17. In order to ensure a clear, practical and cohesive implementation strategy, the proposed project will introduce a structured landscape-level planning framework for managing BRs in Vietnam. It will demonstrate a two-pronged, mutually enforcing approach of (i) strengthening efforts for conservation of biodiversity in BRs, and (ii) demonstrating sustainable economic and livelihood initiatives tackling reduction of pressures and threats to biodiversity while strengthening economic benefits gained. Targeted activities under both directional focuses will be implemented under a linked national and BR level coordinated planning and management umbrella framework, which includes updated legal-regulatory documents and guidelines as well as the strengthened MAB National Committee and site-level BR Management Boards. Through the modular approach, on-the-ground initiatives in BRs will both be guided by, and provide feedback loops into, enabling initiatives at the national level, while linking conservation-oriented actions with socio-economic, sectoral and livelihood-focused actions.

18. The project objective is to be achieved through the implementation of three inter-related and mutually complementary Components that are focussed at addressing the barriers discussed in the previous section of this report and represented in Figure 1. The three Components of the project are:

Component 1: Enhanced national legislation, policies and capacities for integrating biodiversity and sustainable natural resources management into management of Biosphere Reserves;

Component 2: Sustainable resource use, protected areas management, and biodiversity-friendly development measures mainstreamed into the management of three targeted Biosphere Reserves; and

Component 3: Knowledge management, gender mainstreaming and monitoring and evaluation.

19. The suggested project strategy was approved by national and provincial-level stakeholders at well-attended validation workshops in Hanoi on July 6, 2017 and August 22, 2017. The details of the suggested Theory of Change are shown in Figure 2.

20. **Project Areas**[11]: Three project sites have been selected based on their biological importance (Table 2) to demonstrate the conservation of biodiversity and enhancement of ecosystem services. These sites are (i) Cu Lao Cham – Hoi An BR, (ii) Western Nghe An BR; and (iii) Dong Nai BR. A map within target BRs is provided in Figure 3. Each is briefly discussed in Table 3 below and in Annex 1.

Table 2: Criteria for selecting pilot Biosphere Reserves

Criteria	Cu Lao Cham – Hoi An BR	Western Nghe An BR	Dong Nai BR
Regular occurrence of a globally threatened species at site (IUCN Red List Status CR, EN, VU)	Burmese Python (*Python bivittatus*, (VU) *Porites eridani* (EN) and *Anacropora spinose* (EN) Dugong (*Dugong dugon*) (VU)	Saloa *Pseudoryx nghetinhensis* (EN), Red-shanked Douc Langur *Pygathryx nemaeus* (EN), Large-antlered Muntjac *Muntiacus vuquangensis* (CR), Annamite Striped Rabbit *Nesolagus temminskii* (EN), Gaur *Bos gaurus* (VU) Asian Elephant *Elephas maximus* (EN), Chinese Pangolin *Manis pentadactyla* (CR), Sunda Pangolin *Manis javanica* (CR), Grey-shanked Douc Langur *Pygathrix cinerea* (CR), Delacour's Langur *Trachypithecus delacouri* (CR), Black Crested Gibbon *Hylobates concolor concolor* (CR), Northern White-cheeked Gibbon *Nomascus leucogenys* (CR) Chinese Three-striped Box Turtle *Cuora trifasciata* (CR), Indochinese Box Turtle *Cuora galbinifrons* (CR)	Large-antlered Muntjac *Muntiacus vuquangensis* (CR), White-shouldered Ibis *Pseudibis davisoni* (CR), Sunda Pangolin *Manis javanica* (CR), Siamese Crocodile *Crocodylus siamensis* (CR), Black-shanked Douc Langur *Pygathrix nigripes* (EN), Red-cheeked Gibbon *Nomascus gabriellae* (EN), Yellow-headed Temple Turtle *Heosemys annandalii* (EN), Golden Dragon Fish *Scleropages formosus* (EN), Sambar deer *Rusa unicolor* (VU), Sun Bear *Ursus malayanus* (VU), Clouded Leopard *Pardofelis nebulosa* (VU), White-winged Duck *Cairina scutulata* (VU), Stump-tailed Macaque *Macaca arctoides* (VU)

Table 3: Geographical, Biological and Socio-economic Features of Pilot Biosphere Reserves

Geographic and Biological Features of Biosphere Reserve	Socio-Economic Features of Biosphere Reserve
Cu Lao Cham - Hoi An Biosphere Reserve (CLC-HA BR)[12]	
The Cu Lao Cham – Hoi An Biosphere Reserve (CLC- HA BR) was officially recognized by UNESCO in 2009. The CLC-HA BR is located in the central part of Vietnam and	Approximately 84,000 people live in the area of CLC-HA BR, largely in Hoi An. The total population of the Cham islands is about 3,000 individuals, with around 600 households clustered

[11] Three BRs have been selected for inclusion in the project based on findings from field surveys by MAB National Committee in 2012 and additional site visits in early 2015. The three sites were selected for the following characteristics: 1) ecological representativeness (Cu Lao Cham for marine ecosystems; Western Nghe An for mountain ecosystems; and Dong Nai for tropical forest ecosystems); 2) potential for connectivity (both Western Nghe An and Dong Nai have very good potential for improving connectivity among critical ecosystems); 3) existing and potential tourism development (which will allow the Viet Nam to test models for tourism-based financing and participation in management of BRs); and 4) local support and capacity (the Provincial People's Committees at all three sites support the proposed project, and other local stakeholders support and can provide expertise and resources to the project.

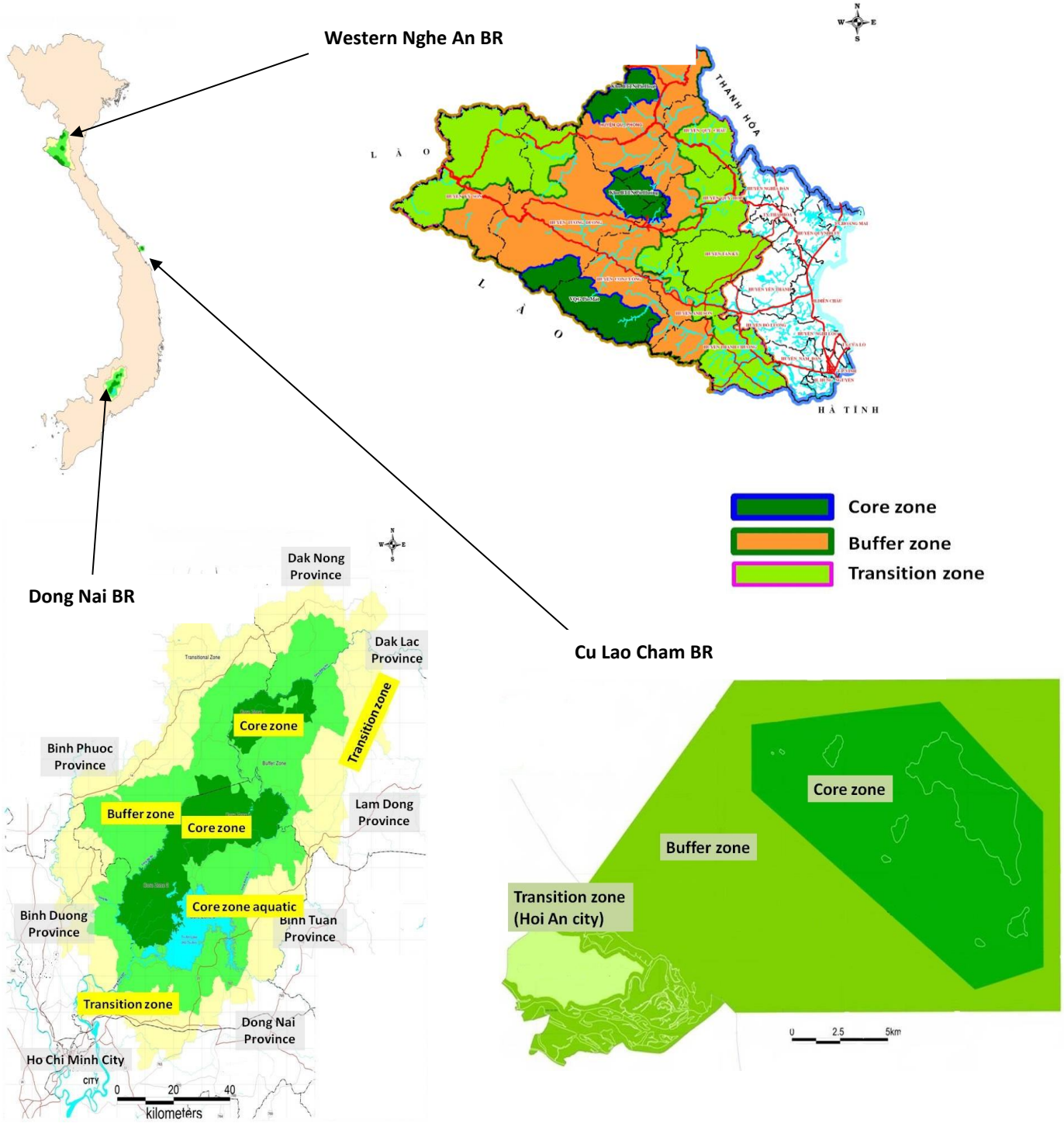
[12] The project will mainly focus its interventions in Cu Lao Cham Islands

consists of two core areas: the World Cultural Heritage Site (WCHS) of Hoi An and the Cu Lao Cham archipelago (CLC BR). The Cultural World Heritage Site of Hoi An is an ancient trading port bearing witness to the fusion of Vietnamese and European cultures. The CLC-HA BR covers a total area of 33,146 ha, including two cores zones – the Hoi An WCHS 257 ha and the Cu Lao Cham Marine Protected Area 2,214 ha, a buffer zone of 8,455 ha and a transition zone of 22,220 ha. There are two core areas where long-term conservation focuses on preserving land/seascape diversity with a view to conserving ecosystems, habitats, species and genetic resources intact, and preventing disturbance by human populations. The corridor between the two core areas is considered the ecological buffer zone and transition area linking the river mouth (Cua Dai) and the archipelago. This zone contributes substantially to the recovery of marine ecosystems in the area. The archipelago is renowned for its marine species including corals, mollusks, crustaceans and seaweed. The area boasts a very rich biodiversity. According to research, there are 947 species living around the marine area of the islets, including 178 species of fish, 122 species of seaweed, 144 species of shellfish, 25 species of crustacean and many other marine species. Characteristic fish species include the Coral Grouper (*Epinephelus coralicola*), Bumphead Parrotfish (*Bolbometopon muricatum*), angelfishes (*Pomacanthidae*) and the endangered Humphead Wrasse (*Cheilinus undulates*). Further some 261 species of 59 genera of 15 families of Scleractinian coral, 15 species of 11 genera of six families of soft coral, three species of fire coral (Milleporidae), one species of blue coral (Helioporidae), and two species of horny coral (Antipatharia) occur.	in Hon Lao island spread over 4 villages: Bai Lang, Cam, Bai Ong, and Bai Huong. The inhabitants of the islands of CLC BR are highly vulnerable as 85% of community income is generated through fisheries, either directly from marine resources or from providing services to marine exploitation activities. Many households also use resources from the islands' forests, though it is only a few that fully depend on the forest. These households are some of the poorest on the island, and typically consist of families with no other income generating alternatives. Tourism is regarded as a sector with strong economic potential. Ecotourism in the Cham Islands – Hoi An area has grown rapidly over the past decade, with the number of visitors to the Cham Islands having grown from several thousand tourists in 2004 to 195,000 tourists in 2013. The total number of visitors to Cu Lao Cham island increased further, to 401,000 visitors in 2015 and 431,000 visitors in 2016. Tourism revenue from entrance fees to the Cu Lao Cham island amounted to respectively USD 545,000 USD in 2015 and USD 572,000 in 2016. Investment in tourism development between 2009 and 2013 amounted to USD 640,000, of which USD 530,000 from the Provincial budget. At present, there are about 32 guest transport companies from Hoi An to Cu Lao Cham with revenue of USD 4.4 million per year. In 2013, there were 485 local people from 169 households participating in ecotourism. Twelve new kinds of livelihoods have been created, restaurants, guest transport motorcycles, homestay, cakes, souvenir products, etc., which has increased local residents' annual income from USD 300 in 2005 to USD 1,200 in 2013. The annual local income from tourism is about USD 700 per household. Cham Island MPA was established under the decision No. 88/2005/QD-UBND of Provincial People's Committee of Quang Nam on 20 December 2005. The CLC-HA BR is coordinated by the PPC of Hoi An City as a modality of sustainable development to help local improve incomes.
Western Nghe An Biosphere Reserve (WNA BR)	
The WNA BR was officially recognized by UNESCO in 2007. The BR has area of 1,303,285 ha, including 191,922 hectares core zone, 503,270 hectares buffer zone and 608,093 hectares transition zone, part of nine mountainous districts of the Nghe An province. The core zones of WNA BR include Pu Mat National Park and Pu Huong and Pu Hoat Nature Reserves. The Biosphere Reserve includes all Ca River headwaters with 3 important tributaries: Hieu River, Nam Non River and Nam Mo River. Located in the northern Annamite ecoregion, ecosystems of the WNA BR are very diverse, including various types of tropical rainforests, bamboo and mixed forests as well as freshwater ecosystems and grasslands. Rainforest ecosystems dominate the landscape. The flora of WNA BR includes temperate, subtropical and as well as paleo-geographical features. WNA BR is characterized by its rich flora and fauna diversity, especially concentrated in its core zones. The biodiversity database includes 3,961 species of plants	According to provincial statistics, in 2016 in total 927,297 people were living inside the WNA BR, belonging to 7 ethnic groups including Kinh, Thai, Kho Mu, Tho, H'mong, Dan Lai, and the O Du minority group, the last one consisting of merely about 340 people. Within the WNA BR, only one settlement with about 1,000 residents is located in the Pu Mat National Park core zone. The remaining population is about equally divided over the buffer and transition zones, 82 communes with 419,303 residents and 79 communes with 507,041 residents respectively. With an average rate exceeding 30%, poverty remains significantly higher than in the lowland coastal zone of Vietnam. Population of WNA BR increases 4.9% compared to 2007, which is lower than the 5.5% population growth rate of Nghe An province, the result of out-migration to urban centers in the province (Vinh) and beyond. Economic livelihood activities are based on natural resources, specifically subsistence or semi-subsistence agriculture without knowledge of or access to advanced technologies. Extra income is generated from logging, collection of bamboo, rattan or other plant products, hunting or collection of wild animals. Any

and animals, including 3,019 species of vascular plants and 942 species of large and small animals. The BR also counts at least 151 trees with an age over 200 years old. Fauna diversity includes 130 species of large and small mammals; 295 birds; 54 amphibians and reptiles; 84 fish, 39 bats, 14 tortoises, 305 butterflies and thousands of insects. Among these species, there are 89 valuable and rare species recorded in Red Book of Vietnam, and at least 60 species that are globally threatened. There are approximate 1,200 plant species of 533 genera of 138 families, of which at least 70 plant species are listed in the Vietnam Red Book of rare and threatened species, and at least 10 are listed as globally threatened, many of which are exceptionally valuable and/or endemic in the region.	income is normally used for supplementing food supplies and any capital gained is used to increase their domestic animal stock. Extensive forests and the geological structure of the region form the basis for the commercial economic activities in WNA BR, including forest-based industries, including rubber plantations, and exploitation of geological resources (limestone, clay, basalt, granite, marble, etc.). Since 2007 the road network of Nghe An province was significantly upgraded and expanded, creating favorable conditions for socio-economic development in general and tourism in particular. As a result, the overall economy of districts in the BR has increased annually, leading to positive changes in livelihoods, household economy, living quality and community awareness.
Dong Nai Biosphere Reserve (DN BR)	
DN BR was recognized by UNESCO in 2011. The DN BR is part of 5 provinces in the central southern region of Vietnam, including Dong Nai, Lam Dong, Binh Duong, Binh Phuoc, and Dak Nong, located 40 km from Bien Hoa City and 70km from Ho Chi Minh City. The DN BR covers a total area of 969,993 hectares, including 173,073 hectares core zone, 349,995 hectares buffer zone and 446,925 hectares transition zone. The DN BR encompasses important remaining tropical rainforest in southern Vietnam, as well as forest ecosystems of the Da Lat highlands. The ecosystems of the DN BR are dominated by secondary lowland semi-evergreen tropical humid forest, some primary forests, lowland rivers, streams and wetlands. Tropical forest ecosystems are part of the Indo-Pacific Biogeographical Region and include evergreen broad leaves forest, bamboo forest and other mixed forest. Within the park there is great variation in topography from steep hill areas in the north to large lowland areas, wetlands, riverine areas and cultivated fields in the south. The variety of habitats in DN BR supports a rich diversity of biological life, including 120 mammals, 348 birds, 99 reptiles, 56 amphibians, 199 fishes, and 1,189 insects. Amongst the ungulates, Sambar deer (*Cervus unicolor*), Wild Boar (*Sus scrofa*) and Gaur (*Bos gaurus*) reportedly occur at high densities relative to other areas in Vietnam. Fish diversity consists predominantly of native fish species (184 species or 91%), with only 15 species being introduced or migratory. The area houses 48 species endemic to the wider Indochina region as well as specific Vietnam-endemic species including 2 mammals, 5 reptile and amphibian species, and one species of fish. DN BR also houses at least 40 globally threatened species (see Table 2). Recent biodiversity surveys conducted in Dong Nai NR confirmed the richness of flora diversity in the area. There are 1,401 species of plant belong to 589 genera, 156 families, 92 orders and 10 phyla, including big timber tree species, small timber tree species, small tree species, liana species, grass species as well as bonsai and	In 2016, the total number of citizens living within the boundaries of DN BR was 2,076,015 spread over 5 provinces, 19 districts and 158 communes. The income and livelihood of many of these people is based on exploitation of forest products, a significant challenge for forest resources management and biodiversity conservation in DN BR. There are 13 different ethnic minority groups living within DN BR, which can be divided into three main groups, which have different histories in the area, different connections to administrative structures, and also differ in land use strategies. These three groups are lowland Vietnamese (Kinh); (ii) indigenous ethnic minorities (S'Tieng and Chau Ma), and (iii) Recently migrated minorities from the north of Vietnam, including Tay,Nung, Dao, Hoa, H'Mong, etc.). The livelihoods of the communities in the DN BR are based on agriculture, including the cultivation of rice, cashew nuts, maize and cassava as well as shifting cultivation and some animal husbandry, mainly raising cattle, buffalo, pigs and chickens.. Besides rice cultivation and livestock rearing, Kinh people and other immigrants also carry out business activities and own most of the shops in the region. Other occupations include weaving, administrative jobs. As agriculture does not provide enough food, the hunting of wildlife and the collection of non-timber forest products (NTFPs, e.g. bamboo, rattan, fuel wood, resins, and medicinal plants) for subsistence purposes and for sale remains important. Tourism in the DN BR, including Cat Tien National Park, has not yet developed in comparison with CLC BR. In 2015 the total number of tourists visited DN BR was approximately 18,900 and it increased to 19,200 in 2016, including a small number of international tourists. Related tourism revenues were US$ 118,000 in 2015 and USD 130,000 in 2016. The forests of DN BR serve as important strategic watershed forests of the Dong Nai river basin and Tri An reservoir, providing fresh water in the dry season and controlling floods/inundation in the rainy season for a large area of southeast of Vietnam, including Ho Chi Minh city, export processing zone, industrial zone, residential areas, etc.

orchid species. About 1,000 species have recognized medicinal features. The Floral Red Data Book of Vietnam (2007) includes 30 species, a number of which are included in the IUCN red list. Overall, 84 floral species observed in DN BR are endemic in Vietnam, of which 18 species are endemic in the DN BR, bearing the names.	

Figure 3: Map of Project Biosphere Reserves



IV. RESULTS AND PARTNERSHIPS

i. Expected Results*:*

21. The project is designed to achieve a variety of long-term environmental impacts including establishing the following institutional and regulatory measures for integrating biodiversity conservation and sustainable natural resource use into socio-economic development planning and management of Biosphere Reserves:

- *A national integrated development planning and management process in place and utilized for Biosphere Reserves;*
- *Improved site-level regulatory, monitoring and implementation framework in place and demonstrated for planning and management of pilot Biosphere Reserves;*
- *Improved national-provincial linkages, capacities and coordination for integration of biodiversity consideration into sectoral planning at the Biosphere Reserve level.*

22. The Long-Term Impact of the project is the reduction of direct threats on biodiversity through the promotion of *sustainable agriculture, fisheries, forestry, tourism and other economic practices in and around Biosphere Reserves; improved regulatory, enforcement and monitoring for enhancing management of BRs; and the effective management of and reduced threats to globally significant biodiversity, including globally significant ecosystems and species in Vietnam's BRs. To achieve the Project Objective of mainstreaming Natural Resources Management and Biodiversity Conservation objectives into socio-economic development planning and management of BRs in Vietnam,* the project is designed to test a holistic and well-integrated multi-sectoral approach to planning and management within the pilot BRs, underpinned by mechanism(s) that address current limitations in multi-stakeholder integrated development planning and effective coordination between key stakeholders within BRs. The project entails the bringing of an increasing area under integrated planning and management that incorporates biodiversity protection, cultural preservation, habitat restoration, climate change adaptation and sustainable natural resources use (improved forestry, agriculture, aquaculture and tourism practices) bringing increased benefits to local communities from sustainable land, coastal and marine resources management and other forms of sustainable livelihood practices towards reduced pressures of biodiversity of Vietnam.

23. The project's incremental value lies in demonstrating, using the selected BRs, the development of participatory natural resources management, enterprise based sustainable tourism practices and sustainable livelihoods for local communities while concurrently strengthening the conservation of biodiversity, maintaining the ecosystem values of these BRs, and ameliorating climate change impacts. A BR Information Management System and maps will be developed for each of these target BRs, listing areas of high biodiversity conservation significance, mapping established degradation and Invasive Alien Species (IAS), in support of planning for ensuring sustainable agriculture and fisheries, sustainable tourism development, forest and grassland rehabilitation and improvement, climate change adaptation, and community sustainable resource use. The information system will allow for defining which ecosystems can be sustainably used and which should be conserved in order to retain critical biodiversity, habitat and ecosystem integrity and ensure productivity of agriculture, forestry, fisheries and tourism in the long term. It will also help develop capacities and required enabling frameworks through "learning-by-doing" approaches in the selected target BRs. Sustainable land and seascape management approaches will be based on assessment~~s~~ of key biodiversity and ecosystem services and will build on capacities and concepts established during the interventions of the past GEF and donor projects in Vietnam, as well as similar initiatives elsewhere. The project will be able to develop and demonstrate a matrix of best practices for Vietnam ecosystem and biodiversity conservation for scaling up and replication in other BRs nationally and regionally. A series of publications and workshops will support the achievement of these targets.

Component 1: Enhanced national legislation, policies and capacities for integrating biodiversity and sustainable natural resources management into management of Biosphere Reserves

Total Cost: US$6,630,500; GEF project grant requested: US$1,030,500; Co-financing: US$5,600,000

Outcome 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.

Baseline conditions for this outcome (without GEF project):

24. At systematic level, Vietnam's Law on Biodiversity providing regulations on biodiversity conservation will continue to lack guidance for identifying important/essential ecosystems (e.g. ecosystems to be recognized as BRs) and HCVFs, for applying landscape-based management and integration of biodiversity into production sectors, for financing mechanism to ensure biodiversity conservation and sustainable use of ecosystem services, and others. The BR system will remain not formally recognized by law, as well as BR institutions and management arrangements. As a result, BRs will continue to be managed ineffectively, and threats to biodiversity in BRs will be poorly controlled. Institutionally, MONRE has been assigned by the government as the focal agency for BR nomination and management, but MONRE staff lacks capacity for implementation of these responsibilities and institutional arrangements at national level to manage BRs will remain uncertain. The MAB National Committee, an existing consultative body for national and international exchanges among BRs under the Ministry of Foreign Affairs, functions at a basic level; it lacks a clear legal basis for its functions, mandates and sector coordination, as the result, it needs to be assessed and strengthened. Without the GEF, the MAB National Committee which has limited sector agency representation, will not be able to guarantee: (i) an effective multi-level integration between provinces and the national government in terms of BR planning and management, (ii) an effective consultation between different institutional levels and sectors at the national or BR level, (iii) an effective integration of biodiversity conservation outcomes in provincial economic and infrastructure development planning; nor (iv) an expanded committee membership and procedures to include provincial representation and better use of technical expertise to implement national policies. Consequently, without the GEF Project, there will continue to be an incomplete institutional framework on BRs at the national level for mainstreaming natural resource management, as well as biodiversity and critical ecosystems conservation objectives into socio-economic development planning and BR management, including BR planning and management at the provincial level. As a consequence, private sector development would continue within BRs without a clear policy or regulations on natural resources use within the BRs. Currently most relationships between resource owners and private sector resource developers are weak, informal or temporary, despite the fact that there are numerous groups and processes in place to facilitate joint planning and implementation to achieve biodiversity goals. Provinces will continue to act independently and without consideration of all or some national biodiversity policies. The implementation of laws and regulations will remain uncoordinated in terms of the individual Province's interpretations. Provinces' planning policies may not address issues at land/seascape level nor fully integrate biodiversity into development. Development in provinces will largely be dominated by single interventions lacking a holistic vision and approach.

Alternative for this outcome (with GEF project):

25. Under this Outcome, the GEF increment will support strengthening legal and institutional arrangements for mainstreaming natural resource management and biodiversity conservation objectives into socio-economic development planning and management of Biosphere Reserves and critical ecosystems in Vietnam, including support to revision of the Law on Biodiversity and establish an institutional coordination framework for integrated ecosystem management of Biosphere Reserves in Vietnam to facilitate information sharing, engagement, consultation, planning and mobilization on the strategies and decision making tools developed through the project. It would also facilitate national coordination and provide leadership where mandated by various existing laws and agreements or where existing capacities exist to enhance support to provinces on the issues relevant to BRs. Guidelines/plans for mainstreaming biodiversity concerns in development planning will be formulated for eco-tourism, agriculture, forestry, and aquaculture, including a set of minimum standards, to guide responsible practices in these sectors while providing a concrete strategy and financing plan for their sustainable development to enhance economic sectors in Vietnam. These plans will build on and integrate relevant and existing tools, strategies and lessons gained through the baseline work. These tools will also be used to provide a stronger regulatory, monitoring and enforcement framework to avoid, reduce and mitigate adverse impacts of these sectors on biodiversity, and

emphasis will specifically be placed on maintaining the ecological integrity of the BRs, in particular, core protected areas and key biodiversity areas. At the same time the project will strengthen the capacity of environmental authorities to develop new, improve existing and implement regulations and practices, such as Environment Impact assessment (EIA) and Sectoral Environment Assessment (SEA) guidelines to be specifically adopted for any development activities within and outside of the BRs. A gap analysis will be updated of relevant legislation to identify critical areas where the current framework needs to be strengthened and new policies developed, proposed and legislated to clarify national sectoral responsibilities for BRs and the relationship between MONRE and national and provincial protected area management (MARD/DARD, PPCs) and development agencies. A national legal framework and regulations would be defined to provide guidance for planning and management in BRs, based on an integrated approach that takes into cognizance sustainable resource management, biodiversity conservation and biodiversity-friendly socio-economic planning and enforcement, climate change as well as strengthened capacity and skills within MONRE to facilitate and support provincial governments to balance development and environmental needs at the BR level.

26. This Outcome would be achieved through four outputs, which will contribute to achieving the overall goal of developing national frameworks for integrated BR level planning, management and enforcement in Vietnam to conserve biodiversity and in establishing capacity for planning, implementation and monitoring of the Integrated Biosphere Reserve Management Agreements (IBRMAs). Annex 3 provides a discussion of the objectives and outcomes, and step-by-step guide to the design and implementation of IBRMAs. It would also support the definition of a strategy for the long-term institutional and financial framework for managing BRs, including identifying potential new areas for BRs in Vietnam.

Output 1.1: Functional governance and coordination mechanism established at national level to support dialogue, information flow and decision–making between provinces and national levels for facilitating integrated planning and management of Biosphere Reserves

27. Under this output, the Project will support the development/strengthening of a national coordination and multi-sector planning platform, including relevant national sector representation, within existing governance structures to facilitate engagement, transparency and coordination among key decision-makers, sectors and stakeholders at the national level. The Project will seek to build on existing coordination systems between stakeholders involved in BR management, including the MAB National Committee, to the extent relevant and feasible, and incorporate new and diverse partners that are missing in existing coordination mechanisms, towards strengthening capacities and institutional arrangements. The project will support the following actions:

- **Review the existing institutional arrangements** for management of BRs, and propose relevant improvements for developing more efficient arrangement, taking into account the existing MAB National Committee;
- **Development of Statutes** defining roles and responsibilities of different stakeholders in management of BRs, including the MAB National Committee and its functioning, Secretariat, membership, statutes, decision making and operational management;
- **Government decision** on MAB National Committee functions and mandate as national coordinating body for BRs in Vietnam;
- **Establishing functional Secretariat** with staffing, office, equipment and budget for MAB National Committee;
- **Strengthening capacity of MONRE** for providing coordination and guidance for management of BRs;
- **National strategy and action plan** for BR management for 2020-2025;
- **Design of BR advocacy strategy** including outreach, resource mobilization for BR financing, and budgets; and
- Defining annual/biannual **meeting protocols.**

28. A Secretariat will be established at MONRE to support the MAB National Committee with delegated staff and financial resources. The coordination mechanism will be regulated by legislation, which will define in detail its decision-making criteria, operational functionality and internal structure. An outline terms of reference for the MAB National Committee is provided in Annex 9.

Output 1.2: Revised legislation in support of integrated landscape planning and management of Biosphere Reserves endorsed and functional

29. Under this output, the Project will support the preparation/revision of legislation, decrees, procedures, guidelines and standards to enable and create the conditions to effectively coordinate the development and implementation of integrated management agreements for BRs. An analysis of needed legislative reforms to strengthen integrated biodiversity conservation in BRs is provided in Annex 2. The revised legislation and other tools would ensure that a more holistic and participatory strategic approach to BR planning and management is developed. Specifically, under this Output, legislation, regulations, guidelines, tools, procedures and standards for integration of biodiversity and sustainable resource use at the BR level will be designed, *inter alia*:

- **Support revision of Biodiversity Law** to specifically adopt requirements for integrated landscape planning and management of Biosphere Reserves, including BR recognition, BR management, and assigned institutional roles and responsibilities;
- Consultancy to develop a **Strategy to strengthen BR Management Board functionality,** including membership, statutes, roles, responsibilities and practices; coordination and consultations with sector organizations at provincial level, effectiveness of participation in provincial decision making; capacity assessment, etc.;
- **New Legal Document on BR establishment and management:** defining zoning criteria and demarcations, regulations for sustainable use principles in different zones; roles and functions of national and provincial entities, management arrangements (BR Management Board functioning, responsibilities, membership, coordination, etc.); procedures for BR establishment, consultation and financing, and procedures for approval, implementation, monitoring and enforcement of BR agreements; institutional arrangements on BR planning and management; regulations for provincial sector planning in BRs, including clarification of national sector responsibility for BRs and the relationship between MONRE and national and provincial PA management and development agencies, etc.;
- **Guidelines** on the development of Management Agreements/plans for BRs based on Integrated Natural Resource Management principles;
- **Guidelines and Circulars on identification of High Conservation Value Forests (HCVFs)/Key Biodiversity Areas (KBAs)**, based on the 2008 WWF toolkit for identification of HCVFs approved to be piloted under Outputs 2.2 and 2.4;
- **New/Revised Legal Document on budget financing** for BRs (revision of existing Inter-ministerial circular between MONRE-MOF);
- **Guidelines** on Biodiversity and Ecosystem Status monitoring approach for BRs to guide monitoring of BR management agreement/plan implementation and adaptive management; and
- **Design of community based "revolving fund".**

Output 1.3: Legislation, technical guidelines, standards and norms for mainstreaming biodiversity conservation in natural resource use sectors in Biosphere Reserves developed and adopted

30. In Output 1.3, the Project will work towards mainstreaming biodiversity conservation (and BR conservation) in key natural resources use sectors such as tourism, forestry, agriculture and economic development-related legislation and regulations. The GEF increment will support the following activities under this Output:

- **Review existing legislation and regulations** relating to sectoral economic development planning to identify key gaps in promoting environmentally friendly development with special emphasis on resource use planning in different BR zones;
- **Development and approval of guidelines** incorporating biodiversity conservation considerations in provincial sectoral socio-economic development planning;

- **Updating rules and guidelines** for new and existing tourism infrastructure in BRs to ensure ecologically sensitive development and practices and for meeting zoning requirements, including through undertaking EIA and applicable certification for tourism infrastructure and products;
- **Support revision of EIA** legislation (Decree 18 and Circular 27) to ensure BR Management Board involvement in the review of infrastructure developments within BRs;
- **Guidelines** on differentiation of EIA and **Biodiversity Impact Assessment (BIA)** applications in different zones of BRs;
- Development of **guidelines and tools for improved tourism business planning** to facilitate biodiversity-friendly business development and practices; and
- **Strategic plan for eco-tourism development** in BRs, including **alternative financial and revenue sharing mechanisms and benefit sharing** (entry fees, accommodation surcharges, concessions, taxing, PES, etc.) for conservation related tourism products and services.

Output 1.4: Replication strategy developed and implemented to facilitate up-scaling of integrated BR management model in other sites

31. A replication strategy will be formulated in the second half of the project based on lessons learned at the field level that will ensure that the integrated land use planning approach and BR management framework and models developed and pilot tested in the three sites are scaled up to include all 9 BR sites. This Output would support the analysis, documentation and dissemination of best practices and lessons learned that deliver tangible improvements in biodiversity and natural resources status to provide examples for replication. It would also entail participation in regional and international workshops, conferences and field visits for national and provincial BR staff to improve learning and exchange of experiences in mainstreaming biodiversity considerations, and integrated and sectoral planning and practices. Based on these best practices and lessons learned, the replication strategy will provide a basis for actions in other key landscapes and areas, identify required institutional and coordination arrangements, resources and partnership commitments (including with NGOs), select interventions and potential sites for replication by the fifth year of the project.

32. Under this Output, the project will support the following activities:

- Facilitate **dialogue** with provincial authorities and other stakeholders interested in replicating best practices for establishing and managing new and existing BRs;
- Design and conduct **training programs** (including principles of BR management, integration of biodiversity considerations in sector development, EIA/BIA, etc.) to enhance conservation skills and capacity of other provinces and partners interested in replication of integrated BR planning and practice (at least 100 provincial staff trained);
- Design of training program for integration of biodiversity considerations (including application of BIA) in sectoral economic-development planning (implementation of training at provincial level in BRs under Output 2.2);
- Participation in regional and international workshops, conferences and field visits for national and provincial BR staff to improve learning and exchange of experiences in mainstreaming biodiversity considerations, and integrated and sectoral planning and practices;
- Provide **technical support** to facilitate identification of new BRs and initiation of planning for integrated approaches in other BRs;
- **Annual seminars for BRs** and decision makers on best practices, experiences and needs;
- **Financial mechanisms** identified to strengthen and upscale financial support to conservation and sustainable land use/natural resource management in BRs;
- Development of a **replication and scaling up strategy and plan** (based on good practices and lessons learned from the Project and regional and international initiatives) for BR management and scaling up in Vietnam, including resources requirements, partners and coordination arrangements;

- Preparation of a **manual** that describes Sustainable Forest Management (SFM) approaches for forest restoration for different degraded forest types;
- **Publishing of best practice manuals/handbooks/compendiums** of BR management approaches;
- **End of project national seminar on** outcomes and replication for BR management in Vietnam; and
- Preparation of a **UNESCO nomination dossier** for at least an additional BR.

Component 2: Sustainable resource use, protected areas management, and biodiversity-friendly development measures mainstreamed into the management of three targeted Biosphere Reserves

Total Cost: US$31,637,625; GEF project grant requested: US$4,689,600; Co-financing: US$26,948,025

Outcome 2: Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves to mainstream protected area management, sustainable resource use and biodiversity-friendly development

Baseline conditions for this outcome (without GEF project):

33. The institutional framework of Vietnam currently implies a significant division of the competencies in matters of spatial and sector planning within and between provinces and national institutions. The existing coordination mechanism does not guarantee (i) an effective multi-level integration between the initiatives of the provinces and the national government and (ii) an effective consultation between different institutional levels for those initiatives and decisions made at any of the levels.

34. All provinces have elaborated planning and programming tools mostly in the form of socio-economic development plans and these most likely lack effective consideration of biodiversity conservation aspects in the planning process. In addition, they are likely to mostly be developed without a land use zoning including proper considerations for biological and other natural resources conservation and sustainable use. At the local level, in and around BRs, urban and related socio-economic planning is likely to continue without any significant effort to mainstream biodiversity into these plans.

35. The PAs are currently the spine of biodiversity conservation and ecosystem services and the three project BRs are characterized by some protected areas. PAs are largely stand-alone areas not supported by an effective ecological network designed between them. Also the lack of efficient coordination between different partners is evident in the implementation of conservation policies. As such, the PA network by itself does not guarantee the long-term conservation of biodiversity and ecosystem services in the BRs, as many areas within the BR are excluded from protection, and conservation measures outside PAs (for example: sustainable use of natural resources in local communities) seem to be sporadic and designed without a common and shared strategy. Environmental compliance in Vietnam is demanded by the EIA and Environmental Impact Statement (EIS) process that, unfortunately, acts at site level (only on the single project/work). EIA and EIS cannot guarantee, in the current situation, a harmonic sustainable development of the BR landscape and an effective assessment of cumulative environmental impacts coming from the different projects, works and development initiatives.

36. In synthesis, despite the significant effort and commitment of national and provincial governments in matters of spatial and sector planning, two main evidences emerge:

- A lack of integration between national and provincial policies and strategies in the key sectors; and
- The absence of spatial planning tools on a large scale (BR and/or landscape/seascape), capable of guaranteeing sustainability of natural resources management (NRM) (including land use), conservation of biodiversity and climate risk management in the long term.

37. In recent years, tourism and related development initiatives have increased significantly in Vietnam, in particular in natural areas, such as PAs, with positive terms of contribution to the economy of the area. Despite the

positive economic consequences, tourism fluxes might imply environmental impacts on fragile ecosystems such as coastal zones, wetlands, high value forests, lagoons and mangroves. Even if current tourism in the BRs has not caused any significant negative environmental impact, some negative effects may be expected in the future. The increase in tourist demand can boost the development of tourist infrastructure, particularly accommodation and the presence of tourists, with environmental consequences in terms of land use change, forests' clearance, soil degradation, excessive use of natural resources, disturbance to sensitive sites (e.g. nesting sites, coral reefs, etc.) and introduction of Invasive Alien Species (IAS).

38. This risk is higher without any effective spatial planning policies and operational tools (elaborated possibly on a large scale, so at the land/seascape level) to deliberately integrate development needs with environmental sustainability, particularly biodiversity, climate adaptation and ecosystem services conservation. Consequently, there is likely to be significant environmental effects to BRs, in particular:

- Excessive concentration of development initiatives and projects, including in sensitive ecosystems;
- Localization of development initiatives and projects in core zones, currently not properly identified;
- Excessive reduction of ecosystems prevalently located in areas suited for tourism (beaches, coastal zones, small islands, lagoon, etc.);
- Reduction of the aesthetic value of BRs (an important element for eco-tourism development), that currently preserves its natural wilderness;
- Lack of consideration of climate risk management strategies;
- Settlement sprawling, with possible irrational, expensive and unsustainable management of natural resources and public services, with environmental effects; and
- Direct disturbance in sensitive sites and introduction of IAS.

Alternative for this outcome (with GEF project):

39. Building on component 1, this Outcome will support strengthened multi-stakeholder coordination arrangements at the BR level to facilitate collaboration of key institutions and communities in integrated BR management planning for individual BRs. This arrangement will be tested in three BRs through the development of Integrated BR Management Agreements (IBRMAs) that ensure recognition and improved conservation of HCVFs and high conservation value marine resources, maintenance of ecosystem services, climate adaptation, IAS and climate change considerations. With project support, the mapping and IBRMA exercises will identify areas of HCVFs and high value marine and coastal areas to be conserved/set aside for non-exhaustive use. This might entail (i) re-zoning of BRs, including expansion of core zones; and (ii) expansion of BRs. A strengthened local decision support system (Output 2.1) based on guidance from Outcome 1, and following mapping exercises in the BRs (Output 2.2), will help determine where critical habitats are, which areas have greatest ecosystem services' and biodiversity values, which threats these face, and what the effects of land and marine use and degradation are. The BR Management Boards for each BR that will include representatives of PPCs, provincial departments, local authorities, conservation agencies, civil societies, business sector and local communities will facilitate the development of IBRMAs for each BR to define zones and areas that are available for development and areas which are set aside using a landscape perspective to sustain ecosystem and climate risk management services and critical biodiversity areas, to address land, coastal and marine degradation effectively. The HCVFs and marine high value areas will be legislated in the individual provinces through existing or new bylaws. Standardized monitoring protocols will be emplaced, building on current approaches, but at a greater resolution. Restoration of approximately 4,000 ha of degraded forest will be supported using proven methodologies in strategic areas and buffer zones to improve connectivity and enhance biodiversity conservation. In addition, technical support will ensure that current provincial forest restoration activities integrate sustainable forest management guidelines and practices. In relevant areas, restrictions and other controls to socio-economic and associated infrastructure development will be proposed, with a view to conserve high value and sensitive ecosystems.

40. Training and support for community-based sustainable forest, coastal and marine resources management and restoration will aim to link traditional practices with modern techniques. Through this support, the provinces,

communities and target organizations will build their capacity in integrated terrestrial and marine landscape management to maximize ecosystem service and biodiversity benefits. Support for awareness campaigns through local community mobilizers trained through the project will also focus on increasing awareness of local people and sectors on the risks from fires, IAS, pests, climate change and over-exploitation of resources. To link sustainable economic development to HCVFs and high value marine resources, the project will develop and promote sustainable, biodiversity friendly ecotourism products. It will identify economically-feasible options for the local population and the private sector for developing these and provide appropriate training. These will be developed in line with the standards and certification under Outcome 1. The project will also support local communities/communes to implement biodiversity friendly non-consumptive forest management measures within buffer zones to protect critical ecosystems and restore degraded areas to improve connectivity, through organic agroforestry using only native tree species, conservation enrichment planting, assisted natural regeneration, sustainable resource harvesting, etc. In addition, the project will support sustainable and diversified livelihoods and sustainable natural resources use and community-based nature protection and wildlife-related ecotourism ventures to reduce human pressure on biodiversity. Experiences, results and lessons gained through these demonstrations will be shared at national and provincial level through the MAB coordination platform and with relevant sectors and stakeholders to provide concrete demonstrations of the value-addition of such enterprises. A total of around 2,500 households would benefit from direct project interventions (500 households in Cu Lao Cham BR and 1,000 households in each of Western Nghe An and Dong Nai BRs). The project will also explore opportunities to exploit and scale up participation in online data collection and compilation using crowd-sourced tools already initiated, such as online bird sighting reporting tools.

Output 2.1: Multi-stakeholder and multi-sectoral coordination mechanism at Biosphere Reserve level to support integrated planning and management established and functional

41. Under this output, the Project will support the development/strengthening of multi-sectoral Biosphere Reserve Management Boards (MBs) at the provincial level comprising relevant provincial sector agencies, private sector institutions, local communities, business corporations and NGOs under the framework of the national governance and coordination mechanism (Output 1.1) to facilitate cross-sector coordination in planning and management of individual BRs. In order to strengthen the role of the MBs, the project will support:

- Strengthen **BR Management Board functionality** at Provincial level in keeping with national strategy on BR Management Board (Output 1.2) to clarify membership, roles, responsibilities and practices; coordination and consultations with sector organizations, effectiveness of decision making; etc.;
- Updated **BR MB Statutes and updated/revised provincial Decision on BR MB;**
- Improve operations of **MB Secretariat,** including staffing, equipment; budget, dialogue and information flow, etc.; for effective BR management and project implementation; and
- Ensuring effective **monitoring and enforcement** of implementation of the integrated BR management framework and sectoral initiatives.

42. The outline for the functional responsibilities of BR MBs is provided in Annex 9.

Output 2.2: Integrated biodiversity conservation and management planning incorporated into provincial economic and sectoral development planning within Biosphere Reserves

43. Under this output, the Project will support the elaboration of multi-stakeholder and multi-sector integrated BR planning of the **Cu Lao Cham – Hoi An**, **Dong Nai** and **Western Nghe An BRs**. The planning process will culminate in the elaboration, sharing and adoption of IBRMAs through a participative approach, involving key players (national and provincial institutions, NGOs, civil society, local communities, private tour operators, etc.), under the supervision of the national and provincial MAB governance and coordination mechanism discussed under Outputs 1.1 and 1.2 and 2.1. A step-by-step process for participatory landscape (and seascape) planning and management for BRs is provided in Annex 3.

44. This Output will be achieved through the following actions:

- Consultancy for **Assessment and Mapping** of biological, socio-economic, environmental and institutional aspects, including assessment of biodiversity and ecosystem services values and threats, climate risks, identification of HCVF/KBAs, land degradation and recommendations for mitigating in the three BRs;
- Based on the mapping exercise, **official authorization of formal BR areas, internal zoning** highlighting biodiversity priorities, set-aside forest areas for non-exhaustive uses to improve connectivity and biodiversity conservation, multiple use zones for sustainable natural resource use, degraded areas for assisted natural regeneration to improve connectivity, areas for sustainable biodiversity-friendly community livelihood development and areas for intensive community resource use and environmentally-friendly tourism;
- **Integrated Biosphere Reserve Management Agreement (IBRMA)** or policy framework that entails a multi-sectoral shared vision for mainstreaming biodiversity conservation into provincial level sectoral plans/policies developed and formally adopted (3 provinces/BRs);
- **Provincial/Municipal Decision on mainstreaming biodiversity** considerations in provincial socio-economic development planning (based on guidelines developed under Output 1.3) developed and adopted;
- **Capacity building to facilitate mainstreaming of biodiversity conservation** in sectoral development planning in BRs (based on training design developed under Output 1.4) in selected key sectors (e.g. tourism, forestry, agriculture and natural resource use); and
- **Provisional Decision on application of BIA in EIA process** (based on guidance developed under Output 1.3) and its enforcement for all socio-economic and infrastructure development in BRs.

Output 2.3: Improved management effectiveness of seven existing protected areas

45. Under this Output, the GEF increment will facilitate the development and improvement of management of protected areas (core zones in BRs) and develop guidelines for improved conservation planning and management.

46. This Output will be achieved through the following actions:

- Preparation of new and updated 5-year **protected area management plans**, as appropriate;
- Based on 5-year PA management plans, the development of **annual operational plans** for biodiversity conservation, soil and water conservation, fire management, restoration of degraded ecosystems through assisted natural regeneration, weed management, etc.;
- Development and implementation of **protocols for monitoring of key endangered species and their habitats in PAs**;
- Supporting the **implementation** of conservation management interventions (including boundary markings, fire and weed control, etc.) within PAs based on annual operational plans;
- **Capacity building and training** of PA field staff to reduce human-wildlife conflict, improve enforcement and visitor management;
- **Field and camping equipment** for improving PA management, and boats for CLC BR; and
- **Strengthening law enforcement** to address illegal hunting and monitor and enforce infringements to PA regimes (e.g. access to corals by tourists and fishermen in Cu Lao Cham, etc.).

Output 2.4: Specific set-aside areas of high conservation value forest, coastal and marine ecosystems conserved and managed for non- exhaustive use to enhance biodiversity conservation and connectivity

47. Under this Output, the GEF increment will facilitate the improvement of management of high conservation value forests that have been identified through the mapping exercise under Output 2.2, including in particular, the establishment and management of at least 60,000 ha of new set-aside areas in two BRs (Dong Nai and Western Nghe An). Specific plans and guidelines would be developed for improved conservation, natural forest management, and non-consumptive uses, as well as implementation and monitoring protocols for management of these areas. Annex

5 provides a more detailed discussion on planning and management for HCVFs and set-asides. In addition, set-asides will be established in marine habitats in Cu Lao Cham BR to protect important fishing areas and coral reefs.

48. This Output will be achieved through the following actions:

- **Preparation of site-specific plans for non-consumptive resource uses** in identified set-asides (e.g. HCVFs, KBAs and biological corridors), within BRs and tested under various governance, management and enforcement regimes. At least 60,000 ha of new set-aside areas defined following assessment and mapping under Output 2.2[13];
- Extensive **consultation with key stakeholders**, including local communities on their expected needs and services from the non-consumptive use of these natural areas and specific arrangements for any benefit sharing from such non-consumptive uses (e.g. ecotourism revenues, gate fees, etc.);
- **Technical advisory services** to facilitate improved sustainable natural resources management and forest-based livelihoods in the non-exhaustive use areas, through extension, processing, value addition and marketing support;
- **Investment grants** to adjacent communities to reduce threats (e.g. fire, grazing and unsustainable resource extraction) and enhance community non-consumptive resource use (sustainable NTFP and forest resource collection, etc.)
- **Capacity building** for sustainable forest management and non-exhaustive uses that would include environmentally friendly NTFP harvesting techniques, determining sustainable harvest yields, management and maintenance of forests for multiple benefits, etc.; and
- **Monitoring** of biological, ecological and social benefits from the non-exhaustive areas.

49 Grant making in support of specific investment agreed in identified HCVF management units will be financed in line with regulations of UNDP's micro capital grant modality. Investment guidelines will be developed that will stipulate conditions, including total amount per investment grant available, based on which community-based forest enterprises, CBOs or similar self-help groups can obtain grant for investment to enhance non-consumptive forest resource use, including NTFP and forest resource collection, and capacity building for environmentally friendly harvesting techniques, sustainable harvest yields, management and maintenance of forests for multiple benefits, etc. Scaling up in-country experiences with PFES financial approaches in forest conservation, the preliminary grant making scheme considers building upon provincial Forest Development Funds augmented by BR MB involvement and oversight, including the issuing of individual grants based on multi-stakeholder decision making in the Fund's Management Board.

Output 2.5: Restoration of degraded forests improves connectivity and enhances biodiversity

50. As a complementary activity to enhanced protection and management of protected areas, biodiversity rich set aside areas and high conservation value forests/KBAs (Output 2.3 and 2.4), this Output will target on-the-ground interventions in at least 4,000 ha of degraded forests (particularly in Western Nghe An and Dong Nai BRs) to enhance density and quality of the natural forests, and improve connectivity for terrestrial animals. Activities for this Output will be implemented with the intent of accelerating natural forest restoration by removing or reducing barriers and threats to forest renewal such as soil degradation, competition with weed species, and reducing disturbances (e.g. fire, grazing and unsustainable harvest of NTFP and wood). This would be achieved through a combination of soil conservation and fertility improvements, weed eradication, forest protection, as well as investments to enhance sustainable forest benefits and improve forest-based incomes to neighboring communities. Degraded lands for forest restoration will be defined following inventory and mapping exercise (Output 2.2), and validated through a participatory consultative process with local communities and other stakeholders. To the extent feasible, the degraded forests for restoration would be selected based on their biological values, degree of degradation, improving connectivity to critical biodiversity areas (mainly to BR core zones), etc. From the cost-effective and

[13] At least 60,000 ha of set-aside, that could entail re-zoning of BRs, including expansion of core zones; and (ii) expansion of BR buffer zones

ecological perspective, areas selected for forest restoration will likely include the following degraded categories: (i) medium degraded forest areas with natural cover of between 50-75%; and (ii) little degraded forests with natural cover of 75% and above. Annex 6 discusses detail arrangements for management of forest restoration to provide Sustainable Forest Management (SFM) benefits. The specific activities that would be undertaken to achieve this Output will include:

- **Technical support** for development of **forest restoration and protection plans** for the identified sites, including assessment of silvicultural and soil conservation practices and working methodologies based on national and regional best practices;
- Investigation of potential for **collaboration** in forest restoration through complementary provincial initiatives, such as Reduced Emissions from Deforestation and Forest Degradation (REDD+), Payment for Environmental Services (PES), other donors programs, etc.;
- Provide **technical support** to ensure that on-going and proposed provincial forest restoration programs **better integrate sustainable forest management and benefit sharing** guidelines and practices;
- **Community consultations and participation in forest restoration**, including for the establishment and maintenance of a suitable mix of protection and other community based conservation and maintenance measures such as social fencing to reduce grazing, wood collection and sustainable NTFP extraction; fire control, etc.;
- Support for **implementation of restoration and protection plans,** including soil moisture improvements, weed clearance, water harvest and erosion control, seeding and planting, protection and maintenance;
- **Monitoring of forest restoration progress and impacts**, including assessment of biological, ecological and community benefits; and
- Preparation of a **manual** that describes restoration approaches for different degraded forest types (covered under Output 1.4).

51 In line with the grant making procedure in support of specific investment in HCVF management units, on-the-ground investments in at least 4,000 ha of degraded forests will be financed in line with regulations of UNDP's micro capital grant modality. Investment guidelines will be developed that will stipulate conditions, including total amount per investment grant available, based on which community-based forest enterprises, CBOs or similar self-help groups can obtain grant for investment to enhance the quality of natural forests, improve forest connectivity, or remove/reduce barriers and threats to forest renewal. The preliminary grant making scheme also will consider building upon provincial Forest Development Funds and PFES financial mechanisms successfully tested in Vietnam, augmented by BR MB involvement and oversight, including the issuing of individual grants based on multi-stakeholder decision making in the Fund's Management Board.

Output 2.6: Sustainable livelihood practices implemented by communities in buffer zones of Biosphere Reserves to reduce pressure on biodiversity and ecosystem functions

52. A bottom-up participatory community planning process will be established that complements existing planning processes at commune level (Annex 4) to help improve existing, and develop new and diversified livelihood options and test and promote community-based natural resources co-management strategies as a means to diversify governance arrangements. To the extent feasible, communes that are linked to the identified high conservation value ecosystems, set-asides, or restoration sites would be priority for development of community initiatives. Criteria for selection of priority communes for project support are; (i) communes located within core or neighboring buffer zones; (ii) communes located in corridors between core areas and within biodiversity rich areas or areas with recognized potential for meaningful ecosystem restoration; or (iii) communes within identified set-asides or forest rehabilitation areas. Within the selected communes, the project will work with selected households, selected on the basis of the following criteria: (iv) households located with biodiversity rich areas, set-asides or KBAs; (v) households that are greatly dependent on forest and/or marine resources within core areas, set-asides and forest restoration areas for their livelihood or that conduct such actions which are a direct threat to biodiversity; (vi) households that are already organized into collective village or user groups; (vii) households that are recognized as belonging to

ethnic minorities or disadvantaged; (viii) households that are willing to participate in collective conservation action; etc.

53. The following activities will be supported under this Output:

- **Bio-physical and socio-economic resource mapping of** selected communes to delineate scale of resource use (pasture, forest, water, NTFP, etc.); climate risks, existing dependencies, their sustainability and opportunities for improving these practices, including diversification and expansion of farm and non-farm based livelihoods;
- Institution of a **participatory community-based commune level planning process** to develop commune conservation plans (CCPs) for improving and diversifying community income-generating activities that reduce pressures on biodiversity (e.g. wildlife eco-tourism, sustainable use of wildlife products, homestays, organic agriculture, fisheries, medicinal plants, handicrafts, adventure trail tourism network, etc.) and improve climate resilience:
- **Grant allocation** for CCP implementation will be determined in consultation with the planning and implementation teams (PITs). The CCPs would serve as the basis of **funding** from GEF and available provincial, district or other financial sources);
- Establishment of **community-based revolving funds** (based on design under Output 1.2) for sustaining livelihood and natural resources management investment in BR buffer zones on the longer-term; and
- **Capacity building**: on relevant livelihood and sustainable natural resources use investments, including value addition.

54. The GEF project would support PITs with additional technical support from specialized agencies and experts, training (in planning and participatory rural appraisal or PRA techniques, group dynamics, gender mainstreaming and conflict resolution), consultation workshops and investment support for implementation of CCPs. The PITs, with technical support from the project and under the direction of the BR MBs will guide the commune conservation planning process, will support and oversee the grant making process as well as on-the-ground implementation of activities agreed in the CCPs.

55. About 2,500 households will directly benefit from on-the-ground training during the commune conservation planning and implementation exercise and grant funding for implementation of CCP activities. The CCPs would include a range of options agreed with communities to improve sustainable natural resource management, reduce their vulnerability to climate impacts, increase resilience and enhance the adaptive capacity to environmental and climate related risks and impacts. The CCPs will reconfirm a shift from the current emphasis on investment in agricultural production to more holistic approaches of management of agricultural and natural resource landscapes for multiple benefits. Finalization of the selection of communes for CCP process and intensive investments will be undertaken during early project implementation by the BR Management Board and respective Provincial agencies, following the landscape mapping exercise and based on the criteria discussed earlier.

56. While specific investments within each commune would be defined through the CCP process, these would likely fall within the following indicative list of investments for improving and diversifying incomes and reducing climate risks, including improved water, soil and energy conservation activities, improved grazing management, sustainable NTFP collection, ecotourism investments, human-wildlife conflict management, and sustainable community forest, pasture and conservation management activities. The project will provide technical assistance, training and grants for implementation of the CCP investments. The specific investments, technical support, training, benefit sharing and reciprocal commitments would be laid out in each CCP, which would become the instrument for approval of funding for the village/commune activities.

57. Grant making in support of specific investments agreed in the CCPs will be in accordance with the regulations of UNDP's micro capital grant modality. Investment guidelines will be designed to promote household-level investments aiming to reduce poverty, improve livelihoods while alleviating pressures on the environment, natural resources and biodiversity. Building upon and scaling up best practice experiences in Vietnam, including through GEF-SGP, grant making would be channeled through existing or newly established Community Conservation

and Development Fund in each BR, managed by a Management Board under the leadership of the BR Management Board. Complying with adopted subject and financial regulations, target households who are orgnanised into community groups (CBOs/self-help groups) can obtain up to US$ 350 (1,000 households each in DN BR and WNA BR) to US$ 400 (500 households in CLC BR) for implementation of CCP agreed activities. Through the BR Management Boards, the project subsequently will engage with the communities to promote opportunities for expanding the grant making procedures into a revolving fund modality under with grant recipient households would agree to re-invest an appropriate percentage of profits gained through grant investments into the community fund for the benefit of other households.

58. Grant financing for CCP investment activities will be performance-based and designed on basis of ensuring transparency and extensive consultations with local and district entities and other relevant stakeholders. Grant financing will be well coordinated and promoted through the PITs in each BR providing effective technical support, regular review of implementation arrangements and the use of monitoring and evaluation information to adjust and refine the system in consultation with the stakeholders. Regular high-level supervision on grant financing is provided by the BR Management Boards. Grants would be typical cash for work payments that would be based on the following principles: (i) competitive assessment to selected commune institutions/beneficiaries; (ii) selection of beneficiaries in accordance with transparent criteria (to be defined early in the project); (iii) upfront payment (percentage of payment to be defined in consultation with stakeholders); and (iv) balance payment on successful completion and verification of work. Efforts will be made to try to identify additional funding support for this activity from existing provincial and district development programs.

Output 2.7: Responsible tourism developed and promoted

59. A key part of responsible tourism will be engaging both tour operators and tourists in supporting biodiversity conservation efforts. This will entail developing and implementing mechanisms for allocating tourism related revenues to support conservation efforts in BRs, through channeling visitor entry fees, accommodation surcharges, tourism concession fees. It would support public-private partnership for sustainable eco-tourism ventures that could entail community engagement (e.g. provision of homestays, tourism facilities and services, ecotourism based enterprises, cottage industries, etc.) It would also support the design and implementation of a voluntary certification scheme for tour operators and tourism businesses and establishment of a system of penalties for malfeasance in the tourism sector. The project will develop and support protocols/training for implementation of certification scheme and carrying out the enforcement of penalties.

60. The following activities will be supported under this Output:

- **Design of BR tourism certification program** for hotels, guesthouses and tourism facilities, tourism activities, travel agencies, tourism products at Cu Lao Cham BR;
- Promotion of **voluntary application of certification** for hotels, guesthouses and tourism facilities in Cu Lao Cham BR;
- Technical support to promote compliance with certification criteria in Cu Lao Cham BR;
- Assessment of tourism promotion and tourism certification opportunities in Western Ngha An and Dong Nai BRs; and
- Strengthening of **selected tourism products and services** that recognize BR conservation principles (e.g. trails and treks, guide services, etc.).

Component 3: Knowledge management, gender mainstreaming and monitoring and evaluation

Total Cost: US$2,715,097; GEF project grant requested: US$624,900; Co-financing: US$2,090,197

Outcome 3: Knowledge management and monitoring and evaluation support contributes to equitable gender benefits and increased awareness of biodiversity conservation

Baseline conditions for this outcome (without GEF project):

61. Many gender and other inequities exist in terms of gaps in information sharing, knowledge, and attitudes. Traditional knowledge while it exist, will likely continue to be guarded and segregated by gender, and while there is effort at sharing knowledge using a modern system of schooling, public media, and traditional face-to-face methods, this is likely to continue to advance at its own slow pace. Knowledge and understanding of biodiversity and protected areas is low and priorities for information collection have not and likely will not consider gender and vulnerable people concerns. Significant gaps in understanding of terrestrial and marine habitats, both at the institutional level and at the community level will continue to exist, and impacts of poor land practices and fire, and their downstream impacts, will remain poorly understood. Management of land-based data will continue to be limited.

62. Conservation organizations will likely continue to use newspapers to spread public messages because press releases are free, even though they are not the most effective means of communication. Despite its growing use, without the GEF increment communications will modernize only slowly (e.g. making use of online formats). While much information is generated through "projects", this information is likely to continue to be compartmentalized and not widely shared outside of the close circle of project implementers.

63. Gender inequality relating to knowledge and attitude will continue as many national capacity building and information management efforts in the past decade have focused on monitoring, enforcement, field-work, and these mostly involved men. There will continue to be the lack of gender-disaggregated data, which would make it difficult to evaluate and plan for gender-based improvements. Thus, problems relating to degradation of terrestrial and marine habitats, use of non-native species for agriculture, and use of pesticides will continue without the GEF's investment in communications. In terms of IAS, the absence of a comprehensive IAS information source at the national or provincial levels will hinder prevention, management and awareness of IAS. IAS management and biosecurity outreach efforts, and public engagement, will remain limited without a coordinated programmatic approach.

Alternative for this outcome (with GEF project):

63. The goals of Outcome 3 are: (i) improving knowledge and information collection and management systems to enhance awareness about best practices on conservation of land and seascapes and their associated biodiversity and ecosystems through communication, documentation and dissemination; (ii) strengthening policies that support conservation and sustainable use; (iii) ensuring gender considerations mainstreamed into natural resources planning and management; and (iv) monitor and evaluate project investments to ensure that these are meeting project outcomes and contribute to Vietnam's ongoing development. To achieve such an objective requires the improved understanding and participation of key target groups (decision makers and staff from key sectors), non-governmental organizations, as well as community groups, researchers and others, including in particular women and the most vulnerable segments of the population. The development of a knowledge management and communication strategy (Annex 8) is intended to promote meaningful stakeholder awareness, understanding and participation in biodiversity conservation, sustainable natural resource use and alternative livelihood as well as document, disseminate and scale up successful lessons and best practices in resource conservation more widely in the BR landscape (and seascape) and beyond. This will be accomplished through awareness campaigns, and creation and maintenance of an online public access database and documentation repository. Expanding the role of knowledge management is key to moving towards parity. The GEF alternative will also enable a gender-equity perspective and analysis of the way that information is prioritized, collected, shared, communicated, and used within the realms of BR land/seascape planning, tourism development, and biodiversity conservation and management, according to the Gender Analysis and Mainstreaming Action Plan (**Annex 7**).

Output 3.1: Knowledge Management and Communications, Gender Mainstreaming and Monitoring and Evaluation strategies developed and implemented

65. The implementation of the Knowledge Management and Communication Strategy (Annex 8) and Gender Analysis and Mainstreaming Action Plan (Annex 7) will be key to the overall goal of creating bridges between the

stakeholders from the grass-root to the national, provincial and local levels to document best practices and results of the project and ensure the flow of information, exchange of ideas and combined implementation and mainstreaming of gender in community-based conservation and sustainable natural resources management. The communication strategy is aimed at making "mainstreaming biodiversity and sustainable natural resource use" a national priority for large terrestrial and marine ecosystems (including BRs) that will help build visibility to the conservation needs of these ecosystems (as relevant depending on the BR site) and connecting stakeholders - policy makers, media, research and academic institutes, private sector, NGO's and general public - through a comprehensive program, from consultations, brand building to outreach and awareness. Annex 8 also provides a list of indicative communication tools for the project. It is also intended on developing among the stakeholders an ownership to the goals of the project – of shared knowledge, experiences, inputs and ideas for effective action. The intent is to create systems that facilitate and generate a common vision for "mainstreaming biodiversity and sustainable natural resource use" and supporting a horizontal and vertical exchange of information and knowledge to strengthen decision support systems available to local communities and facilitate knowledge exchange through field visits and awareness trainings, identify and document promising and good practice adaptive mechanism relevant to BR conservation approaches, sustainable land, coastal and marine resources management, promote establishment of model demonstrations by involving local communities to showcase such best practices, and document and disseminate and share results of adaptive approaches for up-scaling. The intent of the gender analysis and mainstreaming action plan (Annex 7) is to enhance the role of women in conservation-based actions, that provides a voice for women in the local decision making process related to conservation, sustainable resource management, livelihood and other local level activities.

66. This Output would be supported through the following activities:

- Development of **knowledge management and communication action plans for each BR** based on overall knowledge management and communication strategy (Annex 8) so that (i) the project is well understood, accepted, and implemented effectively and equitably; (ii) knowledge and lessons learned from the implementation process of this project are captured, documented and used to improve current and future project practices; (iii) understanding of BR land/seascape planning and management is increased; (iv) implementation and upscaling of best practices is improved; and (v) the public has an increased awareness and understanding of biodiversity conservation and threats, and (vi) knowledge management products are shared and used:
- **Implementation of a gender analysis and mainstreaming action plan** (Annex 7) so that: (i) a gender and socially inclusive perspective is applied to every set of activities; (ii) research on gender and social roles in BR land/seascapes informs resulting plans and ensures equitable distribution of benefits; and (iii) information is collected and shared across gender and social divides. **Training of staff** on application of gender mainstreaming in project communication and project activities;
- **Design of communication materials;** and
- **Conduct of awareness and outreach activities** for a variety of stakeholders at the national, provincial and local levels such as competitions, website, mass media, video and film, festivals, etc.
- Review and regular update of M&E plan, including results framework baselines, tracking tools, Theory of Change to subsequently adopt these findings to implement all aspects of the project; and
- Conduct mid-term and terminal evaluation in line with UNDP/GEF requirements and incorporate and adapt recommendations of MTR to revised project plans and monitor their implementation.

Output 3.2: Harmonized information management system operational at Biosphere Reserves

67. By implementing the Knowledge Management and Communication Strategy (Annex 8) the project will ensure that best practices are captured, documented and shared widely. Together with implementing the Gender Analysis and Mainstreaming Action Plan (Annex 7), the project would ensure that information collection and sharing is inclusive and thus highly useful. The Project will make good use of more modern techniques for knowledge management, including sharing via web-based platforms and social media. Knowledge Management will prioritize spatial knowledge arising from the terrestrial and marine planning process, written and oral knowledge of best

practices, and a wide range of mapped, written, and traditional knowledge of biodiversity conservation and natural resources management.

68. There are numerous databases in Vietnam, and the project will contribute to these existing databases and information sharing platforms. Data collection at BR will be integrated along with an improvement of the existing Biodiversity GIS database housed at BCA/MONRE. Standards developed in Outcome 1 and implemented in Outcomes 2 will include transferring all information into a digital format as well as establishing regular periods for information transfer. This database will support the collection and documentation of detailed information on species, habitats, threats, and conservation actions, ultimately improving the overall national and provincial capacity and the ability to effectively target threats and risks.

69. A process for inputting, uploading and sharing information will also be developed and housed in a BCA public clearing house. This site will link to (or incorporate) other existing national sites. The project will catalog best practices and make them available via the web. For all categories (terrestrial/marine plans, and best practices), efforts will also be made to collect the discrete packages of information that are scattered throughout the country.

70. Output 3.2 will support the following activities:

- Development of a **simplified, standardized and dedicated information management system** (including website and social media platforms) for BRs, including standards for information collection and sharing; and
- **BR Information Management System** operationalized in each BR, including data collection, input, on-line website and dissemination;
- Setting up information collection standards that are: gender and socially inclusive; facilitate standardized inputting and recording of information; and provide for digital access and sharing, including compatibility with existing databases as feasible.
- Technical reports and publications documented and disseminated via mass media;
- A cross-agency and cross-sector effort to collect and digitally catalog existing information on BR landscape/seascape planning, biodiversity and natural resources management best practices, resulting in a highly accessible, usable, and catalogued bibliography of available resources in support of replication and upscaling.
- A BCA based Implementer's Manual and Lessons Learned guide (with contributions from project partners) that captures the process of project implementation; and
- Inclusion of public engagement pages on the national government, BCA, and other Provincial websites and social media platforms that link to information about the project and its products, including development of a specific public information sharing platform.

Output 3.3: Knowledge Management contributes to policy revision and upscaling of integrated BR approaches

71. Promotion of BR conservation management practices, as well as innovative approaches to conservation, sustainable terrestrial and marine resource use management, and sustainable livelihoods will be facilitated through a set of recommendations that can guide and influence future national and provincial level policies and regulations. Consultations with stakeholders from government, research organizations and others would be conducted to assess needs and gaps in policy outreach and advocacy.

72. Key activities under this Output will include:

- **Documentation and dissemination** of case studies, best practices and lessons learned from the project;
- Development of **policy guidance notes** that addresses current constraints and gaps in existing policies and legislation;
- **National and provincial workshops** to facilitate dissemination of field lessons and help inform legal and policy reform relevant to BR conservation practice. The initial documentation of these lessons will be included as

part of the participatory monitoring process, that would be complemented by additional national technical support to distil and document lessons and experiences. The project will support a workshop at the provincial level (Year 4) to share lessons and experiences and a national workshop at the end of Year 5 (included in Output 1.4) to facilitate the sharing of lessons more widely, but importantly to be able to further develop and refine successful approaches for replication nationally;

- Efforts would be made to **institutionalize some of the best practices** through promotion of sectoral and/or national regulatory instruments in order to secure sector/nation-wide replication and up-scaling (covered under Output 1.4). In order to expand access to finance for replication and up-scaling the project will collaborate with the private and public sector financial institutions to support local associations, landowners and other land users; and
- Capacity building and technical support for dissemination and upscaling of project best practices to facilitate integrated BR management approaches in other BRs within Vietnam (Output 1.4)

ii Partnerships

73. The proposed project will coordinate with several projects in order to generate positive results through combined action (where appropriate) and to share lessons learned and best practices. One of these projects is the GEF-UNDP project on "Conservation of Critical Wetland Protected Areas and Linked Landscapes" (2014 - 2017), being implemented by MONRE, which includes outputs (under Outcome 2) to (i) increase understanding and knowledge about wetlands values, sustainable use and management across the wider landscape; (ii) mainstream wetlands conservation and sustainable use into key provincial plans; and (ii) reduce threats to biodiversity from local livelihoods. The proposed BR project and this wetland project can share lessons learned on how to mainstream conservation and sustainable use of natural resources into key provincial plans, such as provincial development plans, and on how to improve local livelihoods to reduce threats to biodiversity. The GEF is also funding the project "Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing in Viet Nam" (2015-2019). This project has selected Lao Cai as its only site for piloting a model on access and benefit sharing of genetic resources that will contribute to strengthening biodiversity conservation capacity and improve likelihood of local community through enhancing access and sharing benefit from accessing genetic resources. The project also will benefit from sharing information and lessons learned with several projects identified in the project baseline, including the JICA Sustainable Natural Resource Management project (to share experiences and lessons learnt from implementing pilot activities at BRs as well as developing policies on natural resources management), and the GIZ ecosystem based adaptation project (to share lessons on land management and planning for Biosphere Reserves), as well as on-going PES programs.

74. As part of its strategy to coordinate with other programs and projects, the proposed project will seek information on the outputs and lessons learned of the GEF-UNDP project on "Conservation of Critical Wetland Protected Areas and Linked Landscapes" on issues related to wetlands conservation; mainstreaming conservation and sustainable use of natural resources into key provincial plans; and improving local livelihoods to reduce threats to biodiversity. The project also will benefit from sharing information and lessons learned with the JICA Sustainable Natural Resource Management project (to share experiences and lessons learnt from implementing pilot activities at BRs as well as developing policies on natural resources management), and the GIZ ecosystem based adaptation project (to share lessons on land management and planning for Biosphere Reserves).

iii. Stakeholder engagement

75. The project included a wide range of consultations during the PPG stage. Initial stakeholder analysis during the PIF stage was followed up with consultation during the PPG stage in terms of the design of the project. During the PPG stage, the stakeholder analysis was updated and elaborated following consultations undertaken by international and national consultants at the Biosphere sites and with the provincial governments addressing both institutional stakeholders in the context of their statutory involvement in the project, and more broadly for non-governmental stakeholders including natural resource dependent communities. Provincial stakeholder workshops

were conducted to obtain the perspective of the different stakeholders during the period April through July 2017. A series of validation workshops were conducted in Hanoi in June, July and August 2017 to discuss the project design and reach general consensus on project outcomes, outputs, activities and institutional arrangements for the project. The list of stakeholders consulted has been downloaded in PIMS.

76. The purpose of Stakeholder Involvement Plan (SIP) for the project is the long-term sustainability of the project achievements, based on transparency and the effective participation of the key stakeholders. The objectives include the following: (a) to identify the main stakeholders of the project and their basic roles and responsibilities in relation to the project; and (b) to take advantage of the experience and skills of the main stakeholders and safeguard their active participation in different activities of the project to reduce obstacles in its implementation and sustainability after completion of the project. The approach is based on the principles of fairness and transparency in selection of stakeholders, ensuring consultation, engagement and empowerment of relevant stakeholders comprehensively for better coordination between them from planning to monitoring and assessment of project interventions; access of information and results to relevant persons; accountability of stakeholders; implementing grievances redress mechanism and ensuring sustainability of project interventions after its completion.

77. Stakeholder involvement is guided by the objective of the enhancement of the planning and management of BRs in Viet Nam to secure conservation of globally and national important biodiversity within BRs by mainstreaming biodiversity and sustainable natural resources use in socio-economic development in BR planning and management. MONRE will be instrumental in establishing collaborative links with national and provincial entities, CSOs and local communities. Provincial governments (in particular PPCs) will coordinate with provincial and local level stakeholders, may solicit the services of NGOs/Civil Society Organizations (CSOs) to implement project activities.

Identification of Potential Stakeholders

78. The SIP was prepared through the identification of the stakeholders that would be involved as partners in the project. Stakeholders at national, province, district and local levels including relevant national agencies, provincial agencies, CSOs and local communities and others would be partners in project implementation.

Role and responsibilities of key stakeholders and their Involvement Mechanisms and Strategies

79. Mechanisms and strategies for stakeholder involvement will ensure that the relevant shareholders receive and share information and provide their inputs in the planning, design, implementation, monitoring and evaluation of project initiatives and play a role in sustaining the initiatives during and after the closure of the project. Roles and responsibilities of main stakeholders of the project are summarized in Table 4 below. Early in project implementation, MONRE (national level) and BR MBs (at BR level) will develop a more detailed Stakeholder Engagement plan that would detailed to ensure (i) specific ways to involve stakeholders in project planning, implementation and monitoring; (ii) engagement of stakeholders in social and environmental screening and risk monitoring; (iii) ensuring free, fair and transparent methods of information sharing and accessibility; (iv) implementation of gender mainstreaming strategy and action plan; (v) measures to empower stakeholders and potential project beneficiaries; and (vi) information disclosure.

Table 4: Stakeholder Involvement Plan

Key Stakeholder	Role and responsibilities / mandate	Proposed role in the project and involvement mechanism
Ministry of Natural Resources and Environment (MONRE) and its	The wide-ranging state management functions of MONRE include the management of air, land and water resources under the amended Law of Environmental Protection (2005), as well as biodiversity under Viet Nam's Law of Biodiversity (2008). MONRE's mandate also includes coordination with ministries, ministerial committees and	MONRE is the designated National Executing Agency (NEA) for the project. MONRE will assume all duties assigned to the NEA, will chair the Project Steering Committee, and assume a leading role in engaging national and local level stakeholders in implementing project activities. MONRE will lead Annual Review meetings on project planning and

constituent authorities	government agencies in providing guidance for implementation of resource use, environmental protection and biodiversity conservation in the sector areas managed by these ministries and agencies. Under Decree No. 65, MONRE has been given responsibility for working with PPCs to establish national-level PAs in wetlands, limestone mountains, and mixed ecosystems that occupy at least two provinces and that are not already within a Special Use Forests (SUFs) or in the sea, and to manage such PAs. According to Decree 36/2017/ND-CP, MONRE is assigned responsibility for the state management of BRs, including coordination and provision of guidance. The Vietnam Environment Administration (VEA) is a subsidiary body under MONRE responsible to advise and assist the Minister of MONRE in the field of environmental management laws and policies and overseeing their implementation. Regarding biodiversity, VEA is responsible for implementing nationwide survey, inventory, monitoring, and assessment of biodiversity; assessing trans-provincial or transboundary degraded ecosystems and proposing measures to conserve, rehabilitate and maintain sustainable use of biological resources. Under VEA, the Biodiversity Conservation Agency (BCA) has the mandate for state management of biodiversity, in accordance with biodiversity conservation provisions of the Biodiversity Law in cooperation with other ministries. Institutionally BCA is the agency authorized for the preparation of NBSAP, biodiversity master planning, and national reporting on biodiversity. MONRE is, among others, the national focal point for various multilateral environmental agreements, including the Convention on Biological Diversity (CBD), the UNFCCC, the Ramsar Convention, and the UNCCD.	reporting, and will appraise and approve all project related documents, including Annual Work Plans and Quarterly Work Plans. VEA will assume the responsibility for overall project implementation as Project Owner under delegated responsibility by MONRE. VEA is also responsible for coordinating relevant stakeholders within VEA in support of the overall implementation of the project. VEA has past experience of managing UN Projects, including GEF funded-projects. VEA will participate in Annual Review meetings, planning and reporting. BCA will be responsible for day-to-day coordination and management of project activities at the national level and coordination of project activities at the provincial level, financial management and reporting.
National Assembly (NA)	The NA is the highest representative organ of the people, the highest organ of State power of the Socialist Republic of Viet Nam and the only organ with constitutional and legislative powers. The NA meets twice a year and issues laws.	The NA will be a beneficiary of the project, outputs and results of which will inform legislative revisions in relation to BRs.
Ministry of Foreign Affairs (MOFA)	MOFA is the state-appointed juridical organization responsible for the Vietnam National Commission for UNESCO, responsible for coordinating Vietnam's work under the United Nations Educational, Scientific and Cultural Organization (UNESCO)[14]. The Vietnam UNESCO National Commission includes five standing sub-commission, including: education, natural science, social science, culture, and communication. The Vietnam National Commission for UNESCO has a consultative function, supporting the Prime Minister in instructing and collaborating operations of ministries, ministerial-level agencies, government agencies, PPCs,	The Vietnam National Commission for UNESCO will be a recipient of the project outputs and outcomes, in support of its advisory role to the Prime Minister.

[14] Decision No. 251/1977/TTg dated 15 June 1977 by Prime Minister on establishment of Vietnam UNESCO MAB committee

	central cities in the context of cooperation with UNESCO.	
Ministry of Agriculture and Rural Development (MARD)	MARD has the responsibility for exercising the State management over forest protection and development as well as fisheries management nationwide, through its Forest Protection Department (PFD) and its Department for Capture Fisheries and Resource Protection (DCFRP). Prior to the 2008 Biodiversity Law, MARD has been responsible for developing the national PA system within forests (Special Use Forests – SUFs), marine and inland water ecosystems (Marine Protected Areas and Inland Water Conservation Areas, respectively). Additionally, MARD is responsible for enforcing wildlife protection regulations, as such playing an important role in preventing overexploitation of a range of species. MARD continues to be responsible for national-level PAs that are within terrestrial SUFs and for marine PAs lying within at least 2 provinces. MARD manages the Cat Tien National Park within the Dong Nai BR and the Cu Lao Cham MPA in the CLC-HA BR.	MARD will collaborate in project activities to identify gaps, priority issues and solutions for sustainable forest management and biodiversity conservation within the core zones of the BRs, including strengthening PA management, identification of HCV set-aside forest and marine conservation areas, forest restoration in pilot BRs, etc.
Ministry of Culture, Sport and Tourism (MOCST)	MOCST is responsible for the State administration and management of public services on culture, family, sports and tourism nationwide. MOCST leads national efforts for the planning and development of tourism nationwide.	MOCST will collaborate with the project to identify gaps and priorities in promoting bio-friendly tourism in BRs through development policy and legislation and models, as well as advisory on certification of tourism products and services.
Ministry of Science and Technology (MOST)	MOST has a representative in the MAB Committee, appointed as deputy chairperson. MOST is government agency responsible for funding management allocated from state budgets for science and technology, the "Science and Technology Fund". MOST is a sponsor for BRs, having allocated around resources to 9 BRs. MOST serves also as technical support agency to the BR network in Vietnam.	MOST will serve as partner to the project, providing consultations, information and experiences to strengthen BR management in the project's pilot BRs. MOST will also provide support in upscaling, dissemination and application of best practices and lessons learned in other BRs, as well as in developing proposals for expanding the BR network
Ministry of Planning and Investment (MPI)	MPI performs State management functions in the field of planning and investment, including the provision of general advices on strategies and plans on national socio- economic development, on mechanism and policies for general economic management and some specific fields, on domestic and foreign investment, etc.	MPI will be a beneficiary of the project results, specifically capacity building, training and policy advice on how to integrate land and natural resources use considerations into national and provincial planning procedures, strategies, and plans.
Viet Nam UNESCO National Man and Biosphere (MAB) Committee	The MAB Committee is part of the natural science standing sub-commission under the UNESCO National Commission. The MAB National Committee is a consultative body providing advice and recommendations to the Government on important issues concerning nature conservation and sustainable use in the Vietnam's BRs on methods and experiences relating to BR management, facilitating national and international exchange amongst BRs, as well as cooperation in scientific research, monitoring, environmental education and training. Institutionally, the MAB National Committee is not embedded in any line-ministry; administratively the MAB National Committee is located at Hanoi University of Education. The MAB National Committee includes members from Hanoi National University of Education (chair), MONRE	Under a redesigned institutional arrangement, the MAB National Committee will provide consultation and information to support project implementation design. The MAB Committee is envisioned to be one of the beneficiaries of the project, targeted for strengthening their coordinating role in management of Viet Nam's BR network through improved legal status, secretariat and relevant policies and guidelines developed.

	and MOST (both vice chairs) and representatives of nine Biosphere Reserves. MAB National Committee reports directly to the Vietnam Commission for UNESCO (NatCom) established under the Viet Nam Ministry of Foreign Affairs. The MAB National Committee is assisted by a 3-member secretariat board and a 5-member advisory/specialist board with scientists and specialists from national and international research institutes and civil society. Although the MAB National Committee has proposed its regulations[15], describing the functions and operations for MAB National Committee, its secretariat board and advisory/specialist board, these have no legal status.	
Provincial People's Committees (PPCs) in pilot BRs	PPCs are headed by a Chairman and supported by Vice-Chairmen for each major sector including a Vice Chairman for Natural Resources & Environment. Under Viet Nam's decentralization policies, PPCs play a major role in provincial development and sector planning and implementation, including on environmental management and biodiversity conservation. PPCs also have an important role in ensuring that biodiversity is integrated into sectoral plans and programs at the local level. Specifically they are responsible for coordinating the biodiversity conservation activities of various line departments at the provincial (and city) level. PPCs currently have management responsibility for those PAs – SUFs, Integrated Water Management and MPAs - that lie entirely within their provincial territory.	The PPCs in pilot BRs and their subsidiary agencies at the provincial level will participate in project implementation, providing information, support and co-financial contributions. The PPCs will coordinate and oversee implementation, management and monitoring of project activities in the respective pilot BR, including: (i) review work plans and approve budgets of the respective pilot BR; and (ii) preside over inter-agency coordination meetings including district authorities as well as sectoral stakeholders.
District and Commune People's Committees (DPCs/CPCs)	District and Commune PCs play a key role in supporting local socio-economic development. Being the closest state organization to local communities, they play an important role in overseeing and supporting development activities in their districts and communes. Thus, DPCs and CPCs have a key role to play in terms of ensuring environmental sustainability and avoiding overexploitation, particularly in relation to activities such as agriculture (including rice and other forms of agricultural production), fishing, aquaculture, as well as industrial development and tourism activities.	DPCs and CPCs will be key project partners at the pilot BR site level, particularly in relation to implementing activities targeting at reducing threats to biodiversity arising from current economic development and livelihood practices. CPCs particularly will participate in the commune conservation planning process and implementation of activities targeted at improving conservation outcomes as well as improved livelihood in selected communes and households.
Provincial specialized departments	At the provincial and district levels, national line ministries usually have specialized departments that mirror their parent ministries in administrative structure and function. These departments receive technical instructions from their national line ministries, but are accountable to the PPCs. Department of Natural Resources and Environment (DONRE) is the provincial representative of MONRE and the thus responsible for managing natural resources and environment at the provincial level. Responsibilities also include land administration, pollution monitoring. DONRE plays an increasing role	DONRE is the primary technical government partner of this project at the pilot BR level, with key partner support being provided by DARD. Both DONRE and DARD will participate in the BR MB, and as such in development of an integrated vision, mapping of natural resources and detailed planning of project activities, including HCV set-aside areas, forest restoration areas, EIA, guiding sustainable livelihood activities, including tourism. DPI will be beneficiary of project results, specifically related to integrated vision on land and natural resources use, sectoral responsibilities to

[15] It is still in draft shared by Vietnam MAB via BCA

	in supporting biodiversity management and as such in assisting PPCs in managing BRs. Department of Agriculture and Rural Development (DARD) is the provincial representative of MARD, assigned responsibilities for agriculture, fisheries and aquaculture. DARD also has considerable experience of managing PAs, MPAs and IWM across Vietnam. Department of Planning (DPI) is the provincial representative of MPI, assigned for executing the mandate of MPI, which includes socio-economic planning. Department of Culture, Sport and Tourism (DCST) is the provincial representative of MOCST, assigned to implement its mandate at the province level, including on provincial level tourism development.	mainstream biodiversity into strategies and planning in line with the BR concept. DCST will support tourism related initiatives, including certification, private-partnerships, and models for sustainable tourism practices.
Biosphere Reserve Management Boards (BR MB)	At the site level, each BR has a MB, chaired by the vice chairperson of the relevant PPC. The BR MB includes representatives of various provincial departments, local authorities, conservation agencies, civil society, the business sector, and local communities. The BR MB now operates under direct management and control of PPC, and under instruction and supervision of UNESCO-Vietnam and the MAB National Committee, with relevant ministries and ministerial-level agencies and provincial departments providing technical support. The BR MB is responsible for biodiversity conservation; support to biodiversity research and monitoring, and education; improve livelihood and awareness raising of communities with the BR.	The BR MBs of 3 pilot sites will serve as co-implementation partners (CIP) for project activities under component 2, and establish the project implementation unit to support the BR MB in implementing the project at the local level. The BR MBs will be responsible for providing information and identifying priority issues at each site, for ensuring stakeholder coordination and involvement, and for planning and implementation of day to day activities in their respective BRs (including in core zones, buffer zones and transition zones), including the preparation of annual work plans, managing and reporting on grant proceeds, ensuring timely completion of activities and overall reporting to PPC, BCA/MONRE and UNDP on implementation issues and their resolution.
PA Management Boards (PA MBs)	PA MBs are designated authorities responsible for the management of the existing formally established protected areas within the 3 targeted Biosphere Reserves, including Special-Use Forests under forest protection and development regulations, Marine protected areas under fisheries regulations, and nature reserves under provincial regulations.	Within the 3 pilot BRs, PA MBs will be directly involved with the planning, implementation and monitoring of project activities in their respective PAs, through providing information, identifying priority issues at each site, and participating in priority interventions on strengthening conservation of biodiversity in BR core zones, including through targeted livelihood activities as relevant. PA MBs will also support strengthening conservation activities in identified HCV landscapes in BR buffer zones.
Local communities and community-based organizations (CBOs), e.g. Farmers Unions, Fisheries Associations, Women's Unions, Youth Unions	Local communities are custodians, primary users and managers of the landscape resources and key target groups for all components of the project. They are engaged in fisheries and eco-tourism activities, NTFP collection, agricultural and pastoral activities, etc. within the BRs.	Local communities, including CBOs, will participate in the implementation of project activities and be direct beneficiaries of project investments in the conservation of biodiversity and ecosystem functioning and in sustainable land, forest and fisheries management in BRs. Appropriate land and natural resources regulations in different zones of the BR will be formulated with their full participation and agreement, to ensure both continuation of income from traditional or suitable alternative livelihood activities in combination with strengthened consideration for biodiversity conservation. Specifically they will engage in (i) preparation of commune conservation plans,

		including mapping of commune resources, identifying threats and responses to threats, identifying conservation and livelihood activities, (ii) the implementation of commune conservation plans, including though relevant community groups and micro-revolving funds, (iii) training programs aimed at improving resource use and livelihood development, etc.
Ethnic minority groups	Ethnic minorities include indigenous groups living for many generations in BRs, each having a different history, traditions, and diverse material lives. Mainly they rely on natural resources, especially forests, for their livelihoods, and as such are one group linked to the degradation of natural resources and biodiversity. In many areas, poverty rates are significant.	Ethnic minorities will directly participate in BR decision making processes, development of commune conservation plans, implementation of livelihood and in benefit sharing. Specific investment for households of ethnic minorities will be instituted through the CCP process to ensure strengthening their current livelihood and sustainable resources use practices.
Government and academic research institutions	A number of universities/institutes at national and provincial level have strong environment research units with knowledge and experience relevant to this project. The Vietnam Academy of Natural Science & Technology (VAST), conducting multi-disciplinary studies in socio-economic development, ecology and environmental management, policy analysis, culture. Two VAST Institutes are of particular relevance to this project, namely the Institutes of Ecology and Biological Resources (IEBR) and Marine Environment and Resources (IMER). The Research Institute for Forest Ecology and Environment (RIFEE) is a research institution under MARD's Vietnam Academy of Forest Science (VAFS), including focusing on sustainable uses of forests and forest land as well as monitoring and assessment of forest biodiversity.	Appropriate partner organizations will be identified during project implementation, as relevant and in line with their thematic focus and experience. Research institutions will be involved in consultancy activities, including on legal-regulatory framework, field studies on mapping and inventory, biodiversity monitoring for the benefit of formulating informed recommendations to the project and its national and local government partners.
Mass media organizations, including national and provincial television and radio networks, private communicati on agencies, printed media, and online media.	Mass media has the responsibility for the dissemination of information and awareness on state policies, strategies and plans to the general public at the national and regional level through mainstream channels of television, radio and print.	Partnerships with key media organizations will support dissemination of information at global, regional and national levels, including on project workshops and seminars, training and capacity building events as well as results and best practices from targeted activities at the national level and in the 3 pilot BRs. Approaches will include direct communication, press meetings and press releases, field visits, etc.
Development Partners	A number of development partners, including USAID, Winrock, ECODIT, GIZ, JICA, UNESCO, SNV and others, have on-going projects either in the BRs or covering themes of interest to the project and its BR management focus.	Relevant DPs will be engaged as partners to facilitate coordination and collaboration at national and BR landscape levels, to ensure convergence of ongoing programs. The Project Management Board (PMB) and UNDP will maintain close relations with all relevant development partners (DPs), as appropriate, provide them with observer status participants during Project Steering Committee (PSC) meetings.

Local, national and international NGOs	NGOs play an important role in a variety of sectors like biodiversity conservation; sustainable natural resources use, minimizing impacts from development, pollution abatement, improving rural livelihoods, as well as otherwise addressing the needs of local communities, including on themes like policy and legislation, research, education and awareness raising. Relevant local, national and international NGO active in the project-relevant fields of protected area management, sustainable livelihood support with links to the project's thematic and/or spatial focus include IUCN, Birdlife International, WWF, Fauna and Flora International (FFI) and Centre for Marinelife Conservation and Community Development (MCD).	Appropriate partner organizations will be identified during project implementation. The project will build on and collaborate with relevant initiatives conducted by local and international NGOs in relevant conservation, monitoring, livelihood development, community-based natural resources management, benefit sharing and other related activities.
Private Sector	The project will engage private sector as much as possible. The investors will involve in the development and implementation of integrated land use plan for the target districts. They will also involve in the development of village development fund and identification and testing of sustainable financing mechanism that will be identified in the component 3 of the project.	The private sector will collaborate in implementation of and support to responsible tourism initiatives, specifically certification and models for sustainable tourism products and services.

80. The following initiatives would be taken to ensure participation of stakeholders in project activities:

Project inception workshop

81. Project stakeholders would participate in the multi-stakeholder inception workshop within three months of the start of the project. The purpose of this workshop would be to create awareness amongst stakeholder of the objectives of the project and to define their individual roles and responsibilities in project planning, implementation and monitoring. The stakeholders would be acquainted with the most updated information (objectives, components, activities, roles and responsibilities of stakeholders, financial information, timing of activities and expected outcomes) and the project work plan. The workshop will be the first step in the process to build partnership with the range of project stakeholders and ensure that they have ownership of the project. It will also establish a basis for further consultation as the project's implementation commences. The inception workshop will address a number of key issues including: assisting all partners to fully understand and take ownership of the project; detail the roles, support services and complementary responsibilities of the government agencies like the MONRE, MARD, MoCST, MAB Committee, Provincial People's Committees, BR and PA Management Boards, other provincial governments and local governing bodies, UNDP, CSOs, local communities/community groups –tourism industry, youth, women and children, NGOs in terms of implementation of sustainable natural resources management, biodiversity conservation, sustainable livelihoods and ecotourism planning and management; and discussion of the roles, functions, and responsibilities within the project structure, including reporting and communication lines, monitoring and conflict resolution mechanisms.

Stakeholder Participation and Communication Strategy

82. A Communication strategy and action plan will be developed for the project to facilitate awareness, review and informing of policy, stakeholder participation and documentation of best practices related to the project. The project will develop and implement and maintain a communications and knowledge management plan (based on knowledge management and communication strategy defined in Annex 8) to ensure that all stakeholders are informed on an ongoing basis about: the project's objectives; the projects activities; overall project progress; and the opportunities for involvement in various aspects of the project's implementation. This strategy will ensure the use of communication techniques and approaches that appropriate to the local contexts such as appropriate languages and other skills that enhance communication effectiveness. The project will develop and maintain a web-based platform for sharing and disseminating information on biodiversity conservation, sustainable natural resources management, diversified livelihoods and ecotourism.

Quarterly Meetings with key stakeholders

83. On quarterly basis, BR Management Boards will organize individual meetings with the main stakeholders including groups of local communities (CBOs, interest groups, BR and PA level organizations etc.) with the aim of discussing achievements, challenges faced, corrective steps taken and future corrective actions needed for the implementation of planned activities. It would be ensured that the groups of local communities have the participation of women among the local communities. Result based management and reporting would consider inputs taken from stakeholders during such meetings.

Sharing Progress reports and work-plans

84. Copies of the annual and quarterly progress reports and work plans would be circulated to main stakeholders to inform them about project implementation and planning and outcomes.

Participatory approach for involving local communities

85. A participatory approach will be adopted to facilitate the involvement and participation of local communities, either as a group or through their CBOs, including both men and women in the planning and implementation of the project activities. The members of CBOs residents (particularly natural resource dependents) would be trained in the participatory approach. To ensure participation of local communities, the project would develop terms of partnership in consultation with the MONRE and sign the same with the local CBOs and other groups of local communities before implementation of main activities of the project.

Agreements with Private Organizations

86. Contractual agreements will be made with any private tourism companies who are ready to support and contribute to the project initiatives, in particular relating the conservation-related tourism aspects.

Stakeholder consultation and participation in project implementation

87. An extensive stakeholder consultation and participation process will be developed and implemented for the project.

iv. Mainstreaming Gender:

88. This project recognizes that women play a critical role in managing natural resources in Vietnam. For example, at the Western Nghe An and Dong Nai BRs, most of the work related to agricultural production and medicinal plant collection and cultivation is done by ethnic minority women, while in the Cu Lao Chao BR, women play a critical role in tourism, fisheries and other livelihood activities. Women maintain family gardens and storing of vegetables, and are involved with making handicrafts, that is source of income for women, particularly during the rainy and winter months when they are less involved in agriculture, tourism or medicinal plant collection. Overall, women have a great deal of indigenous knowledge that should be utilized towards conservation. Men and women have different roles within the family, village and larger socio-political arena. Women are primary caregivers for children and the elderly and have a greater burden for maintaining the health of the family unit. For this reason, project activities focused on tourism and sustainable land and forest management will provide new opportunities for employment and income stability for the local community, and women and indigenous people in particular, and will contribute to improving the quality of life of the local communities. In the implementation of activities at the project pilot sites, specific attention will be focused on ensuring the active participation of women, particularly in developing sustainable livelihoods and ecotourism. During project implementation, capacity building and training will be specifically focused on ensuring that women, and in particular those belonging to ethnic minorities are actively engaged in all aspects of the pilot activities, and efforts will be made to consult and engage local women's organizations to improve sources of income for women and enhance their engagement in these pilot programs. The project will ensure that the principles of prior and informed participation and consent are obtained from indigenous communities to ensure that traditional rights and community access and tenure related to natural resources are not violated, and that local communities will receive a fair and equitable distribution of revenues from natural resource development ventures.

89. This context has been taken into consideration in the design of this project (refer Annex 7) and will be mainstreamed into its implementation in the following ways (Table 5):

Table 5: Gender Mainstreaming Action plan

Gender Mainstreaming Objective	Gender Mainstreaming Activity	Gender mainstreaming Target
To strengthen women's capacities in policy/decision making, management, planning and implementation of BR related policies at central level.	Support capacity building for national parliaments in BR related legislation making. Support building capacity for central level BR related managers and officials on BR establishment and management.	At least 30% of the participants are those female parliaments, governmental and sectoral managers of relevant stakeholders received capacity building and awareness raising on BR establishment and management
To strengthen institutional capacity at all level on gender equality and women's participation in BR management, livelihood, and sustainable use of natural resources.	Support gender studies and awareness raising for relevant institutions at both central and local level on gender equality and roles of women in biodiversity conservation, community-based management, sustainable use of natural resources, and livelihood in the BRs.	Specific gender related issues and capacity gaps are identified and taken up as a part of the planning process in related institutions at central level and in three pilot sites
To enhance capacity, skills and competence of women in technical aspects related to BR management, BD conservation and livelihood promotion	Technical training programs and other skills development activities for relevant target groups of women including managers at central and local level, Women's Union at community levels, and team leaders of co-management team (if any) on BR management, livelihood, and biodiversity conservation.	At least 50% of technical and front-line staff and women leaders of grassroots Women's Union are trained
To promote women's participation in BR co-management and sustainable use of natural resources within three BRs	Support Cu Lao Cham, Dong Nai, and Western Nghe An BRs to build capacities for community women and communal Women's Union in BR Co-management and sustainable use of natural resources. Support Women's Union of all communes in these three sites to advocate for greater involvement of community women in planning, establishment, and management of BRs and natural resources.	At least 50% of community women and Women's Union staff are trained on co-management and sustainable use of natural resources.
To promote women's roles in livelihood activities within three pilot sites	Provide technical training for community women on organic farming, sustainable tourism, medicinal plantation, non-timber product collection, handicraft production. Support communal Women's Union to promote women's participation in all livelihood activities in three sites	At least 70% of Women's Union staff members and community women received technical training on these issues and received further support to carry out their livelihood activities.
To monitor and evaluate women's participation and their empowerment through the project interventions	Incorporating gender-sensitive indicators and collection of sex-disaggregated data for monitoring and evaluating project results	Gender disaggregated data included in Results Framework and other monitoring and evaluation formats at various levels
To enhance roles of women in implementation of the project	Engaging local women community workers for social mobilization to encourage greater participation of women from local communities Ensure women are involved in the project activity planning, implementation, monitoring and evaluation.	At least 50% of the participants of the project management, implementation, monitoring, and evaluation women.
To ensure high participation of women in project activities	To encourage women's role in the project communication strategy development and	At least 50% of the communication methods used in the project will be

through innovative communication strategy and methods	implementation in order to ensure information and knowledge of the strategy can reach relevant groups of community women as well as to Keep gender focus in awareness and communication campaigns	focused towards women
Improve women's role in decision-making	Promote adequate representation and active participation of women decision-making bodies.	At least 30% women representation in project specific committees at the central and local levels and grassroots level

90. At the same time, efforts will be taken to ensure women do not suffer adverse effects during the development process. In the development of management plans, in particular for "set-asides", forest restoration and community conservation plans that special consideration will be taken by stakeholders to ensure the needs and roles of women are fully considered and accounted for. For example, these plans should consider the different ways in which men and women utilize natural resources within model landscapes to ensure that planned activities will not have disproportionate impact on women's social and economic needs.

v. South-South and Triangular Cooperation (SSTrC):

91. The MAB Program provides an unique platform for cooperation on research and development, capacity building and networking to share information, knowledge and experiences on a number of issues that is relevant to the Vietnam project. In particular, the project will share its experiences and learn from experiences from Asian, Pacific and other developing countries on (i) monitoring and evaluation approaches to measure on management effectiveness and improve information availability; (ii) approaches that align BR goals and local legislation, that is a key aspect of the project; (ii) guidelines and procedures for effective multi-stakeholder and multi-sector integration; (iv) integration of climate change into BR planning and management; (v) using sustainable management of BR resources as a means to ensure poverty alleviation and sustain rural economic development; and (vi) approaches at certification and branding of tourism, forest and fisheries resource use.

92. Additionally, the Biosphere Smart Initiative that promotes the transition to green societies and sustainable futures by facilitating networking and information sharing of smart knowledge gained in UNESCO Biosphere Reserves could serve as a good vehicle for the use of new information and communication technologies. The Biosphere Smart Initiative includes a global observatory and information facility, the *Biosphere Smart Information Platform* created to facilitate sharing of ideas, best practices, and experiences among UNESCO designated Biosphere Reserves on challenges and smart solutions related to climate change, green economies, and sustainable development at large. Through this network, the project can: (i) share ideas and best practices on issues related to sustainable development and climate change; (ii) share experience and lessons in using biosphere reserves as green economy models; (iii) provide an educational tool with mapping and advanced communication services; (iv) empower sustainable communities to improve their access to information and decision-making capacity; (v) improve information and response capacity for public and private decision makers and the scientific community in biosphere reserves; (vi) share and facilitate access to the knowledge and expertise of the scientific community; and (vii) strengthen partnerships within the World Network of Biosphere Reserves (WNBR). The Biosphere Smart Information Platform can also serve as a useful means provide biosphere reserves with their own dedicated information platforms. The UNESCO facebook page[16] also allows, BRs to share information and best practices.

V. FEASIBILITY

[16] https://www.facebook.com/unesco/photos/pb.51626468389.2207520000.1467131105./10154306228603390/?type=3

i. Cost efficiency and effectiveness*:*

93. The project has been designed to reflect the most cost-effective approach. A number of strategies were evaluated during the project formulation stage to identify those strategies and activities that demonstrate this cost-effective approach. The cost-effective approaches that have been applied to the project are the following:

94. *Defining a holistic approach to project formulation:* The project adopts a integrated landscape approach that connects landscape and seascapes and their various interactions to maximize opportunities for synergies, such that selected actions and interventions generate multiple benefits. This is accomplished through development and implementation of well-designed conservation actions ('set-asides' and forest restoration) and community resource management and livelihood measures in agriculture, fisheries, non-timber forest products and tourism that incorporate mainstreamed biodiversity policies and best practices in terms of carbon sequestration, improved food security and more resilience to climate events, whilst improving livelihood benefits, biodiversity conservation and ecosystem services.

95. *Sequencing of activities:* Project design and sequencing of project activities ensures that foundational activities are completed first, such as (i) establishing functional governance and coordinating mechanisms at the national and provincial levels; (ii) legislative and regulatory changes clarifying responsibilities of BR planning, management and oversight; legislative and regulatory changes to facilitate to mainstreaming biodiversity into sector and environmental planning; and (iii) capacity improvements are developed to provide the necessary groundwork for later demonstration of best practices in a limited number of BR sites under Outcomes 2. The project includes subsequent documentation, dissemination of best practices for scaling up under Outcome 3 and feedback mechanisms to influence further policy and legislative changes, as appropriate.

96. *Models to demonstrate benefits:* Project design ensures selectivity in the identification and development of on-the-ground demonstration models (Outcome 2) focusing mainly on trialing of forest and land restoration, sustainable natural resources management and livelihood best practices, trialing of ecotourism best practices, etc. so as to ensure cost-effectiveness in terms of avoiding duplication and ineffective spread of activities. It would also support demonstrate of commune/village revolving funds as a mechanism to ensure community participation and financing of investments, improve financial sustainability and long-term financial commitments for village livelihood activities, rather than have to depend on government hand-outs, thus empowering communities in the management of their own enterprises.

97. *Building on existing lessons and best practices:* As a measure to ensure cost-effectivity, project design focuses on use of available resource to the extent possible building on the existing PA management planning foundation. Rather than invest in extensive Integrated Natural Resources Management Plans that cannot be implemented without high levels of zoning and rural and urban land planning expertise, this project will invest in broader land/seascape plans both for their resulting maps and for the capacity they will build. The process for land/seascape planning advocated here is both effective and cost-efficient. Rather than hire expensive external consultants, local planning teams will make use of available information to develop plans that follow the "No Regrets" principle adopted by national policies. This results in plans that have higher levels of participation and buy-in. While they may be simpler than plans drafted by external experts, they would be more likely to be implemented. It would also build and replicate lessons from REDD+, PES, GEF small grants program.

98. *Data management systems:* The project will focus on the development of standardized but simple information collection and databases at BR level (rather than on costly GIS systems is also a proven and effective way to collect and share data. The Knowledge Management and Communication Strategy in particular makes use of free and widely available forms of communication (particularly online) in the country. The mapping processes in Outcomes 2 will incorporate and make use of the extensive data that has already been collected.

99. *Co-financing Cost-effectiveness:* The total GEF investment of US$ 6,660,000 for this project will leverage a minimum of US$ 36,538,222 in cofinancing, a cost-effective ratio of 1:5.5 with additional associated financing inputs anticipated during project implementation.

ii. Risk Management*:*

100. As per standard UNDP requirements, the National Project Manager (NPM) will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probablity are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Table 6: Key Risks and Mitigation Measures

Description	Type	Impact, Probability and Risk Level	Mitigation Measures	Owner
Risk 1: Policymakers and other key stakeholders do not understand the value of Biosphere Reserves or support their function as a framework for landscape level conservation and sustainable development	Socio-political	P: 2; I: 2	Biosphere Reserves are not well known by all the groups and practitioners, however, the government has demonstrated strong political support for biodiversity conservation as a priority activity within the overall development and conservation of natural resources, as evidenced in numerous policy documents and legislation (including reference to sustainable development of biodiversity in the 2008 Biodiversity Law). The risk would be managed through (i) revising the Biodiversity Law to clarify roles and responsibilities of key sector and stakeholders, including formal legal status for BRs; (ii) defining a framework for participatory landscape planning and management for BRs (Annex 3) and Framework for planning, implementation and monitoring of commune conservation activities (Annex 4) that assigns clear roles and responsibilities for key sector agencies and communities respectively; (iii) through awareness raising to generate political and public support by implementation of Knowledge Management and communication strategy and action plans (Annex 8) and (iv) capacity building of stakeholders to enable them to understand and address landscape intervention approaches.	NPM
Risk 2: Project activities are proposed within and adjacent to critical habitats and/or environmentally sensitive areas, including national parks.	Environment	I = 3, P =2	To avoid negative impacts on critical habitats and environmentally sensitive areas, the project planners will use apply the following measures: (i) Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities (Annex 4); (ii) a screening checklist based on the SESP that will be developed early in project implementation (refer Step 6 under "Project Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities" of Annex 4) to screen all investments to ensure that they comply with sound social and environmental principles and is sustainable; (iii) harvesting of natural forests and	BR MB

			reforestation will entail community agreements on resource use and harvesting limits and use of native species in reforestation to avoid introduction of invasive alien species respectively; and (iv) setting acceptable sustainable limits on harvest of fish and other aquatic species in Cu Lao Cham based on status and health of such populations.	
Risk 3: Lack of capacity in government and communities to meet obligations related to project	Institutional/ Operational	P2, I2	Need assessment of capacity of government and local communities will inform the project on training and capacity building needs. Training activities will be tailored to meet specific requirements of the different stakeholders to ensure that they have the skills to participate in relevant aspects of the project. Communities participating in sustainable natural resource management, forest restoration and livelihood will be provided on-the-ground training, and training programs would be evaluated for their effectiveness and adjusted as appropriate to ensure their effectiveness.	NPD
Risk 4: Creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas.	Social	P2, I3	To manage this risk, the project will (i) apply the Framework for Participatory Landscape Planning and Management (Annex 3) and Participatory Framework for planning, implementation and monitoring of Commune Conservation Activities (Annex 4) to ensure that project activities are detailed in collaboration with BR MBs and local communities, so delineate areas to be set asides in a manner to avoid limitations on existing community resource use rights and access; (ii) the establishment of Non-consumptive use set-asides (refer Annex 5) that will be planned and managed under community governance mechanisms; (iii) development and use of a screening checklist for project investments (refer Step 6 of Annex 4) to screen all investments (including set-asides) to ensure that they comply with sound social and environmental principles and ensure avoidance of restriction in access to the extent feasible; (iv) project planning will ensure that decisions regarding restrictions, if any, on resource use will not be imposed, but will involve through an informed, transparent and consultative community consensus building process (refer Annex 4), and any restrictions, if any will be adequately compensated to match or exceed loss of incomes or livelihoods. An alternative livelihood development plan will be prepared early in project implementation (Year 1) for any households that are likely to be denied access to resources or current livelihood practice and (v) the project grievance redressal system (refer Section IV, Part iii of UNDP Project Document) provides a mechanism to address any specific community concerns.	BR MB
Risk 5: The project could possibly affect land tenure arrangements and/or	Social	P2, I3	This impact would be managed through the following measures: (i) use of the frameworks for Integrated BR management planning and for Commune Conservation Planning (Annexes 3 and 4)	BR MB

community based property rights/customary rights to land, territories and/or resources of marginalized groups and indigenous people			to ensure that that effective consultation takes place prior to defining location and nature of project investments to reduce potential for affecting existing tenure arrangements and loss of indigenous people access, and maintenance of traditional and cultural practices; (ii) preparation and use of a screening checklist based on the SESP for project investments (refer Step 6 of Annex 4) to screen all investments to ensure that they address any potential tenure and indigenous people concerns relating to access, maintenance of traditional and cultural practices; (iii) use of the project grievance redressal system (refer Section IV, Part iii of UNDP Project Document) p to address any specific community tenure concerns; and (iv) preparation of a Indigenous Peoples Plan in early project implementation	
Risk 6: Women may not be fully involved in planning, implementation and monitoring of project interventions and getting benefits from such initiatives, rather land owners and other influential persons at the local level may have more control on local level decision making	Social	P1, I3	To ensure that women are actively engaged and benefit from the project, the following management actions will be taken; (i) the use of the Framework for Commune Conservation Planning (Annex 4) to ensure that effective consultation with all segments of the population, (ii) BR planning and implementation teams (PITs) will be trained on participatory processes and techniques that ensure the participation of vulnerable groups including women, elderly, disabled persons, poorest of the poor, and landless people in the planning process; (iii) PITs will engage women social mobilizers from the villages who would work directly with the women to train and build their capacity for participation in investment activities; (iv) training programs would be conducted to enhance the capacity of women and vulnerable members to take an active part in the planning and decision making process at the state level, (v) the PITs will monitor and ensure that there is adequate representation of women and disadvantaged members in the decision-making and planning process; (vi) the application of the "Gender Analysis and Mainstreaming Action Plan" (Annex 7) ensures that women and marginalized groups would be consulted and involved in the decision making process.; (vii) (c) planning of special community investments based on women's requirements to ensure that they adequately benefit from project investments; and (viii) the use of the monitoring Plan (Annex 12 and RAF) to validate gender disaggregated indicators to access gender dimensions.	BR MB
Risk 7: Natural disasters and climate change may affect the implementation and results of project initiatives	Environmental	P2, I3	The project will work to mitigate the extent of such impacts through (i) the Implementation of participatory planning processes (Annexes 3 and 4) under Components 2 to ensure that activities are environmentally sustainable, support best practices are managed for their climate risks. These activities will encourage diversification of livelihoods, improved management of natural resources,	BR MB

			sustainable fisheries and tourism practices, improved soil and water conservation, water efficiency use and harvesting, etc. to enhance community resilience to climate impacts. (ii) Implementation of Monitoring Plan (Annex 12) to monitor the condition of the natural ecosystems to ensure that activities do not damage these sensitive ecosystems so that it is in a better overall situation to manage climate changes; and (iii) Implementation of Knowledge Management and Communications Strategy (Annex 8) to improve awareness of climate and ensuring measures to improve climate resilience Enhanced PA management and other conservation practices would improve protection and of critical ecosystems services as well as wildlife habitat, that would help increase the overall resilience of the natural systems to climate risks in the areas compared to business as usual.	
Risk 8: Long gestation periods for alternative livelihoods, and restoration of forest and marine resources can undermine community participation	Operational	P2, I2	Commune Conservation Plan activities will entail a menu of options (including activities with short-term gestation periods as buffer until longer-term investments generate sustainable benefits) to help diversify the livelihood and resource base, including linkage with on-going governmental and NGO programs to supplement and complement project activities. The project will also seek to identify additional options (PES, REDD+) as means to improve incentives for local people	BR MB
Risk 9: -Construction of dams on the Dong Nai River	Political	P-1, I-2	In 2013, the government proposed the construction of two dams (Dong Nai 6 and 6A) on the Dong Nai river upstream of the Dong Nai Biosphere Reserve, which could impact ecosystem functioning (particularly of wetlands) within the reserve. However, based on MONRE's recommendation, the Prime Minister's office has suspended any planning for these dams and has directed the Ministry of Industry and Trade to evaluate and consider potential environmental impacts. The project will work with the Government of Viet Nam to assess and value the ecosystem services provided by the Dong Nai BR so that there are properly considered in any future dam development decision-making.	NPD
Risk 10 – Financial sustainability of BRs beyond the duration of the project is not ensured	Financial	P-2, I-2	The prevailing limited capacity on benefits from conserving ecosystem services to the economy and livelihoods, and continued Government primary focus on economic development results in financing means for BRs remaining significantly lower than their needs. During the project, the risk would be managed through (i) supporting the development of legislation for budget financing of BRs; (ii) design, resource allocation and implementation of community revolving funds for investments in livelihoods; (iii) Strategic plan for ecotourism development, including benefit sharing mechanisms and support to investment; (iv) coordinate with relevant financial initiatives (UNDP-BioFin, PES,	NPD

			REDD+) in support of targeted demonstration activities in BRs.	

Green: Low Risk; Yellow: Moderate Risk

iii. Social and environmental safeguards:

101. **The Social and Environmental Screening Procedure (SESP)** was followed during project preparation, as required by the SESP Guidance Note of the UNDP. Accordingly, the social and environmental sustainability of project activities is in compliance with the SESP for the project (see **Annex 10**). The SESP identified moderate social and environmental risks for this project that would have potential negative impacts in the absence of safeguards. To avoid any potential for any likely impacts, the project will ensure **Social and environmental screening of all proposed investments** (Step 6, Annex 4) to determine if there are any impacts. If the impacts are considered significant or cannot be managed by simple and practical mitigation measures that can be implemented within the capacity of the communities, these activities will be avoided. When impacts are easily manageable, the IBRMAs and CCPs would include responsibilities for ensuring oversight for these measures and monitoring of its implementation. The PITs oversee and evaluate the implementation of the CCPs to assess if social and environment screening has been adequate. Implementation of any social and environmental mitigation measures will be monitored by the PITs, BR Management Boards and reported annually, including actions taken. Annually supervision missions will assess the extent to which the risks have been identified and managed. Overall, the project is expected to result in positive impacts for biodiversity conservation and socio-economic benefits through the greater participation of local communities in BR management processes, sustainable use of forest and fisheries and resources and improved natural resources based livelihood activities.

102. Specific efforts will be made while evaluating the condition of resources that will be used in livelihood and value chain programs to ensure that extraction is permissible within sustainable limits. Harvest of non-timber forest products (such as mushrooms, medicinal plants and other products) that are currently practiced will follow ecologically friendly and sustainable practices. The project will ensure defining specific areas and harvest rates on the basis of good practice criteria backed by scientific information and close monitoring.

103. The project does not involve large-scale infrastructure development. The project will not support employment or livelihoods interventions that may pose a potential risk to health and safety of communities and/or individuals or to biodiversity and ecosystem functions. While, the project will not propose any temporary or permanent physical displacement, nor will there be the need for land acquisition or access restrictions, in cases where this is unavoidable, the project will prepare a Livelihood Action Plan for affected households to ensure that this risk is effectively managed and affected households have access to similar or better land and livelihood options.

104. Any restrictions on access and use of natural resources would not be imposed by the wildlife or forestry departments, but would evolve through a collective decision-making process amongst the community members and be supported by alternative livelihood and resource measures that adequately compensate for any loss of income or resources. Grievance redress mechanisms will facilitate the resolution of any conflict related to resource use and access. Tribal and vulnerable groups in the landscape would be fully involved in decision-making in terms of resource use, livelihood and income generation investments and conservation action through specific institutional and administrative arrangements that encourages active participation of all households in a village and capacity building programs. For further information on social and environmental aspects and management measures refer UNDP SESP in Annex 10. A screening checklist will be developed based on the SESP during early project implementation (refer Step 6 of Annex 4) to screen all investments to ensure that they comply with sound social and environmental principles. To the extent relevant, the BR MBs will access the requirement for application of FAO's Manual for Free Prior and Informed Consent Manual (FPIC) to ensure that indigenous peoples' and community rights and good practices is applied as well as development of an Indigenous Peoples Plan early during project implementation. The BR Planning and Implementation teams (PITs) in consultation with the respective BR management boards will guide this activity and monitor compliance with the environmental and social norms as identified through the screening process.

105. In line with UNDP standard procedures, the Project will set up and manage a **grievance redress mechanism** (GRM) as recommended by UNDP (2014) that would address project affected persons' (PAP) grievances, complaints, and suggestions. The GRM will be managed and regularly monitored by the NPM. It will comply with the following requirements.

106. ***The intent of the GRM*** is to (i) receive and address concerns, complaints, emerging situations or conflicts, grievances and any harm arising from the project; Iii) assist in resolution of grievances between and among stakeholders, including project implementing agencies; and (iii) ensure flexibility, transparency and collaboration with the aim of problem solving and consensus building.

107. ***The functions of the GRM*** would be to: (i) receive, log and track grievances; (ii) provide regular updates on grievances resolution; (iii) engage all necessary stakeholders to facilitate grievance resolution; (iv) propose solutions to resolve grievances in a defined timeframe (around 60 days); (v) recommend possible precautionary measures to avoid the more common grievances; (vi) make available bi-annual reports on grievances and resolution measures available to the public; (vii) Increase awareness, accessibility, transparency and credibility to the GRM process; (viii) collaborate with partner institutions and CSOs to increase awareness to the GRM and its access; (ix) ensure continuing education of project entities to laws and policies related to GRM; and (x) monitor grievance resolutions and solutions.

108. ***Management of GRM:*** The GRM will be managed by MONRE (national level), PPCs and BR MBs (Provincial level) and CPCs and DPCS (at local level).

109. ***Communicating a Grievance through multiple locations and channels from grassroots level up to the Provincial and National Level:*** A simplified system of informing about the grievance redress system and also actual management of grievances will be developed under the project. Multiple ways (manual as well as virtual) of submitting complaints or suggestions at various levels will be provisioned in the project. Grievances and suggestions will reach the Biosphere Management Board in person, via mail, email, via special page of the Project website, and phone. These channels will be locally-appropriate, widely accessible and publicized in written and verbal forms on all project communication materials, and in public locations in the project areas. Since the project will be dealing with local community members, natural resources based small entrepreneurs and producers of non-farm products and services at the local level, they will be facilitated to communicate their problems through their collectives like CBOs, NGOs, etc. They will also be able to communicate directly to the Biosphere Management Boards. These ***teams will be responsible for the functioning as an interface for the grievance redress mechanism.***

110. ***Process of informing and registering grievances at various levels:*** All grievances, whether received through BR Management Boards or to a member of the PPC, will be registered by either the PPC or BR Management Board. The complaint will be assigned a unique tracking number upon its submission. The BR Management Board or PPC will maintain a database with full information on all submitted complaints, responses taken and solutions of the problems.

111. ***Complaint Resolution System:*** A clear system of complaint resolution will be developed to ensure timely resolution of grievances of the stakeholders. The grievances of the stakeholders will be of different types therefore the grievance will be classified into three types -

- Local level problems related to compensation/payments etc. (Commune People's Committee or CPCs, DPCs)
- Project implementation related problems (PPCs and/or BR Management Boards)
- Grievances / Problems that require policy decisions/ decisions (MONRE)

112. Procedures will be developed and observed, and personnel at provincial level will be assigned to handle the grievances. PCCs and/or BR Management Boards will follow nationally developed clear and strict grievance redress procedures, and assign responsibilities. Difficult situations and conflicts will be brought to the attention of MONRE and UNDP CO if the State Government is unable to find appropriate solution.

113. ***Repository of grievances and solutions and sharing it on the project website:*** A repository of all the grievances received from the different stakeholders will be maintained at MONRE for monitoring and evaluation purposes and also for learning. The grievances and their solutions will be shared through the project website so that each province will be able to learn from the other. This aspect will be facilitated through Outcome 3 relating to communication and knowledge sharing. Further, this information will be used to assess trends and patterns of grievances across the project landscapes and for monitoring and evaluation purposes.

114. ***Maintaining Communications and Status Update and provision of feedback about the compliance of grievances:*** A system of giving feedback will be developed to give response to all registered grievances. PCCs and/or BR Management Boards will provide feedback by contacting the complainant directly or their state coordinating committees so that complainants are aware about the status of their complaint. Once some decisions/actions are taken on the complaint, the complainant will be informed about the same. If complainants are not satisfied with the PPC/BR Management Board to their grievance, they will be able to appeal the PMU decision and UNDP CO via mail, e-mail or the Project website.

115. ***Investigation and Consensus Building:*** (i) within one week of receiving a Grievance, the implementing partner will notify the relevant manager of the GRM at local, provincial or national level Task Team of the receipt of the grievance; (ii) the relevant manager of the GRM will identify a specific team of individuals to develop a response to the Grievance; (iii) this team will engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance; (iv) make a request to the appropriate institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature; (v) convene a meeting relevant individuals and credible local institutions as needed; (vi) develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward; and (vii) seek any advise required to resolve the Grievance.

116. ***Making proposed actions and solutions public and overseeing implementation:*** Communicate to the Claimant proposed actions or resolutions and clearly articulate reasons and basis and way forward, and suggest alternative options if the Claimant is not satisfied with the proposed actions.

117. ***Mediation:*** If mediation is required ensure professional expertise and impartial mediation; ensure mediation in local language; and ensure that mediators are willing to mediate without prejudice to personal relationships and interests.

118. ***Monitoring and evaluation*****:** The performance of the GRM will be regularly monitored. All information about the grievances and their resolution will be recorded and monitored. This data will be used to conduct in-depth analyses of complaint trends and patterns, identify potential weaknesses in the Project implementation, and consider improvements. Environmental and social grievances will be reported to the GEF in the annual PIR. The full Social and Environment Screening Procedures (SESP) report is included in Annex 10.

iv. Sustainability and Scaling Up:

119. The project will address sustainability as follows:

120. ***Financial sustainability*** will be achieved by a number of means, including: (i) ensuring that through the integrated BR planning exercises, the PPCs will facilitate the convergence of provincial government financial resources to support conservation and sustainable community livelihoods that would help financially sustain activities beyond the life of the project; (ii) ensure a partnership arrangement between provincial and NGO and private sector partners within the BRs that will ensure complementality and cost-effectiveness of multiple partners and investments; (iii) develop new business models for BR conservation, livelihood and value chains that recognize the full range of environmental ecosystem services provided by BR ecosystems. Developing market linkages for sustainable forest and livestock products and services, ecotourism and local handicrafts and establishment of "brand" labels will ensure financial sustainability of local livelihoods; (iv) support for establishment of Commune/Community level revolving funds that will help to financially sustain and expand investments beyond the project period; (v) facilitating market linkages, green certification of BR products and services to improve

sustainability and value addition; and (vi) training of local entrepreneurs and enterprises. Implementation of such models through carefully developed business plans could lead to a diversification of funding base from sources such as ecotourism, NTFPs and other mechanisms, when these becomes available.

121. ***Institutional sustainability*** will be improved through systematic capacity development of capacity of existing public (particularly that of BR MBs, DARD, DONRE, etc.) and civil society organizations that operate in BR landscapes, CCCs, other relevant sectors and the local communities in the BR landscape and beyond. By engaging these stakeholders in conservation and livelihood investment planning, the project will help establish alliances for conservation and sustainable use of BR resources that is expected to continue beyond the project period. Capacity building measures will be improved by integrating these programs into the curricula of training institutes. Carefully tailored training and capacity building to enhance the skills of the NTFP, fisheries, ecotourism and other local producers. The project's institutional arrangements will further help build coordination structures at the national (MAB National Committee) and provincial level (PPCs and BR MBs) with representation from different development sectors and stakeholders (including NGOs and private sector) and the private sector to implement joint BR planning and to ensure that development plans mainstream biodiversity policies. To ensure sustainability of institutional arrangements for integrated BR planning and ensuring mainstreaming of biodiversity policies into socio-economic development plans, the Government of Vietnam will work towards institutionalization of these coordination mechanisms as part of its long-term strategy to streamline and support biodiversity goals. Formalization of these coordination arrangements will enable sustaining and scaling up of benefits of the project in terms of integrated BR planning and management and biodiversity mainstreaming.

122. ***Social sustainability*** will be improved through the development/strengthening of stakeholder participation mechanisms for the target BR landscapes. A Knowledge Management and Communication strategy (Annex 8) has been developed to facilitate awareness and enhance stakeholder participation. Frameworks for Participatory BR Planning (Annex 3) and Participatory Commune Conservation planning (Annex 4) was designed during PPG stage to ensure adequate consultation and participatory decision making to ensure that project activities are detailed in collaboration with local communities, so that extensive consultation including all affected groups is undertaken prior to delineation of areas to be set asides, so as to avoid excessive community resource use areas or to improve the management of such uses. Social sustainability will also be achieved by strengthening of community institutions, ensuring their active participation in planning and implementation of conservation and sustainable natural resources management, improving community capacity for management of CCPs and for improving grievance redressal mechanisms that will ensure social sustainability.

123. ***Environmental sustainability*** will be achieved through a coordinated approach involving improved protected area management approaches, sustainable natural resources, forest and fisheries management, securing improved forest restoration and sustainable NTFP use, improving incentives for conservation and community participation. It would also help reduction of external threats on PAs and wildlife through BR level partnerships, will enhance controls on poaching, and improve inter-provincial collaboration. This work at BR is aimed at ensuring environmental and socio-economic sustainability through improved institutional capacity, policies and legislation.

124. ***Innovation:*** The project design is innovative in several ways. First, it proposes to pilot the first programs in Vietnam for integrated landscape (and seascape) planning and management approach to biodiversity conservation in Vietnam that seeks to mainstream biodiversity conservation outcomes in sectoral and provincial economic planning. This approach, that would involve multi-stakeholder planning and an inter-sectoral coordination approach to Biosphere Reserve management in Vietnam would propose the following approaches: (i) a Biosphere Reserve should be viewed as a system in its self, comprised of various natural, cultural and socio-economic components; in turn, it is part of the bigger national, regional, thematic, and global networks of BRs; (ii) BRs would be appropriately re-zoned by ecology-based planning using a patch-corridor-matrix model for biodiversity conservation, taking account of landscape ecology, inter-connectedness, vegetation zoning, regional land-use planning, nature and cultural landscape integration, etc. (i.e. landscape planning); (iii) bringing actors from the provinces, market and civil society sectors together to achieve mutual understanding and negotiate and implement mutually agreeable plans, combining top-down and bottom-up approaches and promotion of community participation (i.e. intersectoral coordination); and (iv) promoting a conservation-based economy in BRs, with value creation and increased economic

benefits for local people; labeling of goods and services from BRs (e.g. tourism products and services; sustainable agricultural products; NTFPs, etc.); consumption and production in line with sustainable development; fair distribution; and awareness of conservation of nature and culture. Lessons learned on collaboration with the tourism sector can be shared with other BRs in the region. Secondly, it is innovative because it would seek to link "set-asides" and forest restoration as part of a larger effort to improve biodiversity conservation outcomes in HCVFs and improve connectivity of individual parts of the BRs. Thirdly, it would serve as a pilot to develop and test sustainable financing mechanisms at the local level (commune or village level) to improve incentive for community engagement in conservation, including establishment of local level revolving funds, tourism concession fees, accommodation surcharges, etc.).

125. ***Potential for scaling up**:* The project is designed to provide demonstration models for up-scaling in Vietnam. In particular, the capacity building and the development of legislation, guidelines and regulations for each aspect of the project will strongly support up-scaling. Ensuring that activities, impacts and lessons learnt from the demonstration sites are disseminated widely helps generate a bottom-up demand for similar activities throughout the country. The Project's investment component will seek to develop synergies among rural development actors and programs with an objective of raising additional investments that will fund and expand models of resource use and alternative livelihood activities within and outside of the targeted landscapes. The replication and scaling up strategy to be developed (Output 1.4) will assess sustainable financial and institutional arrangements for scaling up, support identification of new sites for BRs, prepare dossier for at least one new BR for UNESCO nomination, develop a best practice manual and conduct dissemination events to encourage uptake of BR approaches in other sites. In particular activities to be undertaken as part of the effort of scaling up include the following:

- Development of a replication strategy based on lessons learned at the field level that will ensure that the integrated land use planning approach and BR management framework and models developed and pilot tested in the three sites are scaled up to include all 8 BR sites. This Output (1.4) would support the analysis, documentation and dissemination of best practices and lessons learned that deliver tangible improvements in biodiversity and natural resources status to provide examples for replication. It would also entail participation in regional and international workshops, conferences and field visits for national and provincial BR staff to improve learning and exchange of experiences in mainstreaming biodiversity considerations, and integrated and sectoral planning and practices. Based on these best practices and lessons, the replication strategy will provide a basis for actions at other key landscapes and areas, identify required institutional and coordination arrangements resources and partnership commitments (including with NGOs), select interventions and potential sites for replication by the fifth year of the project.
- Providing technical support to facilitate identification of new BRs and initiation of planning for integrated approaches in other BRs;
- Annual seminars for BRs and decision makers on best practices, experiences and needs;
- Financial mechanisms identified to strengthen and upscale financial support to conservation and sustainable land use/natural resource management in BRs.
- Publishing of best practice manuals/handbooks/compendiums of BR management approaches;
- End of project national seminar on outcomes and replication for BR management in Vietnam; and
- Preparation of a UNESCO nomination dossier for at least an additional BR.

V. <u>Economic and/or financial analysis</u>:

Not applicable

VI. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): Strategic Goal C (To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity), and Target 12 (By 2020, the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has improved and sustained).

This project will contribute to the following country outcome included in the UNDAF/Country Program Document: Outcome 1.1 Improved resilience, with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation and disaster risk management

This project will be linked to the following output of the UNDP Strategic Plan:

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.
Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.

	Objective and Outcome Indicators	Baseline[17]	Mid-term Target[18]	End of Project Target	Assumptions[19]
Project Objective: To effectively mainstream biodiversity conservation and natural resources management objectives into governance, planning and management of socio-economic development and tourism in Biosphere Reserves	*Mandatory Indicator 1.3.1:* Area of sustainable management solutions at sub-national level for conservation of biodiversity and ecosystem services that benefit from integrated landscape and seascape planning and management approaches	*Approximately 0.367 million hectares (managed effectively)[20]*	*At least 0.425 million[21] hectares effectively managed through participatory approaches*	*At least 1.22 million hectares[22] of BRs managed through participatory approaches that integrates biodiversity conservation and sustainable natural resources use into BR planning and management*	*<u>Assumptions:</u>* *-Local communities understand livelihood benefits and ecological security from cooperation with and sustainable management of BR resources. Thus, they will participate in sustainable management and ecosystem restoration work.* *-The National and Provincial Governments consider it their priority to support integrated planning of its landscape and seascape areas and implement target oriented activities with local communities to improve conservation and sustainable use of such resources.* *-The PPCs, DPCs, CPCs and CBOs would work in close collaboration for preparation of integrated BR management frameworks* *<u>Risks:</u>* *-Natural disaster may affect the restoration work.*
	Mandatory Indicator 1.3.2: Number of households participating in improved and alternative livelihoods and sustainable resource management and best practice approaches	*0 (Baseline of households participating in improved and alternative livelihoods and sustainable resource management will be established through the commune/village*	*At least 500 households are directly benefiting from sustainable natural resources management and improved and alternative livelihoods and incomes (30% of the beneficiaries would be women)*	*At least 2,500 households directly benefit through sustainable natural resource management and livelihood improvement approaches and increase of 20% in average incomes (At least 30% of the*	

[20] This figure specifically includes the areas under PAs within the 3 BRS where there is sufficient institutional and staffing arrangements and management in place
[21] The additional extent from baseline includes the approximately 60,000 hectares to be included in PA network
[22] Area of core and buffer zones of the 3 BRs, which are likely to benefit from the integrated approach

		microplanning process)		*beneficiaries would be women)*	*-Lack of capacity in government and communities to meet obligations related to project.* *-Livelihood benefits from sustainable management may be low to give up current unsustainable practices* *-Conflicts over territorial issues between partner institutions at BR level could undermine efforts at promoting integrated planning approaches.*
	Mandatory indicator 2.5.1: Extent to which Institutional frameworks are in place for integration of conservation, sustainable natural resource use, biodiversity and ecosystems and improved livelihoods into BR planning and management	*Multiple use sustainable BR planning and management approaches absent or limited within the country*	*Progress towards institutionalization of multiple use and sustainable BR planning and management approaches as measured by National MAB Committee formalized, legally mandated and functional as coordination body*	*Multiple use and sustainable BR planning and management approaches institutionalized in 3 BRs through strengthened national and provincial coordination mechanisms and related institutional agreements*[23]	
Outcome 1 Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.	*Indicator 4*: Extent to which legal or policy frameworks are in place for integration of socio-economic development and tourism into planning and management of Biosphere Reserves *(UNDP mandatory indicator: IRRF Output 2.5 indicator 2.5.1)*	*Specific, targeted Biosphere Reserve planning and management legislation largely lacking*	*Revised Biodiversity Law*[24] *adopted by Government for submission to National Assembly and Decrees, Circulars and Guidelines under preparation*	*Revised legislation under Biodiversity Law*[25] *and at least three legal instruments (decrees, circulars and guidelines)*[26] *clarifying BR planning and management submitted to be adopted*	*<u>Assumption:</u>* *-The national government will develop appropriate legislative, policy, institutional and technical measures that facilitate integrated BR planning and management in a timely manner.* *-Development strategies and BR management strategies and plans will be officially approved by Provincial governments with allocation of appropriate staff and funding for their implementation* *-The Provinces will take active part in developing the strategies and implementation using new knowledge and skills provided by the project* *-Local communities are convinced mainstreaming biodiversity into key development sectors is in their long-term interests* *<u>Risks:</u>*
	Indicator 5: Level of institutional capacities for planning, implementation and monitoring integrated BR management as measured by UNDP's capacity development scorecard	*Limited institutional capacities for planning, implementation and monitoring of multiple use landscape and seascapes in BRs as measured by UNDP Capacity Development Scorecard baseline values at National*	*Increase of institutional capacity as measured by a 10% increase in UNDP National and Provincial Capacity Development Scorecard baseline value*	*Increase of institutional capacity as measured by a 30% increase in UNDP National and Provincial Capacity Development Scorecard of baseline values*	

[23] As measured by National MAB Committee embedded, legally mandated and functional as coordination body; revised Law on Biodiversity; Legal document on BR establishment and management; Legal document on budget financing for BRs; National strategy and Action Plan on BR management;

[24] Biodiversity Law legally recognize BRs as category of PAs, assign responsibilities for BR management to MONRE; responsibilities and procedures for BR planning; coordinating role of role of MAB Committee, etc.

[25]This specifically includes revised Biodiversity Act that incorporates guidance on BR establishment and management, institutional arrangements for BR coordination and planning; defined relationship between national and provincial entities relating to BR planning and management

[26] Specifically includes decrees, circulars or guidelines to incorporate Biodiversity consideration in socio-economic development planning, mainstreaming biodiversity into tourism, forestry and other relevant sectors, BR zoning, and differentiation of EIA and BIA application in different zones of BR

		and Provincial levels as indicated below: National level: 39% Quang Nham Province: 47% Dong Nai Province: 36% Western Nghe An Province: 38%			*-Priorities of provincial governments and local communities might shift if development benefits take long to manifest*
	Indicator 6: Increase percentage of new permitted developments in the identified key sectors that trigger requirement for environmental assessment and integrates relevant national policies and practices that mainstream biodiversity	*BIA guidelines are developed, but not legally enforced resulting in unchecked threats and violations and illegal developments.*	*Requirements for BIA application are incorporated in the revised Law on Biodiversity to ensure environmentally sound development*	*At least 50% of new permitted developments in the identified key sectors in BRs that trigger requirement for environmental assessment integrates BIA guidelines*	*Assumptions:* *-Provincial environmental agencies effectively capacitated to develop, monitor and enforce regulations* *-National policies are in-place that provide specific direction to management priorities granting environmental agencies sufficient authority to manage environmental consequences of development.* *Risks:* *- Political patronage and interests can complicate the effective application of safeguard policies and practices as well as monitoring compliance with implementation of environmental safeguards.*

	Indicator 7: Increased financing for scaled up investment in BR management in Vietnam	*Lack of adequate resources and commitment to conservation practice in BRs – 2017 baseline for 3 pilot BRs is USD 405,777*	*Strategy and procedures agreed with national and provincial governments for improved financing for BRs*	*20% increase in funding over baseline[27] for BR management in Vietnam (all BRs)*	*Assumptions:* *-Additional revenues can be developed to replication and scaling up throughout the country* *- Local actors understand the importance mainstreaming biodiversity and sustainable natural resource use into socio-economic planning* *-Buy-in at all levels of society, including timely dissemination and awareness of the benefits of conservation* *Risk:* *-Adequate resources to replicate integrated approaches may not be identified due to competing government priorities* *-Sufficient trained and committed personnel unavailable to provide adequate coverage*
Outcome 2 Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves that mainstreams protected area management, sustainable resource use and biodiversity-friendly development	*Indicator 8:* Improved management effectiveness of protected areas and biological rich areas within designated BRs	*Baseline METT scores:* *Dong Nai NR: 37* *Cat Tien NP: 38* *Pu Mat NP: 39* *Pu Hoat NR: 24* *Pu Huong NR: 25* *Cu Lao Cham MPA: 41*	*Average increase by at least 10 points in METT*	*Average increase by at least 30 points in METT from current PAs baselines with avoided 6,292,067 tCO_2 eq. over 10 year period in 6 core zones of 3 BRs (covering 367,209 ha)*	*Assumption:* *-Development strategies and management plans will be officially approved by Provincial governments with allocation of appropriate funding for their implementation* *The Provinces will take active part in developing the strategies and implementation using new knowledge and skills provided by the project* *Local communities are convinced that critical habitats in their vicinities will benefit livelihoods and ecological security to them and they will participate in conservation and restoration work.* *-Local community based institutions would establish an effective institutional mechanism to facilitate conservation outcomes*
	Indicator 9: Number of hectares high conservation value forests or coastal and marine ecosystems, including forests and coastal and marine areas set-aside for non-exhaustive use (includes new protected areas established)	*High Conservation Value Forests (dispersal corridors, biodiversity rich areas and buffer areas) outside protected area network are not formally recognized and lack appropriate*	*Areas for set-aside mapped, agreed with provincial governments and approved and 10,000 ha set-aside for non-exhaustive use*	*Set-aside areas (high conservation value forests and other ecosystems) for non-exhaustive use of at least 60,000 ha,[28] resulting in total avoided 6,501,363 tCO_2 eq. over 10 year period*	

[27] Baseline financing for BRS will be established in Year 1

[28] The 60,000 ha of new set-asides will be established following the mapping exercise (Output 2.2) and be achieved through (i) re-zoning of BRs, including expansion of core zones; and (ii) expansion of BRs.

		management regimes			*Risk:* *-Administrative/political changes may undermine the implementation of the management plan strategies* *-Lack of capacity in government and communities to meet obligations related to project* *-Conflicts between national and provincial sectoral entities and local communities regarding management and access to natural resources may undermine integrated planning approaches*
	Indicator 10: Number of hectares of degraded forests areas restored through sustainable community management regimes	*Over 40% forests in pilot BRs (DN and WNA BRs) under continued degradation through overuse*	*At least 500 ha of degraded forests (and other ecosystems) under improved restoration through assisted natural regeneration to improve connectivity*	*At least 4,000 ha[29] of degraded forests (and other ecosystems) under improved restoration through assisted natural regeneration to improve connectivity resulting in total sequestrated 224,277 tCO_2 eq. over 10 year period*	
	Indicator 11: Change in status of key indicator species as: (a) Cu Lam Cham BR: *Lobophyllia serratus, Porites ornate and land crab* (b) Dong Nai BR: Gaur (*Bos gaurus*), Yellow cheeked gibbon *(Nomascus gabriellae)* and Black Shank Douc (*Pygathrix nigripes*) (c) Western Nghe An BR: Gaur *(Bos gaurus)* and White cheeked crested gibbon (*Nomascus leucogenys*)	***Baseline Values[30]:*** ***Dong Nai[31]*** *(i)* Gaur *(Bos gaurus) + 200[32]* *(ii)* Black Shank Douc *(Pygathrix nigripes) + 37[33]* *(iii)* Yellow-crested Gibbon *(Nomascus gabriellae) +171[34]* ***CLC Baseline[35]:*** *(i)* Land crab *(Gecarcoidea lalandii) + 35,000* *(ii) Coral reef 39% (live coral cover)* **WNA[36]:**	*Baseline validated and monitoring in progress for selected indicator species. Monitoring trends indicate positive changes*	*Maintained or improved populations of key species in BRs from current baseline values*	*Assumption:* *-Adequate technical capacity available for undertaking monitoring species populations* *Risk:* *-External factors beyond the control of the project (e.g. climate change) might effect species populations negatively*

[29] Degraded forest areas to be restored to be identified through mapping exercise (Output 2.2) and include areas in Dong Nai BR and Western Ngha An BR
[30] All baseline values to be further validated in Year 1
[31] Data provided by DN BR for 2013 for Black shank douc and Yellow crested gibbon and 2016 for gaur.
[32] Includes 96 individuals in Dong Nai NR and 104 individuals in Cat Tien NP making total of 200 individuals
[33] A total of + 37 individuals on Dong Nai NR and Cat Tien NP
[34] Only accounted from Cat Tien NP
[35] Data provided by CLC BR for 2014 for Land Crab and 2015 for coral cover
[36] Data from FFI for 2011 for White-cheeked gibbon within Pu Mat National Park

		*(i) Barbe's Langur (*Presbytis barbei*) ± 40*[37] *(ii) White-cheeked crested gibbon (Nomascus leucogenys) ± 475*[38]			
	Indicator 12: Increase in percentage of hotels and tourism facilities in and around BRs meet biodiversity-friendly certification standards	*No standards or certification procedures exists now*	*Training complete, Certification criteria approved and at least 10% of hotel and tourism facilities within selected BRs adopt biodiversity-friendly certification standards*	*At least 50% of hotel and tourism facilities within selected BRs adopt biodiversity-friendly certification standards*	*Assumptions* *-Standards developed for certification would take time, but be accompanied by clear guidance and training to facilitate certification* *Risks* *-Lack of adequate of enforcement staff and technical capacity might negate achievement of proposed outcomes*
Outcome 3 Knowledge management and monitoring and evaluation contributes to equitable gender benefits and increased awareness of biodiversity conservation	*Indicator 13:* Increase in percentage of sampled community members, hoteliers, tour operators and sector agency staff aware of and taking action to address potential conservation threats and their adverse impacts on biodiversity within BRs as measured by KAP survey approach. [39]	*Coordinated outreach on conservation threats lacking. Limited awareness of impact unplanned development among general public. Baseline survey established in Year 1*	*At least 10% sampled community members, hoteliers, tour operators and sector agency staff (at least 40% women) aware of potential conservation threats and adverse impacts of unplanned developments*	*At least 50% (of which at least 40% women) of sampled community members, hoteliers, tour operators and sector agency staff aware of potential conservation threats and adverse impacts of unplanned developments*	*Assumption:* *-Stakeholders willing to actively participate in the review process.* *-Project management will be able to identify, document and disseminate the best practices* *-Mid Term Review and End of Project Evaluation of the project will also contribute to identifying the best practices* *-Best practices from sustainable resource management readily available to resource users* *Risks:* *-Government priorities may change from due to political pressure from resource users*
	Indicator 14: Number of additional best practices of sustainable land, coastal and marine resource use demonstrated, documented and disseminated and upscaled for replication	*Existing best practices include e.g. land crab, fishing set aside, # of boats, entry fees, enrichment planting, etc.*	*At least 3 new best practices identified and demonstrated*	*At least 8 new best practices demonstrated and lessons from project documented and disseminated and planning for replication in progress*	

[37] Only in Pu Huong NR (40)

[38] Approximately 455 from Pu Huong NR and 20 from Pu Mat NP

[39] The Knowledge, Attitude and Practices (KAP) approach will collect reference qualitative and quantitative declarative information on misunderstanding and barriers to behavior change, using appropriate tools including survey questionnaires, Focus Group Discussions and Key Informant Interviews, among others.

					-Actions among the assorted agencies and NGOs remain uncoordinated *-Community diversity will not be a hindrance to outreach activities*

VII. MONITORING AND EVALUATION (M&E) PLAN

126. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Outcome Three: *Knowledge management and monitoring and evaluation contributes to equitable gender benefits and increased awareness of biodiversity conservation*, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

127. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies[40].

128. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point (OFP) and national/regional institutes assigned to undertake project monitoring. The GEF OFP will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.[41]

M&E Oversight and monitoring responsibilities:

129. Project Management Board (PMB) is established to assist VEA and MONRE in implementation of the project. The PMB is formed with seconded officials nominated by MONRE/VEA, including a National Project Director (NPD), a National Project Deputy Director (NPDD), a Chief Accountant/Accountant in Charge, a National Project Coordinator (NPC). The PMD is accountable to MONRE and UNDP for the use of project resources and to deliver on outcomes; responsible for overall management and implementation of the project interventions. A National Project Team (NPT) consisting of three positions, including a National Project Manager (NPM), Project Accountant, and Project Assistant cum Interpreter, is recruited by the project to be part of the PMB to provide assistance to the PMB on daily implementation and monitoring of the project interventions. The NPD/NPDD will supervise and guide the work of the NPM as well as ensure that all project staff maintains a high level of transparency, responsibility and accountability in M&E and reporting of project results. The NPD will inform the Project Steering Committee (PSC), VEA, MONRE, the UNDP Country Office (CO) and the UNDP-GEF Regional Technical Advisor (RTA) of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted. The Chief Accountant provides oversight and management of the project budget to ensure compliance with the national procedures and regulations on ODA fund management as well as project financial recording and reporting. The NPC, NPM and the NPT in collaboration with members of the Co-implementing Partners (CIP) are responsible for project progress monitoring and reporting. The team will report to the NPD/NPDD about the project implementation progress and any issues/challenges happening during the implementation and suggested solutions for overcoming.

130. The PMB, under assistance of the NPM, will develop annual work plans based on the multi-year work plan included in Annex 11, including annual output targets to support the efficient implementation of the project. The PMB will ensure that the standards of UNDP and GEF M&E requirements are fulfilled to the highest quality. This

[40] See https://www.thegef.org/gef/policies_guidelines

[41] See https://www.thegef.org/gef/gef_agencies

includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc.) occur on a regular basis.

131. Project Steering Committee (PSC): The PSC will take corrective action as needed to ensure the project achieves the desired results. The PSC will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the PSC will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

132. Project Implementing Partner: The MONRE as the Implementing Partner (IP) is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The IP will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

133. UNDP Country Office: The UNDP Country Office (CO) will support the PMB as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the PMB and PSC within one month of the mission. The UNDP CO will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the *independent terminal evaluation*. The UNDP CO will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

134. The UNDP CO is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP CO and the PMB.

135. The UNDP CO will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

136. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF RTA and the UNDP-GEF Directorate as needed.

Audit:

137. The project will be audited according to UNDP HACT audit policies on NIM projects[42], based on the Micro Assessment results.

Additional GEF monitoring and reporting requirements:

138. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed to, amongst others:

a. Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;

[42] See guidance here: https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx

b. Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
c. Review the results framework and finalize the indicators, means of verification and monitoring plan;
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
e. Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; the gender strategy; the knowledge management strategy, and other relevant strategies;
f. Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
g. Plan and schedule Project Board meetings and finalize the first year annual work plan.

139. The PMB will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP CO and the UNDP-GEF RTA, and will be approved by the PSC.

140. GEF Project Implementation Report (PIR): The PMB/VEA, the UNDP CO, and the UNDP-GEF RTA will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The PMB will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

141. The PIR submitted to the GEF will be shared with relevant stakeholders. The IP and UNDP CO will encourage the input of the GEF OFP and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

142. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyze and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

143. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: SFM, BD and LD Tracking Tools. The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) will be updated by the NPM and shared with *the mid-term review consultants* and *terminal evaluation consultants* before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed *Mid-term Review report* and *Terminal Evaluation report*.

144. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF OFP and other stakeholders will be involved and consulted during the mid-term review process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP CO and the UNDP-GEF RTA, and approved by the PSC.

145. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The NPM will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP ERC. As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF OFP and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The UNDP CO will include the planned project terminal evaluation in the UNDP CO evaluation plan. The final TE report will be cleared by the UNDP CO and the UNDP-GEF RTA, and will be approved by the PSC. The TE report and the corresponding management response will be publically available in English on the UNDP ERC. Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

146. Final Report: The project's terminal PIR along with the TE report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the PSC during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GEF M&E Requirements and M&E Budget:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[43] (US$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP CO	15,000	5,000	Within 2 months of project document signature
Inception Report	NPM	None	None	Within 2 weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP CO	None	None	Quarterly, annually
Monitoring of indicators in project results framework, including risks and grievances.	NPM	124,000	50,000	Annually
GEF Project Implementation Report (PIR)	NPM and UNDP CO and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP CO	15,000 (3,000/ year)	5,000	Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	NPM	See KM below		Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	NPM, UNDP CO	None		On-going
Addressing environmental and social grievances	NPM, UNDP CO BPPS as needed	None for time of project manager, and UNDP CO		On-going

[43] Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[43] (US$)		Time frame
		GEF grant	Co-financing	
Project Board meetings	PSC, UNDP CO, NPM	15,000 (3,000/yr)	15,000	At minimum annually
Supervision missions	UNDP CO	None[44]		Annually
Oversight missions	UNDP-GEF team	None[44]		Troubleshooting as needed
Knowledge management as outlined in Outcome 3	NPM	79,000	100,000	On-going
GEF Secretariat learning missions/site visits	UNDP CO and NPM and UNDP-GEF team	None		To be determined.
Mid-term GEF Tracking Tool to be updated by	NPM	None[45]		Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP CO and Project team and UNDP-GEF team	30,000	10,000	Between 2nd and 3rd PIR.
Terminal GEF Tracking Tool to be updated by	NPM	None[46]		Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP CO and Project team and UNDP-GEF team	40,000	20,000	At least three months before operational closure
Translation of MTR and TE reports into English	UNDP CO	5,000		As required. GEF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		**323,000**	**205,000**	

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

147. Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Vietnam, the Vietnam Government's regulations for ODA project/program management (Decree 16/2016/NĐ-CP and Circular 12/2016/TT-BKHĐT), and the Joint Harmonized Project/Program Management Guidelines of the UN and Government of Vietnam.

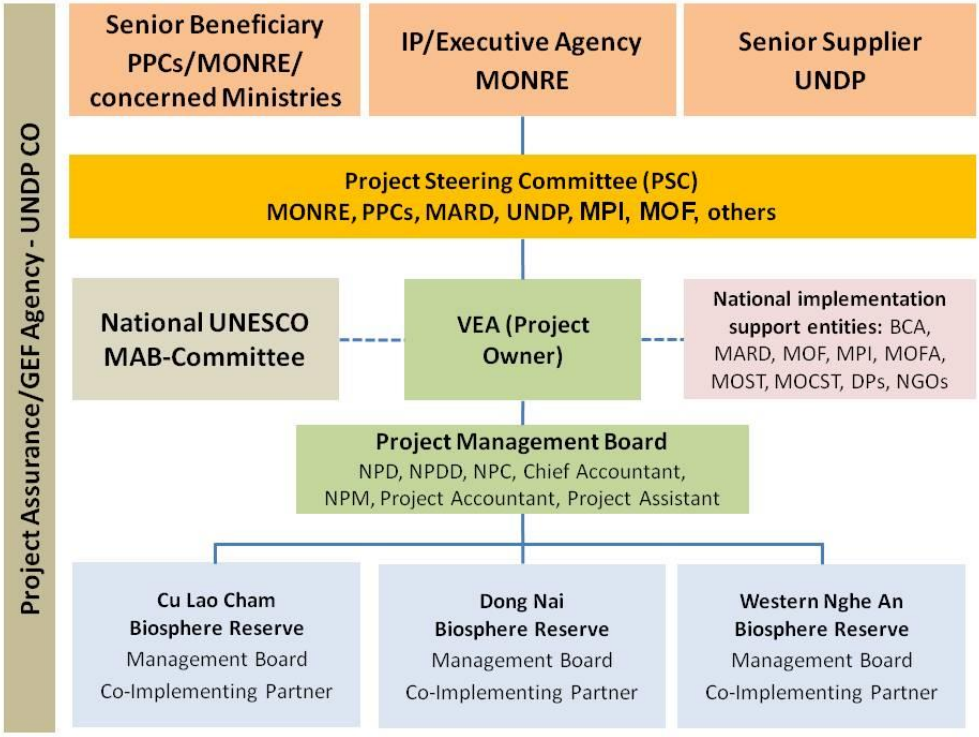
148. The **Implementing Partner** (IP) for this project is the Ministry of Natural Resources and Environment. The IP is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The MONRE is also acting as the "Governing Body" of the project as regulated by the Decree 16/2016/ND-CP. The Governing Body will (i) decide the organizational structure of the project management apparatus, including the Project Steering Committee, Project Owner, Project Management Board; (ii) formulate and approve the 5-year plan for implementation of the project; (iii) approve the overall plan for project implementation; compile and approve annual plans for project execution; (iv) direct the procurement process; (v) organize the supervision and assessment of the project progress, ensure punctuality, quality, and achievement of set targets; (vi) bear the additional costs incurred because of human errors, wastefulness, corruption, and misconducts in management and use of ODA under its management in

[44] The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.
[45] Covered under monitoring of RFA
[46] Covered under monitoring of RFA

accordance with regulations of law on public investment; and (vii) perform other duties and entitlements in accordance with law, specific international treaty or agreement on ODA.

149. The **Project Owner** for this project is the Vietnam Environment Agency (VEA) of MONRE. The project owner is responsible and accountable for direct implementation and management of the project including planning, implementation, monitoring and evaluation of the project intervention, reporting, achieving project outcomes. The VEA bears following tasks as regulated by Decree 16/2016/ND-CP: (i) organize the program/project management and execution apparatus according to the decision of the governing body MONRE; (ii) effective management and use of the project resources of the project during the operation; (iii) formulate and submit 5-year plans, overall plan, and annual plans for project implementation to the governing body MONRE for approval; (iv) formulate quarterly workplan for actual implementation of the interventions; (v) carry out procurement activities in accordance with effective regulations of the national law on procurement; (vi) negotiate, conclude, and supervise the implementation of contracts, and resolves difficulties within their competence; (vii) cooperate with the local governments of three piloting provinces for establishment and management of three sites; (vii) supervise and assess the project to ensure punctuality, quality, and achievement of set targets; (viii) provide direction to the Project Management Board to make the terminal report and financial statement of the project, audit and transfer of assets and documents of the program/project, and compliance with regulations on project closeout of the international treaty or agreement on ODA; and (ix) take responsibility for every loss, wastefulness, corruption, and misconduct that occurs during the implementation of the project.

150. The project organisation structure is as follows:



151. The **Co-implementing Partners** (CIPs) include the Management Boards of three piloting BR sites Cu Lao Cham, Dong Nai, and Western Nghe An. The CIPs will implement relevant interventions of the project component 2 as regulated in the Letter of Agreement signed with the VEA, in which the authorization of the IP to the CIPs must comply with regulations on authorization under the current law of Vietnam. For each of the three pilot BRs, under the direction of the BR MBs a Planning and Implementation Team (PIT) will be constituted to provide technical and

planning inputs for implementation of project activities. Each PIT consists of a Project Facilitation Officer (full-time), two social mobilizers (full-time) and short-term contract livelihood specialists (the latter as and when required)[47].

152. The **Project Steering Committee** (PSC) will be established consisting of members from MONRE (VEA, Planning Department, Financial Department and International Cooperation Department), UNDP CO Vietnam, representatives of three PPCs (Dong Nai, Quang Nam, Nghe An provinces), representatives from other agencies such as Ministry of Agriculture and Rural Development (MARD), Ministry of Planning and Investment (MPI), Ministry of Finance (MOF). The PSC will provide guidance on the annual work-plans and oversee the project implementation and progress to ensure that the project's resources made available and the outputs produced meet the requirement of beneficiaries and the Government. PSC will be chaired by the MONRE Ministerial level and meet annually. Additional meetings can be arranged if deemed necessary.

153. The **Project Management Board** (PMB) is established as the Governing Body to assist the Project Owner in managing the implementation of project. VEA can also use an existing PMB of another GEF funded project to handle the tasks as per regulation of the Decree 16/2016/ND-CP/. The PMB consists of core members including the National Project Director, the Chief Accountant/Accountant in charge, being a leader and official of VEA. Also (a) National Project Deputy Director(s), who is/are (a) leader(s) of BCA, and (a) National Project Coordinator(s) can be nominated by VEA, and other members representing CIPs will be involved in the PMB. A National Project Team consisting of a National Project Manager (NPM), Project Accountant, and Project Assistant cum Interpretor is recruited to provide assistance to the PMB on daily implementation and monitoring of the project interventions.

154. The PMB shall perform the tasks given by the Project Owner, including (i) formulate and submit overall plan and annual plans for the project implementation; (ii) prepare and carry out the actual project implementation; (iii) carry out activities related to bidding, contract management; (iv) budget management, perform financial and asset management of the project; (v) monitor and assess the implementation of the project activities; (vi) prepare the acceptance and transfer of the results of the project after completion, finish audit works, transfer assets of the project, prepare the terminal report and financial statement of the project, follow regulations on project closeout as per UNDP-GEF procedures; (vii) perform other tasks given by the Project Owner within the framework of the project.

155. The PMB will be responsible for resources mobilization, including human resources, , planning and implementation of project activities, will provide mechanisms and technical inputs necessary to integrate the results of various activities, will ensure satisfactory performance of the project members and contractors, and will provide official reports to the PSC as needed.

156. The **National Project Director** (NPD) is accountable to MONRE and UNDP for the use of project resources and to deliver on outcomes; responsible for overall management and implementation of the project interventions. He/she will head the PMB and will be accountable to MONRE for the use of project resources and to deliver on outcomes. The NPD will manage the implementation of all project activities and will work closely with all partner institutions to link the project with complementary national programs and initiatives. The NPD is accountable to MONRE and the PSC for the quality, timeliness, and effectiveness of the project intervention implementation, as well as for the use of resources. The NPD will be technically supported by contracted national and international consultants and service providers. Recruitment of specialist services for the project will be done by the NPD, in consultation with UNDP and MONRE. The NPD will not be paid by the project, but will represent a government in kind contribution to the project.

[47] PITs will facilitate in providing planning, capacity building and technical support for biodiversity conservation, natural resources management and livelihood development activities. The PITs will also coordinate with NGOs, line departments, private institutions, research and development organizations, various specialists and service providers as well as the private sector to provide specialized services as well as to facilitate integration and convergence of provincial development financing and program support within the BRs. Detailed information on the responsibilities of the PITs is presented in annex 4.

157. **National Project Deputy Director (NPDD):** will be assigned responsibility to support NPD in technical aspects of the project, provide direct guidance to project management unit to achieve project results/targets.

158. **National Project Coordinator (NPC)**: will be assigned to be in-charge to support PMB to superivse NPO, ensure the project implementation in accordance with government regulations.

159. **National Project Team** consisting of a National Project Manager (NPM), a Project Assistant cum Interpretor, and a Project Accountant will be recruited by the NPD, and other technical officers can be assigned from BCA as in-kind contribution to the project. The NPT will assist the PMB in the project implementation and monitoring on a day-to-day basis on a day-to-day basis. The functioning of the NPT will end when the final project Terminal Evaluation report and corresponding management response, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

160. **Project Assurance** is the responsibility of the PSC by carrying out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed. Project Assurance has to be independent of the NPM; therefore the PSC cannot delegate any of its assurance responsibilities to the NPM.

161. Project Assurance will be undertaken by the UNDP Programme Officer responsible for the project based in the UNDP CO. The UNDP Programme Officer will also act as a focal point of UNDP CO in facilitating and monitoring the project implementation. He/she will maintain a continuous partnership with the project team and participates in all project reviews, work/budget planning meetings, monitoring visits and evaluations. She/he will certify the annual and quarterly work-plan/budgets/progress reports, as well as proposed use of unspecified budget within the annual budget already approved for the project.

162. Working closely with MONRE, UNDP-CO is ultimately responsible and accountable for the delivery of results, as the GEF Implementing Agency. UNDP shall provide project cycle management services as defined by the GEF Council, that will include (i) providing financial and audit services to the project; (ii) overseeing financial expenditures against project budgets; (iii) ensuring that activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures; (iv) ensuring that the reporting to GEF is undertaken in line with the GEF requirements and procedures; (v) facilitate project learning, exchange and outreach within the GEF family; (vi) Contract the project mid-term and final evaluations and trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts. Two UNDP staff members will be assigned with the responsibility for the day-to-day management and control over project finance.

163. Governance role for project target groups: The project will institute a participatory planning process at the BR site to facilitate community decision-making in planning and management of project investments. This would lead to the preparation of Commune Conservation Plans (CCPs) that will detail the agreed investments for conservation, sustainable natural resource use and livelihood improvement. The participatory planning process is described in Annexes 3 and 4.

164. UNDP Direct Project Services as requested by Government (if any): UNDP Direct Project Services (DPS) as requested by Government: The UNDP, as GEF Agency for this project, will provide project management cycle services for the project as defined by the GEF Council. In addition, the Government of Vietnam may request UNDP direct services for specific projects, according to its policies and convenience. The UNDP and Government of Vietnam acknowledge and agree that those services are not mandatory, and will be provided only upon Government request. If requested, the services would follow the UNDP policies on the recovery of direct costs. These services (and their costs) are specified in the Letter of Agreement (to be provided prior to DOA stage). As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, duly identified in the project budget as Direct Project Costs. Eligible Direct Project Costs should not be charged as a flat percentage. They should be calculated on the basis of estimated actual or transaction based costs and should be charged to the direct project costs account codes: “64397- Services to projects – CO staff” and “74596 – Services to projects – GOE for CO”.

165. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the MONRE/VEA logo and UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[48] and the GEF policy on public involvement[49].

166. Detailed TORs for all key positions and committees is provided in Annex 9.

IX. FINANCIAL PLANNING AND MANAGEMENT

167. The total cost of the project is *US$43,198,222.* This is financed through a GEF grant of *US$6,660,000*, and *US$36,538,222* in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

168. Parallel co-financing: The actual realization of project co-financing will be monitored during the *mid-term review* and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Government	Grant	35,538,222	*Program investment support, staff, operations, etc.*	*Potential risk of funds being unavailable to project BRs because of changing government priorities and lack of political commitment*	*The co-financing will be from existing and proposed government programs and the Steering Committee and MAB National Committee will facilitate and ensure that co-financing efforts are not severely compromised will be made.*
UNDP	Grant	800,000	*Program investment support*	*None*	*Co-financing from existing programs*
	cash	200,000	*Program investment support*	*None*	*Co-financing from existing programs*

169. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the PMB. Should the following deviations occur, the PMB and UNDP CO will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

170. Over expenditure incurred beyond available GEF grant resources will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

[48] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[49] See https://www.thegef.org/gef/policies_guidelines

171. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

172. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.[50] On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

173. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

174. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

175. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

[50] see https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx

X. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas[51] Proposal or Award ID:	0095982	Atlas Primary Output Project ID:	00100000
Atlas Proposal or Award Title:	Mainstreaming Natural Resources Management and Biodiversity Conservation objectives into socio-economic development planning and management of Biosphere Reserves in Vietnam		
Atlas Business Unit	VNM10		
Atlas Primary Output Project Title	Mainstreaming Natural Resources Management and Biodiversity Conservation objectives into socio-economic development planning and management of Biosphere Reserves in Vietnam		
UNDP-GEF PIMS No.	5659		
Implementing Partner	Ministry of Natural Resources and Environment		

GEF Component/Atlas Activity	Responsible Party/[52] (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.	**MONRE**	**62000**	**GEF**	71200	International Consultants	38,400	110,400	50,400	50,400	14,400	264,000	1
				71300	Local Consultants	52,000	64,000	48,000	36,000	8,000	208,000	2
				72100	Contractual services	52,500	95,500	3,000	18,000	48,000	217,000	3
				71600	Travel	31,000	43,000	27,000	32,000	36,000	169,000	4
				75700	Training and Workshops	18,000	50,500	28,000	28,000	23,000	147,500	5
				74200	Audio-visual and print	0	0	10,000	0	15,000	25,000	6
					Sub-total GEF	191,900	363,400	166,400	164,400	144,400	1,030,500	
					Total Outcome 1	**191,900**	**363,400**	**166,400**	**164,400**	**144,400**	**1,030,500**	
OUTCOME 2: Integrated multi sector and multi-stakeholder planning and management	**MONRE**	**62000**	**GEF**	71200	International Consultants	36,000	123,000	60,000	0	0	219,000	7
				71300	Local Consultants	96,000	175,000	175,000	99,000	72,000	617,000	8
				72100	Contractual services	201,000	357,500	362,000	342,000	292,000	1,554,500	9

[51] See separate guidance on how to enter the TBWP into Atlas

[52] Only the responsible parties to be created as Atlas Implementing Agent as part of the COAs should be entered here. Sub-level responsible parties reporting directly to NIM Implementing Partners should not entered here. For example, if under NIM, UNOPS signs LOA with the IP to manage component 2, and a department of Ministry X will manage component 3, this means that UNOPS will be listed as the responsible party under component 2. The rest of the components will list the IP as the responsible party.

operational in three Biosphere Reserves that mainstreams protected area management, sustainable resource use and biodiversity-friendly development				71600	Travel	8,700	50,500	32,700	11,700	6,000	109,600	10
				75700	Training and Workshops	9,000	38,500	22,500	17,500	0	87,500	11
				72200	Equipment	78,000	78,000	0	0	0	156,000	12
				72600	Grants	0	350,000	580,000	580,000	430,000	1,940,000	13
				74500	Miscellaneous	1,200	1,200	1,200	1,200	1,200	6,000	14
					Sub-total GEF	429,900	1,173,700	1,233,400	1,051,400	801,200	4,689,600	
					Total Outcome 2	**429,900**	**1,173,700**	**1,233,400**	**1,051,400**	**801,200**	**4,689,600**	
OUTCOME 3: Knowledge management and monitoring and evaluation contributes to equitable gender benefits and increased awareness of biodiversity conservation	**MONRE**	**62000**	**GEF**	71200	International Consultants	0	0	30,000	0	40,000	70,000	15
				71300	Local Consultants	36,600	36,600	23,050	28,600	31,050	155,900	16
				72100	Contractual services	11,500	34,750	34,750	19,750	19,750	120,500	17
				71600	Travel	14,500	16,500	9,500	9,500	9,500	59,500	18
				72200	Equipment	7,500	24,000	0	0	0	31,500	19
				75700	Training, and Workshops	31,000	20,000	11,000	11,000	18,500	91,500	20
				74200	Audio visual and Print production	13,500	21,000	25,500	10,500	10,500	81,000	21
				74100	Professional services (audit)	3,000	3,000	3,000	3,000	3,000	15,000	22
					Sub-total GEF	117,600	155,850	136,800	82,350	132,300	624,900	
					Total Outcome 3	**117,600**	**155,850**	**136,800**	**82,350**	**132,300**	**624,900**	
PROJECT MANAGEMENT	**MONRE**	**62000**	**GEF**	71300	Local Consultants	41,400	41,400	41,400	41,400	41,400	207,000	23
				71600	Travel	5,000	5,000	5,000	5,000	5,000	25,000	24
				72200	Equipment	5,000	5,000	0	0	0	10,000	25
				64397/ 74596	Direct project costs	14,600	14,600	14,600	14,600	14,600	73,000	26
					Sub-total GEF	66,000	66,000	61,000	61,000	61,000	315,000	
					Total Management	**66,000**	**66,000**	**61,000**	**61,000**	**61,000**	**315,000**	
PROJECT TOTAL (USD)						**805,400**	**1,758,950**	**1,597,600**	**1,359,150**	**1,138,900**	**6,660,000**	

Summary of Funds: [53]

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Total (USD)
GEF	**805,400**	**1,758,950**	**1,597,600**	**1,359,150**	**1,138,900**	**6,660,000**
Donor 2 (e.g. UNDP)	200,000	200,000	200,000	200,000	200,000	1,000,000
Donor 3 (cash and in-kind) e.g. Government	3,927,530	9,184,011	8,359,211	7,959,965	6,107,505	35,538,222
TOTAL (USD)	4,932,930	11,142,961	10,156,811	9,519,115	7,446,405	43,198,222

Budget notes:

1	Cost for international consultants to provide support to national consultants and PMU under Outcome 1 for: (i) National Strategy and Action Plan for BR management (2 mths); (ii) BR Advocacy Strategy (1 mth); (iii) Guidelines on development of BR Management Plans (1 mth); (iv) Guidelines on HCVF/KBAs (1 mth); (v) Legal document on budget financing for BRs (1 mth); (vi) Guidelines on biodiversity and ecosystem status monitoring (1 mth); (vii) Design of community based revolving funds (1 mth); (viii) Review existing legislation and regulations relating to sectoral economic development planning (1 mth); (ix) Rules and guidelines for new and existing tourism infrastructure (1 mth); (x) Support revision of EIA legislation (1 mth); (xi) Guidelines on EIA/BIA application in BR zones (1 mth); (xii) Strategic plan for ecotourism development in BRs (1 mth); (xiii) Annual BR review meetings and UNESCO/MAB report (1 mth); (xiv) Training programs on conservation and mainstreaming biodiversity into sectoral planning (1 mth); (xv) TA to identify new BRs and facilitate initiation (4 mths); (xvi) Replication & scaling up strategy and plan (including financing mechanism) (1 mth); (xvii) Development of UNESCO BR nomination dossier (1 mth); (xviii) Preparation of a manual on forest restoration approaches (1 mth) at USD 12,000/month x 22 months = USD 264,000.
2	Cost for local consultants under Outcome 1 for (i) Development of Statutes (4 mth); (ii) National strategy and action plan (4 mth); (iii) BR advocacy strategy (3 mth); (iv) Strategy to strengthen BR Management Boards functionality (3 mth); (v) Guidelines on HCVF/KBAs (3 mth); (vi) Legal document on budget financing (3 mth); (vii) Design of community based revolving funds (3 mth); (viii) Rules and guidelines for new and existing tourism infrastructure (4 mth); (ix) Support revision of EIA legislation (4 mth); (x) Guidelines on EIA/BIA application in BR zones (4 mth); (xi) Guidelines and tools for improved tourism business planning (4 mth); (xii) Strategic plan for ecotourism development in BRs (4 mth); (xiii) TA to identify new BRs and facilitate initiation (6 mth); (xiv) Preparation of a manual on forest restoration approaches (3 mth) at USD 4,000/month x 52 months = USD 208,000.
3	Cost of contractual services for (i) Support to revision of Biodiversity Law = USD 25,000; (ii) New Decree/Circular/Legal Document = USD 50,000; (iii) Review existing legislation and regulations relating to sectoral economic development planning and development of guidelines for provincial sectoral economic development planning = USD 30,000; (iv) Design of training programs - Conservation skills = USD 20,000; (v) Design of training programs – Sectoral integration skills = USD 20,000; (vi) Conduct training programs = USD 12,000; (vii) Replication & scaling up strategy and plan (including financing mechanism) = USD 15,000; (viii) Publishing of Implementer's Manual/best practice manuals/handbooks/compendiums (design) under output 1.4 = USD 15,000; (ix) End-of-Project national seminar under output 1.4 = USD 5,000; (x) UNESCO nomination dossier = USD 25,000. Total = USD 217,000.
4	Travel costs associated with following: (i) International consultants for support under Outcome 1 for all outputs (see note 1) = USD 44,000; (ii) Local consultants and contractual services for support under Outcome 1 for all outputs (see note 2 and 3) = USD 30,000; (iii) Participants to workshops under Outcome 1 for all outputs (see note 5) = USD 20,000; (iv) Participation in regional and international events under Outcome 1 for output 1.4 = USD 75,000. Total = USD 169,000.
5	Costs for training and workshops under Outcome 1 in support of (i) Functional governance and coordination mechanism established a national level to support dialogue, information flow and decision–making between provinces and national levels for facilitating integrated planning and management of biosphere reserves under output 1.1 = USD 25,000; (ii) Revised legislation

[53] Summary table should include all financing of all kinds: GEF financing, co-financing, cash, in-kind, etc.

	in support of integrated landscape planning and management of Biosphere Reserves endorsed and functional under output 1.2 = USD 27,500; (iii) Legislation, technical guidelines, standards and norms for mainstreaming biodiversity conservation in natural resource use sectors in Biosphere Reserves developed and adopted under output 1.3 = USD 22,500; (iv) Replication strategy developed and implemented to facilitate up-scaling of integrated BR management model in other sites under output 1.4 = USD 72,500. Total = USD 147,500.
6	Costs of audio-visual print production under Outcome 1 for (i) printing of BR advocacy strategy under output 1.1 = USD 10,000; (ii) Publishing of best practice manuals/handbooks/compendiums = USD 10,000; (iii) printing materials for End-of-Project national seminar = USD 5,000. Total = USD 25,000.
7	Cost for international consultants to provide support to national consultants and PMU under Outcome 2 for: (i) Design of assessment and mapping under output 2.2 for 3 pilot BRs (3 mth); (ii) Integrated Biosphere Reserve Management Agreement (IBRA) under output 2.2 for 3 pilot BRs (2.25 mth); (iii) Design of capacity building to facilitate mainstreaming of biodiversity conservation in sectoral development planning under output 2.2 for 3 pilot BRs (3 mth); (iv) Development of 5-year protected area management plans for PAs under output 2.3 for 3 pilot BRs (3 mth); (v) Preparation of site-specific plans for non-consumptive resource uses under output 2.4 for 2 pilot BRs (2 mth); (vi) Preparation of rehabilitation and restoration plans under output 2.5 for 2 pilot BRs (2 mth); (vii) Design of BR tourism certification program for CLC under output 2.7 for 1 pilot BR (1 mth); (viii) Review of tourism and certification opportunities under output 2.7 for 2 pilot BR (2 mth) at USD 12,000/month x 18.25 months = USD 219,000.
8	Cost for local consultants under Outcome 2 for (i) Three Technical Coordinators at USD 1,000/month for 60 months each under output 2.1 for 3 pilot BRs = USD 180,000; (ii) Three Administrative/Finance Assistants at USD 500/month for 50% part-time for 30 months each under output 2.1 for 3 pilot BRs = USD 45,000; (iii) Integrated Biosphere Reserve Management Agreement (IBRA) for 3 BRs (6 mths) under output 2.2 = USD 24,000; (iv) Provincial decision on application of BIA in EIA process for 3 BRs (9 mths) under output 2.2 = USD 36,000; (v) protocols for monitoring of key endangered species and their habitats for 3 BRs (6 mths) under output 2.3 = USD 24,000; (vi) Preparation of site-specific plans for non-consumptive resource uses for 2 BRs (8 mths) under output 2.4 = USD 32,000; (vii) Preparation of rehabilitation and restoration plans for 2 BRs (6 mths) under output 2.5 = USD 24,000; (viii) Three PIT facilitators in support of sustainable livelihood practices at USD 700/month for 48 months for 3 BRs under output 2.6 = USD 100,800; (x) Six social mobilizers in support of sustainable livelihood practices at USD 400/month for 288 months (48 months each) for 3 BRs under output 2.6 = USD 115,200; (xi) Design of BR tourism certification program for CLC for 1 BR (3 mths) under output 2.7 = USD 12,000; (xii) Review of tourism and certification opportunities for 2 BRs (6 mths) under output 2.7 = USD 24,000. Total = USD 617,000.
9	Cost of contractual services under Outcome 2 for (i) Assessment and mapping, and preparation of SESP screening checklist under output 2.2 for 3 pilot BRs = USD 210,000; (ii) Provincial/Municipal Decision on mainstreaming biodiversity considerations in provincial socio-economic development planning under output 2.2 for 3 pilot BRs = USD 52,500; (iii) Capacity building to facilitate mainstreaming of biodiversity conservation in sectoral development planning under output 2.2 for 3 pilot BRs = USD 90,000; (iv) 5-year protected area management plans under output 2.3 for 3 pilot BRs = USD 120,000; (v) Implementation of monitoring under output 2.3 for 3 pilot BRs = USD 300,000; (vi) Implementation of conservation management interventions under output 2.3 for 3 pilot BRs = USD 240,000; (vii) Capacity building and training of PA staff under output 2.3 for 3 pilot BRs = USD 36,000; (viii) TA to investments to improve sustainable NR management and livelihoods in set-aside areas under output 2.4 for 2 pilot BRs = USD 84,000; (ix) TA to investment to implement forest restoration plans under output 2.5 for 2 BRs = USD 80,000; (x) TA to livelihood support investment (including community revolving fund) under output 2.6 for 3 pilot BRs = USD 120,000; (xi) TA to promote compliance with certification criteria under output 2.7 for 1 pilot BR = USD 12,000; (xii) Investment in selected tourism products and services under output 2.7 for 3 pilot BRs = USD 210,000. Total = USD 1,554,500
10	Travel costs under Outcome 2 associated with following: (i) International consultants for support under Outcome 2 for all outputs (see note 7) = USD 29,800; (ii) Local consultants and contractual services for support under Outcome 2 for all outputs (see note 8 and 9) = USD 40,800; (iii) Technical coordination under output 2.1 for 3 BRs = USD 15,000; (iv) PIT facilitators and social mobilizers under output 2.6 for 3 BRs = USD 24,000. Total = USD 109,600.
11	Costs for workshops and training under outcome 2 in support of (i) Integrated biodiversity conservation and management planning incorporated into provincial economic and sectoral development planning within Biosphere Reserves under output 2.2 in 3 BRs = USD 34,500; (ii) Capacity building and training of PA staff for improved management effectiveness of seven existing protected areas under output 2.3 for 3 BRs = USD 24,000; (iii) Preparation of site-specific plans for non-consumptive resource uses under output 2.4 for 2 BRs = USD 4,000; (iv) Preparation of rehabilitation and restoration plans under output 2.5 for 2 BRs = USD 4,000; (v) Mapping, CCPs and implementation guidance of selected sustainable livelihood under output 2.6 for 3 BRs = USD 18,000; (vii) Promotion/support to voluntary application of certification under output 2.7 for 1 BR = USD 3,000. Total = 87,500.
12	Cost of equipment under Outcome 2 for (i) Operations of the BR Management Board under output 2.1 for 3 BRs = USD 6,000; (ii) Field- and camping equipment for PA management under output 2.3 for 3 BRs = USD 150,000. Total = USD 156,000.
13	Cost of grants under Outcome 2 to (i) Improve sustainable NR management and natural resource based livelihoods in set aside areas under output 2.4 for 2 BRs = USD 240,000; (ii) Implement forest restoration plans under output 2.5 for 2 BRs = USD 800,000; (iii) Community-based investment in sustainable natural resources based livelihoods and climate adaptation practices by communities under output 2.6 to reduce pressure on biodiversity in existing core and buffer zones in 3 BRs = USD 900,000. Total = USD 1,940,000. Grant making in support of specific investment identified in (i), (ii) and (iii) above will be financed in line with the regulations of UNDP's micro capital grant modality, under which grants are provided against detailed implementation plans of activities approved by the BR MBs as CIPs.
14	Costs for miscellaneous expenditures under Outcome 2 in support of operations of the BR Management Board under output 2.1 for 3 BRs = USD 6,000.

15	Costs for international consultants under Outcome 3 for Mid-term and Terminal evaluations at USD 30,000 for mid-term and USD 40,000 for terminal evaluation. Total = USD 70,000.
16	Cost for local consultants under Outcome 3 for (i) Communication assistance for implementation of communications strategy and awareness plan, part-time 50% for 42 months under output 3.1 for 3 BRs = USD 31,500; (ii) Training for implementation of the gender mainstreaming action plan under output 3.1 for 3 BRs = USD 12,000; (iii) Development of gender mainstreaming action plan under output 3.1 = USD 8,000; (iv) Development of communication strategy and action plan, and stakeholder engagement plan under output 3.1 = USD 16,000; (v) Design of simplified and standardized information management system under output 3.2 = USD 12,000; (vi) Information manager to support an operational BR Information Management System, part-time 50% for 42 months under output 3.2 for 3 BRs = USD 31,500; (vii) Preparation of BR best practices documents under output 3.3 = USD 24,000; (viii) Development of policy guidance notes under output 3.3 = USD 16,000; (ix) Translation MTE, TE documents under output M&E = USD 4,900. Total = 155,900.
17	Cost of contractual services under Outcome 2 for (i) Implementation of the communication action plan under output 3.1 for 3 BRs = USD 48,000; (ii) Development of communication materials under output 3.1 for 3 BRs = USD 37,500; (iii) Development of communication materials under output 3.1 for national level = USD 20,000; (iv) Provider services for online website under output 3.2 for 3 BRs = USD 15,000. Total = USD 120,500.
18	Costs for travel under Outcome 3 associated with following: (i) Implementation of the communications strategy and awareness plan and gender mainstreaming action plan under output 3.1 for 3 BRs = USD 49,500; (ii) Development of the communications strategy and awareness plan and gender mainstreaming action plan under output 3.1 = USD 4,000; (iii) Preparation of BR best practices documents under output 3.3 = USD 6,000. Total = 59,500.
19	Cost of equipment under Outcome 3 for (i) Effective use of communication materials under output 3.1 for 3 BRs = USD 16,500; (ii) Operational BR information management system under output 3.2 for 3 BRs = USD 15,000. Total = USD 31,500.
20	Costs for workshops and training under outcome 3 in support of (i) Implementation of gender mainstreaming action plan under output 3.1 for 3 BRs = USD 9,000; (ii) Development of communication strategy and action plan under output 3.1 = USD 5,000; (iii) Implementation of communication strategy at national level under output 3.1 = USD 40,000; (iv) Policy level workshops and seminars under output 3.3 for 3 BRs = USD 7,500; (v) Inception workshop under output M&E = USD 15,000; (vi) Project Board / Steering Committee meetings under output M&E = USD 15,000. Total = USD 91,500.
21	Costs of audio-visual print production under Outcome 3 for (i) Publishing of communication materials under output 3.1 for 3 BRs = USD 37,500; (ii) Publishing of communication materials under output 3.1 at the national level = USD 30,000; (iii) Publication of BR best practices documents = USD 13,500. Total = USD 81,000.
22	Costs for annual audit at USD 3,000 per year = USD 15,000.
23	Cost for local consultants under Project Management for (i) Project Manager full-time for 60 months = USD 114,000; (ii) Administrative assistant full-time for 60 months = USD 42,000; (iii) Accountant at national level full-time for 60 months = USD 51,000. Total = USD 207,000
24	Costs for travel under Project Management for PMU to pilot BRs for oversight and coordination under all outcomes for all outputs = USD 25,000.
25	Costs for equipment under outcome 3 in support to project management = USD 10,000.
26	DPC budget for administrative and operations support. Draft LOA will be shared prior to DOA stage, detailing itemized services and associated costs. = USD 73,000.

XI. LEGAL CONTEXT

176. This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by Ministry of Natural Resources and Environment ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XII. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
   a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
   b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

   (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

   (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any

form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

    i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

    ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;

    iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;

    iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

    v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

    b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

    Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

    Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively

investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XIII. ANNEXES

Annex 1: Brief Profiles of Project Biosphere Reserves

Annex 2: Needs analysis for legislative reforms to strengthen integrated Biodiversity Conservation in BRs

Annex 3: Framework for Participatory Landscape (and seascape) Planning and Management for Biosphere Reserves

Annex 4: Project Participatory Framework for planning, implementation and monitoring of commune conservation activities

Annex 5: Planning and Management of High Conservation Value Forests and Set-Asides

Annex 6: Forest Restoration for SFM Benefits

Annex 7: Gender Analysis and Mainstreaming Action Plan (Mandatory)

Annex 8: Knowledge Management and Communications Strategy (Mandatory)

Annex 9: Terms of Reference for Key Project Management Staff (Mandatory)

Annex 10: Social and Environment Screening Template (Mandatory)

Annex 11: Multi Year Work Plan (Mandatory)

Annex 12: Monitoring Plan (Mandatory)

Annex 13: Evaluation Plan (Mandatory)

Annex 14: Summary of Consultants and Contractual Services Financed by the Project (Mandatory)

Annex 15: UNDP Project Quality Assurance Report (to be completed by UNDP Country Office) (Mandatory)

Annex 16: UNDP Risk Log (to be completed by UNDP Country Office) (Mandatory)

Annex 17: Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office) (Mandatory)

Annex 18: LOA with the government (Mandatory)

Annex 19: Carbon estimation

Annex 20: Capacity Development Scorecard (Mandatory)

Annex 21: GEF Tracking Tool (s) at baseline (Mandatory)

Annex 22: Co-financing letters (Mandatory)

Annex 1

Brief Profiles of Project Biosphere Reserve

A. Dong Nai Biosphere Reserve

1. Background

The Dong Nai Biosphere Reserve (DN BR) was officially recognized by UNESCO on 29 June 2011. The DN BR covers a total area of 969,993 hectares, including 173,073 hectares core zone, 349,995 hectares buffer zone and 446,925 hectares transition zone. The DN BR is part of 5 provinces in the central southern region of Vietnam, including Dong Nai, Lam Dong, Binh Duong, Binh Phuoc, and Dak Nong, located 40 km from Bien Hoa City and 70km from Ho Chi Minh City. The core zone of the DN BR consists of two established protected areas, including Cat Tien National Park (72,770 ha), including the Bau Sau Ramsar Site (0,000 ha), and Dong Nai Culture and Nature Reserve (100,304 ha), including the Tri An Terrestrial Wetland Reserve (69,672 ha). The DN BR is one of the important conservation areas in Vietnam, recognized for its landscape and habitat diversity as well as species diversity and the delivery of ecosystem services (drinking water, flood control, etc.) to surrounding and remote communities. Also DN BR is recognized for its historical and cultural heritage, including a revolutionary base and the Headquarters for Eastern Region Party Committee, the Central Committee for South Vietnam, and the Suoi Linh Tunnel. The DN BR was set up to serve as a multipurpose conservation model for sustainable development and the harmonization between human and nature based on the biodiversity and traditional customs maintained.

2. Landscapes and vegetation - main types, key characteristics and conservation

The DN BR is located in the Indo-West Pacific biogeographic region. It extends from the Annamite Range moist forest in the north to the forests of the Mekong Delta Complex in the south. The DN BR encompasses important remaining tropical rainforest in southern Viet Nam, as well as mountainous forest ecosystems of the Da Lat highlands. The ecosystems of the DN BR are dominated by secondary lowland semi-evergreen tropical humid forest typical, although some primary forests remain. Elevations vary between 100 m and 340 m above sea level, distinguishing zones of hills and plains.

The climate of DN BR is tropical monsoonal. Temperatures are fairly equally high all the year, on average 25-27^{0}C, with temperature difference between the hottest and the coldest month being only 4.2^{0}C. Average relative humidity is 80-82%. Precipitation is quite high, varying over regions and seasons between 2,000-2,800 mm, with the number of rainy days varying from 130-160 days. The dry season lasts for 6 months from November to April. The rain season lasts for 6 months from May to October, with precipitation amounting to 90% of the total annual rainfall.

Major habitats and land cover types include (i) primary evergreen forest characterized by *Dipterocarpus alatus*, *D. dyeri*, *Hopea odorata*, *Shorea* spp.; (ii) secondary evergreen forest with *Dipterocarpus alatus*, *D. dyeri*, *Hopea odorata*, *Shorea* spp.; (iii) semi-evergreen forest incuding *Lagerstroemia calyculata*, *L. cochinchinensis*, *L. ovalifolia*; (iv) mixed forest with bamboo (*Bambusa balcooa* and *Diospyros mun*), *Mesua ferrea*, *Lagerstroemia* spp. and *Xylia* spp.; (v) bamboo forest dominated by *B. balcooa* and *Diospyros mun*; (vi) wetlands with *Hydnocarpus anthelmintica* and *Ficus benjamica*, *Saccharum spontaneum* etc.; and (vii) agroecosystems with wet rice, coffee, pepper and cashew as well as pastures and forestry systems.

The forests of DN BR serve as important strategic watershed forests of the Dong Nai river basin and Tri An reservoir, providing fresh water in dry season and controlling floods/inundation in rainy season for a large area of southeast of Viet Nam, including Ho Chi Minh city, export processing zone, industrial zone, residential areas, etc.

3. Fauna - key species and conservation status

Fauna diversity of DN BR is very diverse and rich. There are 2,024 species of wild animals belonging to 259 families, 55 orders. The variety of habitats in DN BR supports a rich diversity of biological life, including 120 mammals, 348 birds, 99 reptiles, 56 amphibians, 199 fishes, and 1,189 insects. Amongst the ungulates, Sambar deer (*Cervus unicolor*), Wild Boar (*Sus scrofa*) and Gaur (*Bos gaurus*) reportedly occur at high densities relative to other areas in Vietnam. Fish diversity consists predominantly of native fish species (184 species or 91%), with only 15 species being introduced or migratory.

Endemic species occurring in DN BR include 48 species endemic to the wider Indochina region. Specific Vietnam-endemic species include 2 mammals (Black-shanked Douc Langur *Pygathrix nigripes*, EN and *Muntiacus muntjak annamensis*, CR), 5 reptile and amphibian species (Annam Spadefoot Toad *Megophrys intermedia*, LC; Annan Wart Frog *Limnonectes dabanus,* LC; Painted Rice Frog *Microhyla picta*, DD*; Silvirana milleti* and Irregular Bow-fingered Gecko *Cyrtodactylus irregularis*) and one species of fish (Crocodile Catfish *Bagarius suchus*, NT).

Globally endangered species occurring in DN BR and listed on the IUCN Red List are presented below. The Javan rhinoceros (*Rhinoceros sondaicus*, CR) was known to occur in DN BR, however it became extinct in 2010.

Critically Endangered	Endangered	Vulnerable
Large-antlered Muntjac *Muntiacus vuquangensis*	Asian Elephant *Elephas maximus*	Gaur: *Bos gaurus*
White-shouldered Ibis *Pseudibis davisoni*	Banteng*: Bos javanicus*	Pygmy Slow Loris: *Nycticebus pygmaeus*
Sunda Pangolin *Manis javanica*	Black-shanked Douc Langur: *Pygathrix nigripes*	Sun Bear: *Helarctos malayanus*
Siamese Crocodile *Crocodylus siamensis*	Indochinese tiger: *Panthera tigris corbetti*	Asiatic Black Bear: *Ursus thibetanus*
	Red-cheeked Gibbon: *Nomascus gabriellae*	Leopard: *Panthera pardus*
	Wild Water Buffalo: *Bubalus arnee*	Clouded Leopard: *Neofelis nebulosa*
	Hog Deer: *Axis porcinus*	Sumatran Serow: *Capricornis sumatraensis*
	Green Peafowl: *Pavo muticus*	Sambar deer: *Rusa unicolor*
	Golden Dragon Fish: *Scleropages formosus*	White-winged Duck: *Cairina scutulata*
	Burmese Python: *Python bivittatus*	Lesser Adjutant: *Leptoptilos javanicus*
	Yellow-headed Temple Turtle: *Heosemys annandalii*	Stump-tailed Macaque: *Macaca arctoides*
	Yellow-headed Tortoise: *Indotestudo elongata*	Southern Pig-tailed Macaque: *Macaca nemestrina*
	Dhole: *Cuon alpinus*	Northern Pig-tailed Macaque: *Macaca leonina*
	Large-spotted Civet: *Viverra megaspila*	Asian Small-clawed Otter: *Aonyx cinereus*
		Smooth-coated Otter: *Lutrogale perspicillata*
		Binturong: *Arctictis binturong*
		Fishing Cat: *Prionailurus viverrinus*
		Asian Woollyneck: *Ciconia episcopus*
		Chestnut-necklaced Partridge: *Arborophila charltonii*
		Black And White Spitting Cobra: *Naja siamensis*
		King Cobra: *Ophiophagus hannah*
		Giant Asian Pond Turtle: *Heosemys grandis*
		Southeast Asian Box Turtle: *Cuora amboinensis*
		Mekong Snail-eating Turtle: *Malayemys subtrijuga*
		Black Marsh Turtle: *Siebenrockiella crassicollis*
		Asiatic Softshell Turtle: *Amyda cartilaginea*
		Sarus Crane: *Antigone antigone*

Dong Nai Nature Reserve belongs to South Vietnamese Lowlands Endemic Bird Area (EBA), the Nam Cat Tien Important Bird Area (IBA), and the Cat Loc IBA, housing the population of three endemic bird species in the area namely Orange-necked Partridge (*Arborophila davidi*, NT*),* Germain's Peacock Pheasant (*Polyplectron germaini*, NT) and Grey-faced Tit Babbler (*Macronous kelleyi*, LC), as well as globally threatened waterbird species like White-shouldered Ibis (*Pseudibis davisoni*, CR), White-winged Duck (*Cairina scutulata*, VU) and Lesser Adjutant (*Leptoptilos javanicus*, VU).

4. Flora - key species and conservation status of species

Forest flora of the DN BR is characterized by a mixture of botanical constituents from a variety of biogeographic realms, including the Indo-Malayan realm, the India-Burma realm, the Himalaya-Yunnan-Guizhou realm and the South China realm. Recent biodiversity surveys conducted in Dong Nai NR confirmed the richness of biodiversity in the area. There are 1,401 species of plant belong to 589 genera, 156 families, 92 orders and 10 phyla, including big timber tree species, small timber tree species, small tree species, liana species, grass species as well as bonsai and orchid species. About 1,000 species have recognized medicinal features.

The Floral Red Data Book of Viet Nam (2007) includes 30 species of 27 genera, 18 families, 16 orders (see table below), a number of which are included in the IUCN red list (see table below). Of these rare species *Anisoptera costata* and *Dipterocarpus dyeri* are two timber tree species of family Dipterocarpaceae typical in the ecologically dominant layer of forests, and of great significance to species composition structure of Dipterocarpaceae forest ecosystem of tropical humid deciduous and semi-deciduous closed forests in the Dong Nai river basin and southeastern Vietnam in general.

Critically Endangered	Endangered	Vulnerable
Telectadium dongnaiense	*Afzelia xylocarpa*	*Acmena acuminatissimum*
	Anisoptera costata	*Afzelia xylocarpa*
	Aquilaria crassna	*Canarium tramdenum*
	Dalbergia bariensis	*Canthium dicoccum* var. *rostratum*
	Dalbergia cochinchinensis	*Chukrasia tabularis* var *dongnaiensis*
	Dalbergia mammosa	*Cycas inermis*
	Dendrobium crepidatum	*Diospyros martima*
	Dendrobium ochraceum	*Dipterocarpus dyeri*
	Dioscorea colletii	*Dysoxylum cauliflorum*
	Lithocarpus vestitus	*Dysoxylum loureirii*
	Pterocarpus macrocarpus	*Fagerlindia depauperata*
	Sindora siamensis	*Fagraea fragran*
	Wrightia kongtumensis	*Helixanthera annamica*
		Homalomena pierreana
		Kibatalia laurifolia
		Lithocarpus truncatus
		Markhamia stipulata
		Mitrephora thorelii var. *bousigoniana*
		Peliosanthes teta subsp. *teta*.
		Scaphium macrodium
		Sindora siamensis
		Vitex ajugaeflora
		Xylopia pierrei

Overall, 84 floral species observed in DN BR are endemic in Vietnam, of which 18 species are endemic in the DN BR, bearing the names (Vietnamese or scientific) of places of interest of Dong Nai province including *Goniothalamus dongnaiensis*, *Aristolochia dongnaiense*, *Croton dongnaiensis*, *Acacia dongnaiensis*, *Cynometra dongnaiensis*, *Chukrasia tabularis* var *dongnaiensis*, *Aglaia hoaensis*, *Mangifera dongnaiensis*, *Zizyphus hoaensis*, *Telectadium dongnaiense*, *Mussaenda hoaensis*, *Hypobathrum hoaensis*, *Tarenna hoaensis*, *Lasianthus hoaensis*, and *Calamus dongnaiensis*.

5. Legal status and management aspects of BR and its constituent parts

After Dong Nai BR was formally designated by UNESCO in 2011, Dong Nai People's Committee approved Decision No. 169/QĐ-UBND dated 12/01/2012 on establishment of management arrangements, including (i) Management board, (ii) Advisory committee, and (iii) Secretariat board:

- The Management Board of DN BR includes 1 Manager, the Vice Chairman of Dong Nai Province People's Committee (PPC), and 4 Deputy-Managers, being leaders of the Department of Culture, Sports, Tourism, Department of Agriculture and Rural Development, Director of Cat Tien National Park and Director of Dong Nai Culture and Nature Reserve. Members of the Management Board are the leaders of related departments,

organizations, agencies, and local authorities. The management mechanism of the Management Board is approved by Dong Nai PPC in Decision No. 62/2012/QĐ-UBND dated 29/10/2012.

- The Advisory Committee of DN BR includes qualified managers from relevant provincial departments, scientific institutes and enterprises interested in BR work, and who understand historical, cultural and biodiversity values of DN BR. The Advisory Committee considers and provides additional comments to action plans proposed by the Management Board, and supports appropriate solutions for the implementation of good management.
- The Secretariat Board assists the Management Board and Advisory Board of DN BR. Staff of the Secretariat Board is assigned from the Department of Agriculture and Rural Development, Department of Culture, Sports and Tourism, Cat Tien National Park, and Dong Nai Culture Nature Reserve, and works on a part-time basis.

As the DN BR includes also several districts of the provinces of Lam Dong, Binh Phuoc, Binh Duong and Dak Nong, cooperation among those provinces and districts in the management, protection of biodiversity, natural resources, historical, and cultural relics are necessary. A core role of the DN BR relates to the coordination of relevant departments, agencies, local authorities, the socio-political organizations, socio-professional organizations and the Management Board of special-use forests in all provinces and districts. All relevant organizations based on their functions and duties will work together under the management regulations of the DN BR.

Within the DN BR, its core zones have been formally established as Protected Areas. The Cat Tien National Park was established by Decision of the Prime Minister No 01/CT dated 13/01/1992, on the basis of the forbidden forest of Southern Cat Tien, and in recognition of the National Park as being of high priority for biodiversity conservation at the national, regional and global level. The Decision of the Prime Minister 38/1998/QD-TTg dated 16/2/1998 allocated the management of Cat Tien National Park to MARD. Located in Cat Tien National Part, the Bau Sau (Crocodile Lake) Ramsar site (13,759 ha) was formally recognized by the Ramsar Convention on 04 August 2005. The Dong Nai Nature Reserve was established following Decision No 4679/2003/QD-UBT dated 02/12/2003. Subsequently, on 27 August 2010, Dong Nai Nature Reserve officially changed its name to Dong Nai Culture and Nature Reserve, based on Decision No 2208/QD-UBND. Bordering the Dong Nai Nature Reserve, the inland water protected area of Tri An – Dong Nai was approved by the Prime Minister Decision No 1479/ QD-TTg of dated 13/10/2008. The protected area includes the entire area of Tri An lake and adjacent areas belonging to dong Nai river basin.

6. Socio-economic aspects of BRs

DN BR includes the land of five provinces. There have got some communities living in and around Dong Nai biosphere reserves zone, their main income are based on exploitation of forest products, a significant challenge for forest resources management and biodiversity conservation in DN BR. In 2016, the total number of citizens living within the boundaries of DN BR was 2,076.015, spread over 5 provinces, 19 districts and 158 communes (see table below).

Table 1.1 Population of Dong Nai Biosphere Reserve in 2016

	CORE ZONE		BUFFER ZONE		TRANSITION ZONE		TOTAL	
	Commune	Persons	Commune	citizens	Commune	citizens	Commune	Citizens
Dong Nai Province, Districts and Communes								
Vinh Cuu	2	8,368	8	185,762	4	155,377	14	349,507
Trang Bom	0	0	2	24,303	15	254,197	17	278,500
Thong Nhat	0	0	5	101,198	5	73,001	10	174,199
Dinh Quan	0	0	8	141,627	6	103,803	14	245,430
Long Khanh	0	0	0	0	2	21,166	2	21,166
Xuan Loc	0	0	1	22,452	0	0	1	22,452
Tan Phu	0	0	8	65,699	10	137,850	18	203,549
Bien Hoa city	0	0	0	0	5	307,126	5	307,126
Binh Phuoc Province, Districts and Communes								
Bu Dang	0	0	4	31,216	6	57,909	10	89,125
Dong Phu	0	0	5	29,499	2	20,013	7	49,512
Dong Xoai	0	0	0	0	2	21,609	2	21,609
Lam Dong Province, Districts and Communes								
Cat Tien	4	631	10	44,452	0	0	14	45,083
Da Te	0	0	6	37,852	3	10,582	9	48,434

Bao Lam	1	87	1	890	4	13,592	6	14,569
Da Huoai	0	0	0	0	5	47,783	5	47,783
Dak Nong Province, Districts and Communes								
Dak R' Lap	0	0	2	19,071	3	25,692	5	44,764
Gia Nghia	0	0	0	0	1	4,784	1	4,784
Binh Duong Province, Districts and Communes								
North Tan Uyen	0	0	3	15,322	6	26,640	9	41,962
Phu Giao	0	0	1	10,499	8	55,963	9	66,462
Total	**7**	**9,086**	**64**	**729,842**	**87**	**1,337,087**	**158**	**2,076,015**

With the DN BR's core zones, there are overlapping land use right, as some established communes in Lam Dong province and Dong Nai Province were planned into the national park and nature reserve boundaries. While in Lam Dong Province's districts of Cat Tien and Bao Lam the number of people living inside the BR core zone remain relatively low (718), a more significant number live inside the core zone in Vinh Cuu district, Don Nai province (8,368), specifically in Hieu Liem (725) and Ma Da (7,643) communes. According to the report of a sustainable community living project implemented in the 2 communes in Dong Nai province, in Ma Da commune 1,920 households have been using 2,867 ha forest, while In Hieu Liem commune, 22 organizations used 32.5 ha and 1,350 household used 3,269.2ha. Owners included (retired) staff of Dong Nai Nature Reserve, local citizens as well as households living elsewhere. According to an inspection report prepared by the Vietnam Environmental Administration (VEA) dated May 27, 2016 on biodiversity conservation for Dong Nai PAs, the total area of forest assigned to households and organizations amounted to 4,774 ha, including 1,779 individuals and organizations that signed contract with 1,681 individuals and organizations for 4,116.7ha. At the same time, 562 individuals and organizations have been assigned 816.4ha without signing a contract, while 188 households are using 292.6 ha in violation of land use approval purposes, and 204 households were using 356 ha without contract of land transfer. The DN BR Management Board is currently reviewing the contracts in order to resolve the above mentioned issues, although solutions are very difficult as it will affect the livelihood of communities and people living in this area.

Based on Decision No.4323/QĐ - UBND, dated 30/12/2013 on approval of forest environmental service payment issued by Dong Nai PPC project, 733 households receive land for planting forest and industrial trees in order to ensure long-term stable income, while 36 communities signed long-term contracts on forest conservation with Cat Tien national Park.

In the DN BR, currently Cat Tien National Park is the main area attractive to tourists, due to its natural beauty, rich biodiversity and pristine forests, including giant trees such as the 400- year-old Tung tree (*Tetrameles nudifl ora*) or Godo tree (*Afzelia xylocarpa*),wildlife and wetland habitats (bird watching, fishing). Cultural attractions in the BR include Oc Eo, an archeological site from the 3rd-6th century, and communities of ethnic minorities ("longhouse' visits, handicrafts, garden and forest products, homestay). More recent cultural sites include the South - Eastern of Party Committee (1962 - 1967), the South Central Bureau (1961 – 1962) and Suoilinh Tunnel (1962 – 1967).

At the same time, tourism in the DN BR, including Cat Tien National Park, has not yet developed in comparison with CLC BR. In 2015 the total number of tourists visited DN BR was approximately 18,900 and it increased to 19,200 in 2016, including a small number of international tourists. Related tourism revenues were US$ 118,000 in 2015 and US$ 130,000 in 2016. Further strengthening tourism in DN BR is limited due to a lack of quality products and services, including homestays, guided trails, guides with adequate skills, etc. There is also limited contact between the BR MB and tourist companies, as well as limited involvement of local communities in offering tourism products and services.

While the overall negative impact from tourism on the forest environment of the BR is considered to be minimal, local, site-specific concentrations of visitors cause significant pressures and impact. Also the flow of tourists/visitors is linked to creating demand for forest products from the local communities, driving hunting of wild animals and gathering of NTFPs. A further increase of tourism also will put an increasing burden on waste collection and processing, both solid waste and waste water.

There are 11 different ethnic groups living in the DN BR. They can be divided into three main groups, which have different histories in the area and differ in land use strategies. These groups include recently migrated minorities from Northern provinces (such as Tay, Nung, Dao and H'mong), the Kinh or lowland Vietnamese, and the S'Tieng, Chau Ma and Chau Ro indigenous ethnic minorities that have lived in the region for several centuries. Especially

these last groups of indigenous people have a long tradition of shifting slash and burn cultivation. This historically important practice of local people is no longer sustainable as populations increase and fallow periods get shorter.

The livelihoods of the communities in the DN BR are based on agricultural activities that include the cultivation of rice, cashew nuts, maize and cassava as well as shifting cultivation and some animal husbandry, including raising cattle, buffalo, pigs and chickens. Relative recent settlers also practice fishing and hunting, and have been getting increasingly involved in farming. Besides rice cultivation and livestock rearing, Kinh people and other immigrants also carry out business activities and own most of the shops in the region. Other occupations include weaving, administrative jobs; many people depend upon remittances from family members who have moved to towns. As a result of agriculture not providing enough food, the hunting of wildlife and the collection of non-timber forest products (NTFPs, e.g. bamboo, rattan, fuel wood, resins, medicinal plants) for subsistence purposes and for sale remains important.

Local people's incomes are generally low because most of them depend on rice cultivation. Some households are now engaged in growing coffee, from which they expect to earn more income. Especially in the core zones people are not allowed to own land, which restricts access to formal credit, and discourages long-term investment in land and housing. Even if they are considered as de facto inhabitants, the situation of these communities leads to unsustainable practices, as the prospect of relocation deters them from long term investments

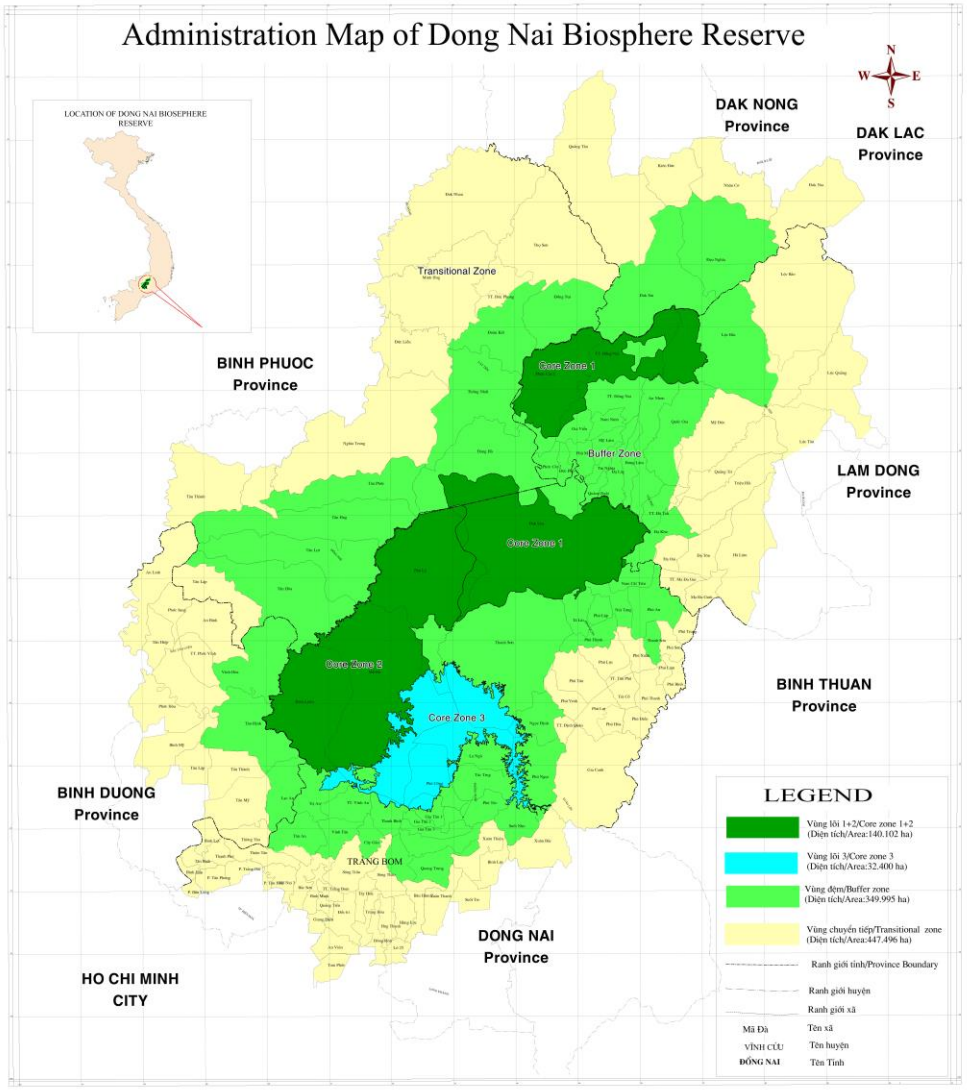
7. Threats to biodiversity and ecosystems

Human disturbance has led to deforestation, habitat destruction and fragmentation, increasing the pressures on forest resources. The majority of the threats to DN BR ecosystems stem from the BR's location in a densely populated area. The people have long been exploiting the BR's natural resources, in both the core and buffer zones; however, a growing human population is accentuating the intensity of the threats.

Encroachment of agricultural land into the protected area is one of the major issues the park is facing. Other destructive activities include the practice of swidden agriculture and livestock rearing, NTFP collection, hunting and fishing, all contributing to the fragmentation and degradation of habitats. In the DN BR, encroachment and agricultural expansion into forested areas (including within the Cat Tien NP) has reduced and fragmented the habitat of numerous endangered species. For example, the most significant threats to the Guar (*Bos gaurus*) within the Dong Nai BR are habitat destruction and disturbance, as well as illegal hunting (for food, medicinal products and handicrafts products); the pre-eminent threats to the Asian Elephant (*Elephas maximus)* are habitat loss, degradation, and fragmentation, driven by an expanding human population that had led to increasing conflicts between humans and elephants (e.g. when elephants eat or trample crops); and the Yellow-Cheeked Gibbon (*Nomascus gabriellae*) is most threatened by the loss of habitat and food resources, primarily due to logging and agricultural encroachment, as well as hunting for the pet trade. The practice of rearing domestic livestock in the park also increases the risk of disease transfer to wildlife populations, leads to inter-breeding with native species, and increases competition for food with wild species. A negative impact of agricultural activities, both inside the buffer and transition zones, as well as outside the borders of the BR is pollution, affecting water resource, due to the heavy use of fertilizers and pesticides.

The growing population inside the DN BR will face further shortages of land for cultivation which can, in turn, further exacerbate the threat of land encroachment. The increase in people also creates an increased need for infrastructure to meet the basic needs of the local communities. While some development of infrastructure is necessary to meet the development objectives of the districts; however, providing it can contradict conservation objectives set by the BR, and it can become a threat to the protected core areas. For instance, the appearance of roads, housing, schools and other facilities is fragmenting the habitat of many species and increasing their vulnerability.

8. Map of Dong Nai BR


Administration Map of Dong Nai Biosphere Reserve
N
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LOCATION OF DONG NAI BIOSEPHERE RESERVE
DAK NONG Province
DAK LAC Province
Transitional Zone
BINH PHUOC Province
Core Zone 1
Buffer Zone
LAM DONG Province
Core Zone 1
Core Zone 2
Core Zone 3
BINH THUAN Province
BINH DUONG Province
TRANG BOM
DONG NAI Province
HO CHI MINH CITY
LEGEND
Vùng lõi 1+2/Core zone 1+2 (Diện tích/Area:140.102 ha)
Vùng lõi 3/Core zone 3 (Diện tích/Area:32.400 ha)
Vùng đệm/Buffer zone (Diện tích/Area:349.995 ha)
Vùng chuyển tiếp/Transitional zone (Diện tích/Area:447.496 ha)
Ranh giới tỉnh/Province Boundary
Ranh giới huyện
Ranh giới xã
Mã Đà Tên xã
VĨNH CỬU Tên huyện
ĐỒNG NAI Tên Tỉnh

B. Cu Lao Cham – Hoi An Biosphere Reserve

1. Background

The Cu Lao Cham Biosphere Reserve (CLC BR) was officially recognized by UNESCO in 2009. The CLC BR is located in the central part of Viet Nam and consists of two core areas: the World Cultural Heritage Site (WCHS) of Hoi An and the Cu Lao Cham archipelago. The Cultural World Heritage Site of Hoi An is an ancient trading port bearing witness to the fusion of Vietnamese and European cultures. The CLC BR covers a total area of 33,146 ha, including two cores zones covering 2,471 ha, including the terrestrial Hoi An WCHS covering 257 ha and the marine Cu Lao Cham Marine Protected Area covering 2,214 ha. The CLC BR also has a designated buffer zone of 8,455 ha (of which 2,410 ha terrestrial and 6,045 ha marine) and a transition zone of 22,220 ha. (3,523 ha terrestrial and 18,697 ha marine). The CLC MPA includes a group of 8 islands, the Cu Lao Cham (or Cham islands), located 19 km offshore from Hoi An town. The biggest island is Hon Lao (1,317 ha), and being the only island where there are people living.

2. Landscapes and vegetation - main types, key characteristics and conservation values

The islands of Cu Lao Cham contain mountainous areas and rainforest ecosystems strongly influenced by seasonal tropical monsoon climate. There are two core areas where long-term conservation focuses on preserving land/seascape diversity with a view to conserving ecosystems, habitats, species and genetic resources intact, and preventing disturbance by human populations. The corridor between the two core areas is considered the ecological buffer zone and transition area linking the river mouth (Cua Dai) and the archipelago. This zone contributes substantially to the recovery of marine ecosystems in the area.

Topographical formations of maritime-marsh origin lie to the east of the township of Hoi An in the villages of Cam Chau, Cam An and Cam Thanh, and stretch along the coast south of the Thu Bon River running past Trung Phuong (Duy Xuyen district). The most typical are deposits found at Cam Chau, which reach a maximum height of 0.8–1.2 m and comprise black, muddy sediment indicating the presence of organic matter. These deposits provide evidence of ancient seas which receded leaving behind swamps and marshes that gradually filled up. They are approximately 2,000 years old.

Coral reef in CLC BR covers 311 ha, home to 311 species. Coral reefs are widely distributed in the shallow waters of CLC, and their morphology and profile vary considerably. The MPA also includes 60 ha of seagrass coverage, 43 along the CLC MPA islands, and 17 ha in the river mouth near Hoi An. Also 76 species of seaweed occur.

3. Fauna - key species and conservation status of species

The archipelago is renowned for its marine species including corals, mollusks, crustaceans and seaweed. The area boasts a very rich biodiversity. According to research, there are 947 kinds of creatures living around the marine area of the islets, including 178 species of fish, 122 species of seaweed, 144 species of shellfish, 25 species of crustacean and many other marine species. Characteristic fish species include the Coral Grouper (*Epinephelus coralicola*), Bumphead Parrotfish (*Bolbometopon muricatum*), angelfishes (*Pomacanthidae*) and the endangered Humphead Wrasse (*Cheilinus undulates*).

Overall, researchers have recorded in Cu Lao Cham's waters some 261 species of 59 genera of 15 families of Scleractinian coral, 15 species of 11 genera of six families of soft coral, three species of fire coral (Milleporidae), one species of blue coral (Helioporidae), and two species of horny coral (Antipatharia).

Biological group	Cham Islands	River mouth	Total
Phytoplankton	240	216	360
Zooplankton	124	68	162
Seaweed	101	0	101
Sea-grass	5	3	8
Mangrove	0	5	5
Coral reef	311	0	311
Sea worm	70	26	111
Mollusc	159	13	169
Crustacean	22	12	35
Sea urchin	22	0	23
Fish	311	67	368
Total	**1.365**	**410**	**1.653**

About 200 species of reef fish belonging to 85 varieties of 36 families have been recorded on reefsof Cu Lao Cham Island and surrounding islands, including for the following families: *Pomacentridae* (39), *Labridae* (33), *Chaetodontidae* (19), *Acanthuridae* (12), *Scaridae* (12), *Siganidae* (6), *Serranidae* (6) and *Lutjanidae* (5). The species *Labroides dimidiatus*, *Thalassoma lunare*, *Halichoeres marginatus*, *H. melanochir*, *Gomphosus varius*, *Abudefduf sexfasciatus*, *Neoglyphidodon melas*, *Hemiglyphidodon plagiometopon*, *Pomacentrus chrysurus*, *Chaetodon kleinii*, *C. trifascialis*, *C. trifasciatus*, *Parupeneus multifasciatus*, *Acanthurus nigrofuscus* and *Sufflamen chrysoptera* are considered prevalent in most reefs. Some species have recognized food values.

4. Flora - key species and conservation status of species

Cu Lao Cham is a region with high biological diversity. The characteristic of the ecosystem here is sea-adjacent-forest ecosystem. Cu Lao Cham has 1.549 ha of natural forest and 6.716 ha of water. The natural vegetation of the islands is lowland evergreen forest that is natural with a lot of woods and rare animals. The forest has many types of wood in the forest like Bassia, Teak Wood, Vulture, Chestnut, etc. A recent survey shows that in the result of belt below 300m in Cu Lao Cham there are 288 species belonging to 107 families of plant that are used in traditional medicine. In addition, the forest in Cu Lao Cham has 43 recorded edible wild plants belonging to 30 families that are consumed by the local people.

5. Legal status and management aspects of BR and its constituent parts

Cham Island MPA was established under the decision No. 88/2005/QD-UBND of Provincial People's Committee of Quang Nam on 20 December 2005. The long-term objectives of the project are (i) to protect natural resources and cultural and historical values of Cu Lao Cham archipelago, and (ii) to use sustainably natural resources and cultural and historical values of Cu Lao Cham to stimulate socioeconomic development.

The administrative authority over CLC BR is assigned to the PPC of Hoi An City, which has approved the management mechanism for CLC-HA BR with clear mandate and responsibility for relevant stakeholders, including: (i) CLC-HA management board; (ii) City people committee; (iii) Division of natural resource and environment; (iv) Center for heritage and culture preservation; (v) Division of economic, trade and tourism; (vi) Division of culture and communication; (vii) Forest protection Unit; (viii) Division of education and training; (ix) Division of finance and planning; (x) Communes and equivalent (ward); (xi) communities; (xii) Scientific individuals and institution, and (xiii) Private sector (business and service).

The CLC BR is coordinated by the PPC of Hoi An City as a modality of sustainable development with environment services to help local people incomes thought following services: (i) Conserving biodiversity, cultural diversity and natural resources through active human intervention with cultural values; (ii) Conservation of anthropogenic ecosystems in harmonious landscapes resulting from traditional patterns of land use (e.g. grasslands, hedgerows, terraces, ponds etc.); (iii) Adapted land use/ sea use in order to foster biodiversity; fostering land stewardship; (iv) Enhancing the natural environment e.g. cleaning up rubbish, burying unsightly electricity lines, maintaining aesthetic treelined routes, planning and building new constructions such that they blend into the landscape, etc.; (v) Restoration/rehabilitation areas assisting the natural recovery of an ecosystem that has been degraded, damaged or destroyed; (vi) serving as corridor, part of ecological networks, steppingstone patches or standalone polygons.

Since having adopted the decision on establishing the Cu Lao Cham MPA, some regulations and mechanisms for sea resources exploitation are issued for effective management of exploitation activities in the area, such as: Cu Lao Cham management Regulations; marine conservation management plan; regulation of Gecarcoidea lalandii management in Cu Lao Cham, etc.

6. Socio-economic aspects of BRs

During the sixteenth and seventeenth centuries, Hoi An was a meeting place for migrants from different parts of Viet Nam and people from other countries, especially Japan and China. Christoforo Borri's memoirs and other documents of the time make clear that early seventeenth century Hoi An contained Japanese and Chinese districts, each with its own governor and regulations. Later on the Dutch East Indies Company established a Trading Post in the township.

Today, approximately 84,000 people live in the area of CLC-HA BR, largely in Hoi An. The total population of the Cham islands is about 3,000 individuals, with around 600 households clustered in Hon Lao island spread over 4

villages: Bai Lang, Cam, Bai Ong, and Bai Huong villages. The inhabitants of the islands of CLC BR are highly vulnerable as 85% of community income is generated through fisheries, either directly from marine resources or from providing services to marine exploitation activities. Over half of the fishing households in Cu Lao Cham own boats with engines. The average engine size of the boats is relatively low at 10 hp (McEwin 2006). This small engine fishing fleet restricts the available fishing areas to distances of about 20–30 km from the villages (within a few hours traveling time from the villages).

Many households also use resources from the islands' forest, though it is only a few that fully depend on the forest. These households are some of the poorest on the island, and typically consist of families with no other income generating alternatives, e.g. single women, the elderly and non-fishermen households. Various single women live alone with their children and have their only income from firewood collection. Also many elderly people earn their only income though use of natural forestry resources, e.g. from medicinal plants.

Tourism is regarded as a sector with strong economic potential. Ecotourism in the Cham Islands – Hoi An area has grown rapidly over the past decade, with the number of visitors to the Cham Islands having grown from several thousand tourists in 2004 to 195,000 tourists in 2013. The total number of visitors to Cu Lao Cham island increased further, to 401,000 visitors in 2015 and 431,000 visitors in 2016. Tourism revenue from entrance fees to the for Cu Lao Cham island amounted to respectively 12.1 billion VND (545,000 USD) in 2015 and 12.6 billion VND (572,000 USD) in 2016. Investment in tourism development between 2009 and 2013 amounted to 14.624 billion VND (640,000 USD), among it 12.024 billion VND (530,000 USD) from the State budget. At present, there are about 32 guest transport companies from Hoi An to Cu Lao Cham with revenue of 100 billion VND (4.4 million USD) per year. In 2013, there were 485 local people from 169 households participated in ecotourism. Twelve new kinds of livelihoods have been created, restaurants, guest transport motorcycles, homestay, cakes, souvenir products, etc., which has increased local residents' annual income from 6 million dong (300 USD) in 2005 to 24 million dong (12,00 USD) in 2013. The improved income and living standards resulting from ecotourism have encouraged local residents to participate in the island's natural resource protection. Participatory environmental programs such as separating garbage at its source, an anti-plastic bag campaign, and community-based landcrab management initiatives have been widely heralded as models for the entire country. In CLC BR a Community Fund was established to strengthen homestay investment, valuing around 500 million VND (24,000 USD), from which interested households can receive around 20,000,000 - 30,000,000 VND (880-1300 USD)

Generally, in Cu Lao Cham with 70 % of householders are members of farmer association; and 80% of householders are members of women association. Therefore, through these associations communities are helped with access to capital loan in support for creating sustainable livelihood.

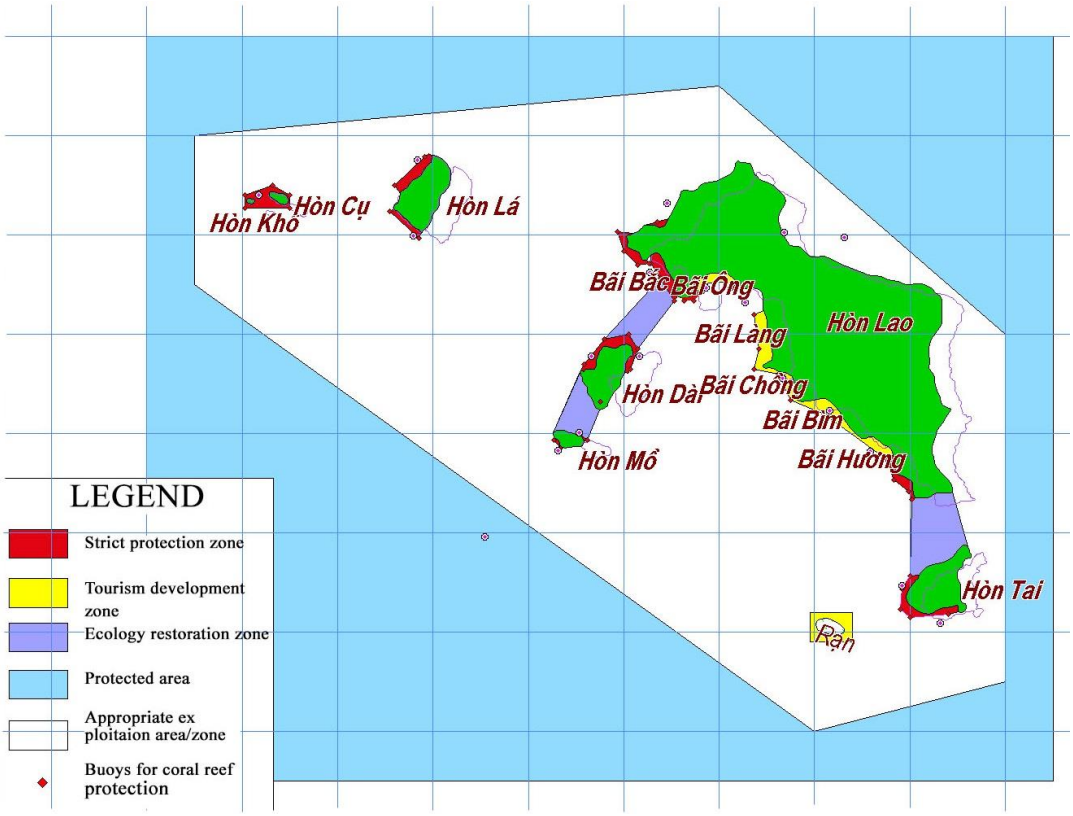
7. Threats to biodiversity and ecosystems

In recent years, water quality from Thu Bon – Hoi An estuary has been affecting directly to Cu Lao Cham marine conservation zone especially in the rain season. Therefore, this is a hot issue should be concerned in the future to have suitable measures in prevention of this pollution kind to aim at protecting marine ecosystem and biodiversity of Cu Lao Cham marine areas. In addition, pollution from the mainland from agriculture, industry and domestic waste can cause loss of habitats and biodiversity. Coastal mining, discharge of solid and liquid waste, oil spills and coastal erosion are other major concerns. Over-exploitation of marine animals as source of food and souvenirs for tourists also cause irreversible damage. Climate change and sea level rise can cause degradation of ecosystems, loss of habitat and breeding grounds as well as coral bleaching.

8. Conservation opportunities

The co-management approach has been a effective tool in the management of the Cu Lao Cham MPA. Consequently, it offers opportunities for (i) participatory zoning plan/management and regulations; (ii) multi-sector stakeholder collaboration; (iii) Community-based livelihood impact assessment; (iv) Participatory assessments/monitoring; (v) Initiation of alternative income generation; (vi) Development of participatory MPA management plan; (vii) tourism certification initiatives; (viii) community revolving funds, etc.

9. Map


Hòn Cụ
Hòn Khô
Hòn Lá
Bãi Bắc
Bãi Ông
Hòn Lao
Bãi Làng
Bãi Chồng
Hòn Dài
Bãi Bìm
Hòn Mồ
Bãi Hường
Hòn Tai
Rạn
LEGEND
Strict protection zone
Tourism development zone
Ecology restoration zone
Protected area
Appropriate ex ploitaion area/zone
Buoys for coral reef protection

C. Western Nghe An Biosphere Reserve

1. Background

The Western Nghe An Biosphere Reserve (WNA BR) was officially recognized by UNESCO on 18 September 2007. The BR covers a total area of 1,303,285 hectares, including 191,922 hectares core zone, 503,270 hectares buffer zone and 608,093 hectares transition zone. The BR is part of nine mountainous districts of the Nghe An province (16,000 km2, 3 million inhabitants) in north central Vietnam - Con Cuong, Anh Son, Tuong Duong, Que Phong, Quy Chau, Quy Hop, Ky Son, Thanh Chuong and Tan Ky. The WNA BR shares 440.8 km of its south-western and north-western border with Laos People's Democratic Republic. The BR covers the whole of the upstream watershed of the Ca River, including three of its important tributaries, the Hieu River, Nam Non River and Nam Mo River. The BR possesses remarkably high levels of biodiversity, including the presence of many valuable and rare species as well as some species discovered which have not been even named. However, this is also the poorest area in the province with most inhabitants being ethnic minority groups.

2. Landscapes and vegetation - main types, key characteristics and conservation values

Located in the northern Annamite ecoregion, ecosystems of the WNA BR are very diverse, including forests and freshwater ecosystems as well as grasslands and others. Rainforest ecosystems dominate the landscape, including (1) tropical rainforest closed forest type; (2) evergreen broad-leaved lowland forest on limestone mountain; (3) Muong mixed forest; (4) bamboo forest; and (5) forest plantations. Due to its location across north-central Vietnam and Laos PDR, these forest ecosystems include botanical constituents from a variety of biogeographic realms, including the Indo-Malayan realm (66.8%), the Palearctic realm (1.1%) and the global realm (1.0%) as well as the Vietnam endemic realm (16.6%). The Indo-Malayan realm distinguishes a variety of sub-groups, including the Malaysian (4.81%), the Southern Chinese (11.67%), the Myanmar-Indian (9.58%), the Himalayan (3.77%) and the Indochinese constituent (5.69%). The flora of WNA BR includes temperate, subtropical and as well as paleo-geographical features. Forest grows on yellow and yellow-red feralite soil; with parent material consisting primary being riolite and granite.

Overall, in 2015 the WNA BR biodiversity database included 3,961 species of plants and animals, including 3,019 species of vascular plants and 942 species of large and small animals. The BR also counts at least 151 trees with an age over 200 years old, the oldest ones of which is Xang le in Ban Xieng Nua, Yen Na Commune (1,000 years). The Pu Mat National Park core zone of the BR houses Sa Mu Oil, with 4.9 meters in diameter and 70 meters high being one of the 10 largest timber trees.

The core zone Pu Mat National Park (91,113 hectares) has the largest and typical natural forest of Nghe An in particular and of the Northern Annamite mountain range in general, and has the most diverse and richest flora and fauna in Viet Nam. The NP includes 4 of 5 physiognomic classes, including: closed forest, represented by two formation groups typical for the northern Annamites - lowland monsoonal tropical evergreen closed forest formation (<800 m) and low mountain monsoonal subtropical and tropical evergreen closed forest formation (800 – 1000 m), as well as woodland, scrub and herbaceous vegetation. Recent investigation reported around 2,500 plant species, around 2,000 species (74%) of which belong to Phanerophytes, including many rare, precious and threatened plants.

The core zone area of Pu Hoat Nature Reserve (56,837 hectares) to a large extent (about 34,000 hectares) is only limited affected by human activities. Its forests include 4 physiognomic classes: closed forest, woodland, scrub and herbaceous cover. Natural, primary forest still occurs above 2,000 m.

The core zone of Pu Huong Nature Reserve consists largely of natural primary subtropical evergreen forest, dominated by Fokienia hodginsii with trunk diameters reaching 1–2 m, *Cunninghamia konishii* and *Quercus blakei*. This area of primary forest has only very limitedly been exploited for timber and firewood. Other typical species include *Madhuca pasquieri*, *Madhuca pasquirei* and *Vatica diospyroides*. The higher vegetation layer primarily is characterized by *Madhuca pasquieri*, *Hopea mollissima*, *Michelia mediocris*, *Amesiodendron chinense*, while the lower layer hosts species of *Litsea baviensis*, *Actinodaphne chinensis*, *Elaeocarpus* sp., *Knema tonkinensis*, *Quercus glauca*, *Castanopsis ferox*, *Dendrocalamus patellaris* and *Arundinaria* and *Ormosia pinnata*.

3. Fauna - key species and conservation status

WNA BR is characterized by its rich fauna diversity, especially concentrated in its core zones, the Pu Mat NP, the Pu Hoat Nature Reserve and the Pu Huong Nature Reserve. The Pu Mat NP houses at present 130 species of large and small mammals; 295 bird species; 54 species of amphibians and reptiles; 84 species of fish, 39 species of bats, endemic to Viet Nam and North-East Thailand. There are 14 species of tortoises, 305 species of butterflies and thousands of species of other insects. Among these species, there are 89 valuable and rare species recorded in Red Book of Vietnam (2000), including Amphibia - 1 species; Reptilia - 19 species (with 10 species in Red List of IUCN); Aves - 35 species and Mammalia - 34 species. Altogether, these 89 species account for 41.4% of the species listed in the Vietnam Red Book.

Globally endangered species occurring in WNA BR and listed on the IUCN Red List are presented below.

Scientific name	English name	Vietnamese name	RDB	IUCN	CITES	Decree
			2007	2017	2010	No. 32
BIRD						
Aceros nipalensis	Rufous-necked Hornbill	Niệc cổ hung	CR	VU	PLII	IIB
Pavo muticus	Green Peafowl	Công	EN	EN	PLII	IB
Emberiza aureola	Yellow-breasted Bunting	Sẻ đồng ngực vàng		EN		
Sitta formosa	Beautiful Nuthatch	Trèo cây lưng đen		VU		
MAMMALS						
Bos gaurus	Gaur	Bò tót	EN	VU	PLI	IB
Capricornis sumatraensis	Sumatran Serow	Sơn Dương	EN	VU	PLI	IB
Pseudoryx nghetinhensis	Saola	Sao La	EN	CR	PLI	IB
Muntiacus vuquangensis	Large-antlered Muntjac	Mang Lớn	VU	CR	PLI	IB
Rusa unicolor	Sambar Deer	Nai	VU	VU		
Cuon alpinus	Dhole	Chó sói lửa, Sói đỏ	EN	EN	PLII	IB
Panthera pardus	Leopard	Báo hoa mai		VU		
Neofelis nebulosa	Clouded Leopard	Báo gấm		VU	PLI	IB
Panthera tigris	Tiger	Hổ đông dương		EN		
Prionailurus viverrinus	Fishing Cat	Mèo cá	EN	VU		IB
Arctictis binturong	Binturong	Cầy mực	EN	VU	PLIII	
Aonyx cinereus	Asian Small-clawed Otter	bé	VU	VU	PLII	IB
Lutrogale perspicillata	Smooth-coated Otter	Rái cá lông mượt	EN	VU	PLII	IB
Helarctos malayanus	Sun Bear	Gấu chó	EN	VU	PLI	IB
Ursus thibetanus	Asian Black Bear	Gấu ngựa	EN	VU	PLI	IB
Chrotogale owstoni	Owston's Civet	Cầy Vằn bắc	VU	EN		
Viverra megaspila	Large-spotted Civet	Cầy giông sọc	VU	EN		IIB
Manis javanica	Sunda Pangolin	Tê tê Java	EN	CR	PLII	IIB
Manis pentadactyla	Chinese Pangolin	Tê tê vàng	EN	CR	PLII	IIB
Macaca arctoides	Stump-tailed Macaque	Khỉ mặt đỏ	VU	VU		IIB
Macaca leonina	Northern Pig-tailed Macaque	Khỉ đuôi lợn	VU	VU		IIB
Macaca nemestrina	Southern Pig-tailed Macaque	Khỉ đuôi lợn		VU		
Pygathrix cinerea	Grey-shanked Douc Langur	Chà vá chân xám		CR		IB
Pygathrix nemaeus	Red-shanked Douc Langur	Chà vá chân nâu	EN	EN		IB
Tranchypithecus hatinhensis	Hatinh Langur	Voọc Hà Tĩnh		EN		
Trachypithecus delacouri	Delacour's Langur	Voọc Quần đùi trắng		CR		
Trachypithecus francoisi	François's Langur	Vượn đen má trắng		EN		
Trachypithecus phayrei	Phayre's Leaf-monkey	Voọc xám	VU	EN		
Nomascus leucogenys	Northern White-cheeked Gibbon	Vượn đen má trắng	EN	CR		IB
Hylobates concolor concolor	Black Crested Gibbon	Voọc đen má trắng		CR		
Nycticebus coucang	Greater Slow Loris	Cu li lớn	VU	VU	PLI	IB
Nycticebus pygmaeus	Pygmy Slow Loris	Cu li nhỏ	VU	VU	PLI	IB
Elephas maximus	Asian Elephant	Voi	CR	EN	PLI	IB
Maxomys rajah	Rajah Sundaic Maxomys			VU		
Rattus mollicomulus	Lompobatang Sulawesi Rat	Chuột đàn		VU		
Nesolagus timminsi	Annamite Striped Rabbit	Thỏ vằn trường sơn		EN		

	REPITILES					
Orthriophis moellendorfi	Moellendorff's Trinket Snake	Rắn sọc đuôi khoanh	VU	VU		
Ophiophagus hannah	King Cobra	Rắn hổ chúa	CR	VU	PLII	IB
Python bivittatus	Burmese Python	Trăn đất	CR	EN	PLII	IIB
Cuora galbinifrons	Indochinese Box Turtle	Rùa hộp trán vàng	EN	CR		
Cuora mouhotii	Keeled Box Turtle	Rùa xa nhân	EN	EN	PLII	
Cuora trifasciata	Chinese Three-striped Box Turtle	Rùa hộp ba vạch	CR	CR		IB
Geoemyda spengleri	Black-breasted Leaf Turtle	Rùa đất spengle		EN	PLIII	
Heosemys grandis	Giant Asian Pond Turtle	Rùa đất lớn	VU	VU	PLII	IIB
Mauremys mutica	Yellow Pond Turtle	Rùa câm		EN	PLII	
Mauremys sinensis	Chinese Stripe-necked Turtle	Rùa cổ sọc		EN	PLIII	
Sacalia quadriocellata	Four-eyed Turtle	Rùa bốn mắt (Rùa mắt		EN	PLIII	
Platysternon megacephalum	Big-headed Turtle	Rùa đầu to	EN	EN	PLII	IIB
Indotestudo elongata	Yellow-headed Tortoise	Rùa núi vàng	EN	EN		IIB
Manouria impressa	Impressed Tortoise	rùa Vuông, rùa Tráp)	VU	VU		IIB
Amyda cartilaginea	Asiatic Softshell Turtle	Ba ba Nam bộ	VU	VU	PLII	
Palea steindachneri	Wattle-necked Softshell Turtle	Ba ba gai	VU	EN	PLIII	
Pelodiscus sinensis	Chinese Softshell Turtle	Ba ba trơn		VU		
Pelochelys cantorii	Asian Giant Softshell Turtle	Giải(Tạnh, Tô pạnh)	EN	EN		
	AMPHIBIAN					
Gracixalus.jinxiuensis	Jinxiu Bubble-nest Frog	Nhái cây gin xiu		VU		
	FISH					
Sewellia lineolata		Cá Đép thường		VU		
Cyprinus carpio	Wild Common Carp	Cá Chép		VU		
Tor malabaricus	Malabar Mahseer	Cấy		EN		

Note: Source - Draft 10 year review of Western Nghe An Biosphere reserve (2017)

4. Flora - key species and conservation status of species

According to preliminary statistics, here there are approximate 1,200 plant species of 533 genera of 138 families. The key families include Fagaceae, Lauraceae, Theaceae, Araliaceae, Aceraceae, Rosaceae, and Orchidaceae. Representatives of Fagaceae are *Castanopsis ceratacantha*, *C. ferox*, *C. indica*, *L. trachycarpus*, *Quercus xanthoclada*. Typical needle-leaved plants *are Dacrycarpus imbricatus* and *Nageia fleuryi*. The seminude families include Cupressaceae, Taxodiaceae, Podocarpaceae with typical species as *Cinnamomum liangi*, *C. iners, C. cambodianum, C. litseaefolium*, *Beilschmiedia*, *Litsea mollis, L. aurata, L. garrettii*, *Machilus*, *Castanopsis ferox*, *Lithocarpus corneus, L. coalitus*, *Quercus bambusaefolia*, *Quercus helferiana*, *Adinandra hainanensis*, *Eurya japonica*, *Schima wallichii*, *Croton maieuticus*, *Mytilaria laosensis*, *Symingtonia tonkinensis*, *Carya tonkinensis*, *Tsoongiodendron odorum*, *Eriobotrya cavaleriei*, *Photinia arguta*, *Altingia excelsa*, *Madhuca pasquieri*, *Fokienia hodginsii*, *Dacrycarpus imbricatus*, *Nageia fleuryii*, *Podocarpus neriifolius*, *Calocedrus macrolepsis*, and *Cunninghamia konishii*. There is presence of many light-liking families including Euphorbiaceae, Myrtaceae, Meliaceae, Moraceae, Papilionoceae, Caesalpiniaceae, Ebenaceae, Lauraceae, Fagaceae, and Elaeocarpaceae. The forest has three layers, with the forest canopy including typical species like *Engelhardtia*, *Garcinia*, *Endospermum*, *Peltophorum*, *Deutzianthus*, *Adenanthera*, *Ficus*, *Randia*, *Gironniera*, *Elaeocarpus*, *Litsea*, *and Beilschmiedia*. The bushy layer supports species of *Ardisia, Psychotria sp.*, *Euonymus, Rauvolfia verticillata*, *Licuala fatua*, *Pinanga duperreana*. Bamboo forest is scattered on below 600m along springs and near mountains. A few popular trees that mix with the bamboos are *Endospermum* and *Trema*. There are sometimes species that play a crucial role in the regeneration of bamboo forest such as *Chukrasia tabularis*, *Sindora tonkinensis*, *Amesiodendron chinense*.

The conservation importance of WNA BR is implied by the occurrence of at least 70 plant species listed in the Vietnam Red Book of rare and threatened species, many of which are exceptionally valuable and/or endemic in the region such as*)*, and Chinese Fir (*Cunninghamia konishii*), *Madhuca pasquieri*, *Garcinia fagraeoides*, *Hopea hainanensis*, *Parashorea chinensis*, *Altingia excelsa*, *Mytilaria laosensis*, *Carya tonkinensis*. The outcomes of a recent update inventory are presented in the table below:

TT	Scientific names	Vietnamese names	Red data book (RDB) 2007	IUCN 2015
1	*Fokienia hodginsii*	Pơ mu	EN	VU
2	*Cycas pectinata*	Tuế lược	VU	VU
3	*Taxus chinensis*	Thông đỏ	VU	EN
4	*Cunninghamia konishii*	Sa mu dầu	VU	EN
5	*Chroesthes lanceolata*	Đài mác	CR	
6	*Enicosanthellum plagioneurum*	Nhọc trái khớp lá thuôn	VU	LC
7	*Mitrephora thorelii*	Mũ nhà chùa	VU	
8	*Xylopia pierrei*	Giền trắng	VU	VU
9	*Kibatalia laurifolia*	Thần linh lá nguyệt quế	VU	
10	*Melodinus aff. Erianthus*	Giom lá chụm	VU	
11	*Rauvolfia cambodiana*	Ba gạc cam-pu-chia	VU	
12	*Rauvolfia verticillata*	Ba gạc	VU	
13	*Winchia calophylla*	Mớp lá đẹp		VU
14	*Markhamia stipulate*	Đinh	VU	
15	*Argusia argentea*	Bạc biển	VU	LC
16	*Bursera tonkinensis*	Trám chim	VU	VU
17	*Canarium tramdenum*	Trám đen	VU	
18	*Sindora tonkinensis*	Gụ lau	EN	DD
19	*Euonymus chinensis*	Đỗ trọng nam	EN	
20	*Gynostemma pentaphyllum*	Giảo cổ lam năm lá	EN	
21	*Hopea hainanensis*	Sao hải nam	EN	CR
22	*Hopea mollissima*	Táu mặt quỷ	VU	CR
23	*Hopea pierrei*	Kiền kiền	EN	EN
24	*Vatica subglabra*	Táu xanh	EN	EN
25	*Dalbergia aff. Cochinchinensis*	Trắc cam-pu-chia	EN	VU
26	*Sophora tonkinensis*	Hoa hoè bắc bộ	VU	
27	*Castanopsis aff. Ferox*	Cà ổi vọng phu	VU	
28	*Castanopsis hystrix*	Cà ổi đỏ	VU	
29	*Fagus longipetiolata, seemen*	Cử cuống dài	EN	
30	*Lithocarpus finetii Hick*	Sồi đầu cứng	EN	
31	*Lithocarpus aff. Podocarpus*	Sồi quả chuông	EN	
32	*Quercus langbianensis*	Sồi langbian	VU	
33	*Cinnamomum balansae*	Vù hương	VU	EN
34	*Endiandra hainanensis*	Vừ	EN	
35	*Phoebe macrocarpa*	Sụ quả to	VU	
36	*Strychnos cf. ignatii*	Mã tiền lông	VU	
37	*Strychnos nitida*	Mã tiền lá bóng	EN	
38	*Magnolia braianensis*	Giổi Di linh	EN	
39	*Fibraurea tinctoria*	Hoằng đằng	VU	
40	*Ardisia silvestris*	Lá khôi tím	VU	
41	*Embelia parviflora*	Rè đẹp	VU	
42	*Acmena acuminatissimum*	Thoa	VU	
43	*Leptomischus primuloides*	Báo xuân xuyến	VU	
44	*Myrmecodia tuberosa*	Lài ổ kiến	VU	
45	*Madhuca pasquieri*	Sến mật	EN	VU
46	*Aquilaria crassna*	Gió bầu	EN	CR
47	*Callicarpa bracteata*	Tu hú mộc	CR	
48	*Disporopsis longifolia*	Trúc căn thất	VU	
49	*Peliosanthes teta*	Câu tử thảo	VU	
50	*Curculigo orchioides*	Sâm cau tựa lan	EN	
51	*Dendrobium bilobulatum*	Phiến đờn	EN	
52	*Dendrobium moschatum*	Thạch hộc xạ hương	EN	

53	*Smilax elegantissima*	Kim cang	VU	
54	*Smilax poilanei*	Kim cang poa-lan	CR	

5. Legal status and management aspects of BR and its constituent parts

The Western Nghe An Biosphere Reserve (WNA BR) was officially recognized by UNESCO on 18 September 2007. The core zone of the WNA BR consists of three designated protected areas, including Pu Mat National Park, Pu Huong Nature Reserve and Pu Hoat Nature Reserve. WNA BR is managed and coordinated directly by People's Committee (PPC) of Nghe An province. The management board of WNA BR was formally established by Decision No. 5232/QD-UBND of the Nghe An province in 2013.), while the operational regulation for the Management Board of WNA BR was issued as PPC Nghe An Decision No. 1065/QD-UBND dated March 24, 2014. In 2016, the Management Board for Sustainable Forestry Development for the period from 2016 to 2020 was established to support the MB of WNA BR in managing, coordinating and implementing forestry activities in the BR.

Under the coordination of the MB of WNA BR, the coordinated participation of provincial departments and agencies will be mobilized, in line with ministerial and sectoral designated responsibilities from the central to the district and commune levels. The executive boards of Pu Mat National Park and Pu Huong Nature Reserve, the Management Board of Pu Hoat Nature Reserve, with support from the Vietnam National MAB Committee, will coordinate research activity as well as conservation and development activities in the various zones of the BR.

6. Socio-economic aspects of BRs

The WNA BR is located on the territory of 9 districts in Nghe An province. According to provincial statistics, in 2016 in total 927,297 people were living inside the WNA BR, an increase of 4.9% compared to 2007, but below the 5.5% population growth rate of Nghe An province. The lower population growth rate is the result of out-migration to urban centers in the province (Vinh) and beyond. The residents of the WNA BR belong to 7 ethnic groups including Kinh, Thai, Kho Mu, Tho, H'mong, Dan Lai, and the O Du minority group, the last one consisting of merely about 340 people. The majority of the population (69%) belongs to the Thai ethnic group. Within the WNA BR, only one settlement with about 1,000 residents can be found in the core zone, in the Pu Mat National Park. The remaining population is about equally divided over the buffer and transition zones, 82 communes with 419,303 residents and 79 communes with 507,041 residents respectively. The poverty rate remains among the highest in the country. Although in recent years the percentage of households living in poverty reduced by 4-7% annually, absolute percentages remain high, as demonstrated for Con Cuong district, including core zone 1 of the Pu Mat National Park, were the percentage of poor households has fallen from 48.9% to 32.1% between 2010 and 2015. The total number of schools in the 9 districts of the WNA BR in 2015 amounted to 592, including nursery schools, elementary schools, junior secondary and high schools, an increase of 9 schools compared to 2010.

Population of Western Nghe An Biosphere Reserve in 2016

	CORE ZONE		BUFFER ZONE		TRANSITION ZONE		TOTAL	
	Commune	Citizens	Commune	Citizens	Commune	Citizens	Commune	Citizens
Con Cuong	4	953	9	0	0	69,650	13	70,603
Anh Son	1	0	16	78,682	5	28,798	21	107,480
Tuong Duong	3	0	19	67,019	4	13,010	23	80,029
Quy Hop	1	0	12	66,140	8	47,475	20	113,615
Que Phong	6	0	13	64,114	0	0	13	64,114
Quy Chau	2	0	6	26,913	5	29,557	11	56,470
Thanh Chuong	0	0	3	20,658	22	152,609	25	173,267
Tan Ky	0	0	0	0	21	140,191	21	140,191
Ky Son	0	0	4	26,127	14	95,401	18	121,528
	17	**953**	**82**	**419,303**	**79**	**507,041**		**927,297**

District People's Committees (DPCs) are administrative management agencies supervised by the Nghe An Provincial People's Committee (PPC), managing all economic, cultural and social activities according to the administrative mechanism and coordination, through mass organizations and professional associations. Accordingly, DPCs are responsible for managing the buffer zone of the WNA BR. According to Official Dispatch No. 314/ STC-NST dated February 22, 2017 of the Department of Finance of Nghe An province, state budget allocated to 9 districts of WNA

BR between 2007 and 2016 is VND 26,565,756 million, of which the budget for 2016 is VND 3,969,830 million (about $175 million).

Extensive forests and the geological structure of the region form the basis for the economy in WNA BR, including forest-based industries (including rubber plantations), exploitation of geological resources (limestone, clay, basalt, granite, marble, etc.). The industry sector developed rapidly over the past decades, the region's hydropower potential is well exploited. Industrial parks have been established, concentrating the processing of minerals and building materials. The handicraft industry also developed, as well as the service and trade economic sectors, including cross-border trade. Since 2007 the road network of Nghe An province was significantly upgraded and expanded, creating favorable conditions for socio-economic development in general and tourism in particular. As a result, the overall economy of districts in the BR has increased annually, leading to positive changes in livelihoods, household economy, living quality and community awareness. At present, the WNA BR counts 30 small and medium hydropower plants within its boundaries.

Introduction of the payment for forest environmental services (PFES) in 2011, when the Forest Protection and Development Fund was established, has contributed to the economic development of local people as well as generate capital for forest restoration. The total area of forests in Nghe An province managed under forest protection contracts and receiving PFES increased quickly, from 47,035 hectare in 2013 to 228,107 hectare 2015, mostly located in WNA BR. In 2015, the number of forest owners receiving PFES payments was 6,026, the total number of lump sum contracts 1,645, involving 10 organizations, 40 Commune People's Committees (CPCs), 5,976 households and families with long-term land lease agreements. Only in Pu Hoat Nature Reserve, a total area of 248,604 ha of forest land was contracted to 7,987 households and organizations, while in Pu Huong Nature Reserve allocation involved 17,000 ha of forest land. In Pu Mat National Park an areas of 18,400 hectares was contracted to more than 1,100 households while 4,600 hectares were allocated to border posts.

In recent years, tourism is increasing in the WNA BR, in part due to the implementation of a tourism development project. Tourist routes are expanded, including historical sites, festivals, ancient trees, cultural sites, handicraft centers, museums, etc. Also the number of accommodation establishments increasing, with more than 60 of them established between 2011 and 2016. By the end of 2016, nearly 500 people were working in tourist accommodation establishments and restaurants. Still tourism activities in the WNA BR are limited, between 2010 and 2015 receiving approximately 10,000 tourists per year. In 2016, the number of tourists increased to 30,000, due to an environmental incident along the coast in central Vietnam. Most of tourists are visited Pu Mat National Park. To date, the main tourism products in WNA BR include the visitor centre and wild animal rescue center and botanic garden, environmental education tour for students, sightseeing landscape beauty, historical and cultural relics, visiting fruit firms and gardens, especially oranges, experience Thai traditional craft villages, home-stay and local food experience in Thai villages, trekking routes in the forest, etc. Future envisioned opportunities for strengthening tourism in WNA BR include landscape beauty tours (waterfalls, river, streams, forest, heritage trees, etc.), historical and cultural relics, traditional culture life of minority groups (mainly Thai group), indigenous knowledge (nature-based medicinal products), etc. In order to meet the scale and development demand of tourism in Nghe An province, the Department of Tourism has been separated from the Department of Culture, Sport and Tourism and become an independent department.

Global Forest Watch: forest loss on WNA BR between 2001-2015. Pink represents forest loss, with forest defined as areas with tree cover greater than 10 percent.

7. Threats to biodiversity and ecosystems

Between 2001 and 2013, the WNA BR An lost more than 40,000 hectares of forest land, about 3% of its forest cover. Of that, approximately 25,000 ha were lost since the

UNESCO designation as a BR (2007-2013) and 4,000 ha were lost since acceptance of the designation by local communities (2011-2013), according to data from Global Forest Watch. As a consequence, human-wildlife conflicts increase, especially in lower altitudes with higher hunting pressure and forest degradation. While habitat quality is still good in the BR's core zones of Pu Mat NP and Pu Huong and Pu Hoat Nature Reserves, the extensive buffer zone with high human resources use in between these core zones makes that animal populations are isolated from each other. For example, surveys of northern white-cheeked gibbon found a major stronghold in Pu Mat NP, 130 groups with approximately 455 individuals, concentrated in difficult to access high mountain zones along the border with Laos PDR, but dismally low numbers – only around 7 and 12 groups respectively in Pu Huong and Pu Hoat NRs. Without strong law enforcement, illegal deforestation continues despite the declaration of the area as a Biodiversity Reserve. In part, the loss of forests is caused by the continuation of slash and burn farming. Throughout WNA BR annually at least more than 3,000 hectares of forest are cleared to support the livelihood of the local communities. As a result, this activity supports the rapid reduction of the area of forest and strongly impacts on the biodiversity in the area, changing the forest ecosystem, losing the biodiversity value rapidly

Another significant continuing threat is hunting and the exploitation of forest resources. Ethnic minorities throughout WNA BR consider the forest as a "living resource". Being too poor, they are forced to support their livelihood with forest resources, from hunting wild animals, including rare and precious animals in the banned list, and gathering natural resources like bamboo shoots and wild vegetables, timber for house construction and illegal trade, etc. Many specialty restaurants and many medicinal herb producing factories open to sell wine-pickled animal parts (snake, bear feet, tiger, etc.). In addition, wildlife hunting and trade across the border has increased. As a result, forest resources in WNA BR have severely degraded, and human activities have caused the extinction of some species, and brought many other wildlife species to the verge of extinction.

A recent (2017) review of negative factors influencing the success of the conservation efforts in WNA BR lists the following:

- Pressure from the need for economic development, specifically the fast sectoral development such as tourism, mining, hydropower, timber forest plantation, overexploitation and overuse of forest resources (animals and plants).
- Population growth and migration, causes pressure on exploitation of forest resources.
- The Management Board of the BR has been fully established, but it lacks sufficient and qualified human resources. At present, only one full-time secretary is present, the rest are part-time, lacking professional skills and weak in knowledge on foreign languages. Also there is a lack of sustainable financing for the MB's operations.
- The BR is located in a large geographical area with diverse landscapes and ecosystems, and having both international and domestic borders. As such the area to management is vast, while issues of defense and security need to be taken into account.
- The policy system is not consistent across all levels, e.g. policies on forest land use, economic development, household livelihoods, conservation, which gives rise to conflicts between economic development objectives and conservation objectives.
- There is a lack of a comprehensive planning mechanism for the BR, and lack of recognized biodiversity corridors.
- The economic life of the local community is difficult and the rate of poor households is high; accordingly there is an increasing demand for converting poor natural forests into plantations / production forests.
- The impact of climate change, especially increasing temperatures, affect the distribution of species, increase the occurrence of animal and plant diseases, as well as an increase in natural disasters (landslides, flash floods, extremely cold and hot weather, etc.); and
- The ongoing development of cultural tourism has the potential to adversely affect indigenous cultural characteristics.

8. Conservation opportunities

WNA BR was established on the conservation principle of protecting the overall landscape through a network of 3 PAs as core zone connected via a green corridor recognized as buffer zone through which animals, plants and

ecosystems remain interconnected. The area is home to characteristic cultural values, especially of Thai, Kho Mu and Mong minorities. The recognition of WNA BR as BR has contributed to sustainable development and improved living standard, through ecotourism activities, scientific research, environmental education, ethnic culture preservation, attracting an increasing number of tourists in recent years. The sharing of a 440.8 km friendship border with Laos People's Democratic Republic opens opportunities for establishing a transboundary PA or BR. Opportunities also exists to enhance existing PES programs through improved planning and management of forested catchments and improving

In recent years, the total number of violations for forest protection and development law in the province showed a steady decrease, from 1,366 cases in 2011 to 695 cases in 2015. Following the adoption of Decision No 2242/QĐ-TTG of the Government in October 2016, Nghe An province has closed natural forests from exploitation. As a result, the number of harvesting forestry products decreased sharply.

Conservation and development activities in the BR have created livelihood opportunities that are more friendly to the environment and adaptable to climate change. Example include forest protection contracts, reforestation, traditional crafts such as brocade weaving, rattan products, community tourism (home-stay services, transportation of tourists, guides), livestock development, planting local specialty species such as Nit pigs, Quy fat duck, Bon bo plant, Quy cinnamon , yellow flower tea. These livelihood initiatives have contributed significantly to improving income and living standards for households. Some solutions and mechanisms have brought high efficiency such as (i) allowing indigenous communities (such as the Dan Lai ethnic group) to plant and produce sustainable forest products (medicinal plants, vegetables, etc.) in the core zone of the BR with reasonable management mechanism; and (ii) participation in apprenticeship courses and awareness raising on sustainable livelihoods development, for example, exploitation and handicraft of bamboo and rattan weaving, brocade weaving, safe vegetable cultivation, etc.

Annex 2

Needs analysis for legislative reforms to strengthen integrated Biodiversity Conservation in BRs

This Annex presents an assessment on Vietnam relevant laws, identify gaps and provide recommendations for revision of legislation for ensuring integrated BR planning, active community participation in conservation and sustainable resources, conducting EIAs and SEAs for development activities within BRs, compliance of tourism development, etc.

Column 1 of the table below lists key requirements for ensuring integrated biodiversity and sustainable natural resources in socio-economic development within BRs. Column 2 summarizes existing legislation as the basis for identifying specific gaps (column 3) to achieving the requirements identified in Column 1. Column 4 describes specifically what needs to change in existing laws and regulations to address gaps identified in Column 3. An effort has been done to be specific, to the extent possible mentioning which Articles in existing legislation need to be changed and how these to be changed, or any new Articles that need to be added.

Aspects	Description and current status	Gaps	Recommended revisions[54]
Institutional arrangements and agency responsibilities	The Law on Biodiversity (BL) No. 20/2008/QH12 dated November 13, 2008 is Vietnam's legislation framework for biodiversity protection and governs all biodiversity-related issues (i.e. ecosystems, species and genetic resources, as well as protected areas). Article 6 of the BL/2008 stipulates (1) The Government performs the unified state management of biodiversity; (2) The Ministry of Natural Resources and Environment (MONRE) shall take responsibility to the Government for performing the state management of biodiversity; (3) Ministries and ministerial-level agencies shall, within the ambit of their tasks and powers, perform the state management of biodiversity as assigned by the Government; (4) People's Committees at all levels shall, within the ambit of their tasks and powers, perform the state management of biodiversity as decentralized by the Government. Decree No 65/2010/ND-CP dated 11 June 2010 by the Government was issued on detailing and guiding a number of articles of the BL/2008, e.g. (i) the national master plan on biodiversity conservation, and biodiversity conservation planning of ministries and ministerial-level agencies; (ii) criteria for classification of conservation areas; (iii) Criteria	Both the BL/2008 and Decree 65/2010 do not clarify specify the institutional state management responsibilities of MONRE, MARD, relevant other ministries and ministerial-level agencies or the Provincial People's Committees, and do not specify the leading role of MONRE in biodiversity coordination, planning and state management. Accordingly, there is a lack of co-ordination mechanisms, guidance and multi-stakeholder involvement between conservation (MONRE), agriculture and rural development (MARD) and other sectoral stakeholders related to biodiversity planning and implementation. There is a lack of horizontal coherence in planning between MARD and MONRE as both ministries use different planning systems that are not integrated into each other; MONRE is responsible for land-use planning as well as planning cities, villages and also coastal zones whereas MARD manages national parks and forest areas but MONRE and MARD have no integrated or aligned coordination mechanism. National plans and respective lower-level plans cannot be implemented as provincial, district or commune, as	1. Revise BL/2008 and its associated Decree 65/2010 to (i) lists BRs as one category of PAs; (ii) specify clearly the role of MONRE in biodiversity state management and overall coordination role, especially in BR coordination and management at national level; (iii) specify clearly the responsibility and accountability of relevant stakeholders (ministries, ministerial-level agencies, and PPC), including in relation to MONRE's designated responsibilities. 2. Support development, and get approval of a circular for implementation of Decree 36/2017 specifying the role of MONRE in BR coordination, relationship with relevant stakeholders, as well as BR criteria and procedure on effective management monitoring.

[54] The project will only address some of the gaps, in particular relating to revision of the Biodiversity Law, and new regulations, circulars and guidelines for implementation of the revised Biodiversity Law

	for identification of dangerous, rare and precious species to priority list needed for conserving; and (iv) management of and access to genetic resources and sharing benefits from genetic resources. The Land Law No. 45/2013/QH13, dated November 29, 2013) assigns MONRE as being responsible for the preparation of master land-use plans and provision of guidelines for the implementation of the Land Law (e.g. on land allocation, leasing and issuance of land-use right certificates). The Law on Forest Protection and Development No. 29/2004/QH11 assigns MARD in charge of forest management according to the three forest categories, including SUFs (PAs). MARD's duties comprise (i) preparation of national master plans for agricultural development, forest protection and development and utilization; (ii) the delivery of guidelines for implementing laws on forest protection and development for consideration by lower government levels; and (iii) ensure the rights and obligations of forest owners. The Law on Fisheries No. 17/*2003*/QH11 dated 26 December 2003 assigns MARD state management responsibilities for fishery management in Vietnam, as well as marine and freshwater management. Decree No.36/2017/ND-CP dated 04 April 2017 by the Government stipulates the mandate, tasks and responsibility of MoNRE Agencies. Article 2, point 10m specifies that MoNRE is the national focal point for international conventions on natural and biodiversity conservation based on mandate assigned by the government; it should instruct and guide dossier formulation for nomination and management of internationally important wetland areas according to Ramsar convention, ASEAN Heritage Sites and Biosphere Reserves.	all lack human as well as financial capacities (vertical incoherence). Decree No. 36/2017 is new and too general, it does not specify the legal status of BR, the National MAB committee, nor does it provide guidelines on operation, coordination mechanism of the BR network, criteria and procedure for effective management and monitoring of BRs in Vietnam.	
Biodiversity conservation planning	Chapter II of the BL/2008 emphasizes biodiversity conservation planning through the National Master Plan on Biodiversity Conservation. Article 9 stipulates the content of the National Master Plan on Biodiversity Conservation	The BL/2008 still lacks detailed regulations and guidance for relevant agencies. For example, Prime Minister has not yet promulgated management	1. Support revision process of: a) Fishery Law (2003);

	including (i) orientation and goals on biodiversity conservation; (ii) evaluation of natural and socio-economic conditions, the current status of biodiversity, land use planning and development of branches, domains and localities, and resources for implementation of the plan, (iii) geographic locations boundaries and measures of organizing management and protection of biodiversity corridors, (iv) geographical location, area, ecological functions and measures of management, protection and sustainable development of ecosystems, (v) areas, boundaries and types of conservations zones (i.e. protected areas, PAs) planned for establishment, measures of organizing their management, and solutions for stabilizing the livelihood of households and individuals lawfully living in conservation zones; (vi) ex-situ conservation needs, (vii) strategic environmental assessment of the draft master plan; and (viii) organization of the implementation of the master plan. Article 10 of the BL/2008 assigns the prime responsibility for formulating a National Master Plan on Biodiversity Conservation to MONRE, in cooperation with ministries and ministerial-level agencies. It also recognizes biodiversity conservation planning competencies of ministries and ministerial-level agencies in their respective jurisdictions, based on the National Master Plan. Article 11 of the BL/2008 outlines the leading role of the MONRE in implementing the National Master Plan on Biodiversity Conservation, as well as the responsibilities and competencies of ministries, ministry level agencies and provincial-level People's Committees in their respective jurisdictions or localities. Furthermore, the National Master Plan on Biodiversity Conservation is given priority over land use planning of provinces or centrally run cities or planning of branches or domains, except defense and security planning. Section 2 of Chapter II of the BL/2008 stipulates guiding principles and procedural requirements on biodiversity conservation planning of provinces and centrally-run cities with strategic planning based on the Master Plan on Biodiversity Conservation, with provincial plans to be	regulations for the types of conservation areas or the buffer zones described in the BL/2008. Meanwhile, many legal documents were promulgated that overlap with planning for biodiversity management and conservation. For example: the BL/2008 assigns the Prime Minister responsibility to promulgate management regulations of conservation areas and buffer zones, while on April 26, 2014 MARD issued Circular No. 10/2014/TT-BNNPTNT provisioning the definition of the buffer zone of special-use forests and marine protected areas to guild the implementation of the Decree 117/2010//NĐ-CP dated 24/12/2010 on organization and management of the SUF system. This makes the management of conservation areas more completed and cumbrous. Also, there is a lack of harmonization and integration of regulations stipulated in various linked legal documents. For example: the BL/2008 is effective from 01 July 2009, including regulations for the PA system, but in 2010, the Prime Minister promulgated Decision 742/2010 on approval of MPA planning system to 2020; then in 2014, the Prime Minister promulgated Decision 218/2014 on the Strategy for Management of SUF, MPAs and inland Water Protected Areas to 2020 and Vision 2030. These subsequent documents were not based on/did not follow the BL/2008 as framework Law based on the Fishery Law (2003) and Law on Forest Protection and Development (2004). This means biodiversity legislation is not really respected by the legislation development process. Regulations on basics and principles of biodiversity conservation planning are not really compliant with demands of biodiversity conservation and management; for example: according to the BL/2008, Article 8, the principles for biodiversity conservation planning consisting of (i) national socio-economic, defense and security strategies; (ii) national environmental protection strategy, (iii) land use planning; (iv) sectoral development planning; (v) results of natural, socio-economic inventory; (vi)	b) Forest protection and development law (2004) (ongoing in 2017); c) Associated decrees of the BL/2008, specifically: • Decree No. 27/2005/or new decree development on guidance of Fishery law implementation • Decree No. 23/2006/or new decree on guidance of forest protection and development law implementation • Decree No. 65/2010 on guidance of BL/2008 implementation 2. Develop technical guidelines, standards and norm to mainstream biodiversity conservation and BRs in sectoral planning and provincial and district socio-economic plans 3. Develop legislation for establishing a national coordination body, including its statutes, describing roles and responsibilities, membership and decision making and planning process for biodiversity conservation.

	developed through a coordinated approach followed by submission to the People's Council for publication and execution. Following the adoption of the BL/2008, a series of regulations and legal framework were issued to strengthen the management and protection of both marine, inland and terrestrial PAs, including: • Decree No. 65/2010/NĐ-CP dated 11 June 2010 on detailing and guiding a number of articles of the Biodiversity Law, assigned to MONRE. • Decision No. 742/2010/QĐ-TTg dated 26/5/2010 on approval of marine protected area planning system of Vietnam to 2020, assigned to MARD • Decree No. 117/2010/NĐ-CP by Prime Minister dated 24th December 2010 on Organization and Management of the SUF System, assigned to MARD. • Decision No. 1250/2013/QĐ-TTg by the Prime Minister dated 31st July 2013 on approval of the national biodiversity conservation strategy to 2020, vision toward 2030, assigned to MONRE • Decree No. 160/2013/NĐ-CP dated 12th November 2013 of the Government on Criteria for Identification and Management of Endangered, Rare and Precious Species Prioritized for Protection, assigned to MONRE. • Decision No. 45/2014/QĐ-TTg by the Prime Minister dated 08th January 2014 on master-plan for biodiversity conservation of the whole country to 2020 and orientation toward 2030, assigned to MONRE • Decision No. 218/2014/QĐ-TTg by the Prime Minister dated 7 February 2014 on approving the Strategy for Management of SUF, Marine Protected Areas and Inland Water Protected Areas in Vietnam until 2020 and Vision 2030, assigned to MARD. • Circular No. 10/2014/TT-BNNPTNT dated 26 April 2014 by MARD on criteria to define buffer zones of SUF and protection areas of MPA, assigned to MARD. One of the objectives of the Law on Forest Protection and Development is to improve forest biodiversity values.	implementation result of previous biodiversity action plan; (vii) current and future exploitation and utilization of biodiversity; and (ix) available resources. Accordingly, biodiversity conservation planning incorporates opinions/actions of many other sectoral planning/ plans, therefore biodiversity planning acts more responsive and adaptive, instead of building from the real demands and requirements for actions to conserve biodiversity. There are contradictory statements in legal documents on regulations for the formulation, approval and adjustment of the national master plan on biodiversity conservation, and the need for biodiversity planning by ministries and ministerial-level agencies (Article 10 of BL/2008; and Article 5 of Decree 65/2010). While article 10(2) specifies that "on the basis of the national master plan on biodiversity conservation, ministries and ministerial-level agencies shall organize the formulation, approval and adjustment of planning on biodiversity conservation under their management's function", Decision No. 45/2014 stipulates that tasks and responsibility of ministries and ministerial-level agencies are to implement content of the master-plan on biodiversity conservation based on their own functions accordingly. As such the role of ministries and ministerial-level agencies to organize the formulation, approval and adjustment of planning on biodiversity conservation under their management's function is unclear.	

	Article 40 provides for protection of forest ecosystems. The Law has strict provisions on changing use purposes of Special-Use Forests or reducing the forest area. Under the Decree 117/2010/ND-CP on organization and management of the Special-Use Forests system, a dossier of request for change of use purposes or area reduction of a special-use forest zone should include a decision on approval of EIA report as required by laws (Article 4, 18, 23). In 2017, Forest protection and development is ongoing review process, under leadership of MARD. The Law on Fisheries states the protection and development of fisheries resources in article 7; the protection of habitat in point 2 is described as "Organizations and individuals conducting fisheries activities and other activities that directly affect the aquatic habitat, migration, spawning of fish species shall comply with provisions as set out by this Law and other legislation dealing with environmental protection, water resources and other relevant legislation". Article 8 on conservation, protection, rehabilitation and development of fisheries resources states in point 1 that "The State shall issue policies regarding the conservation and protection of fisheries resources, particularly of the endangered, rare and precious ones and ones that have economic value and scientific importance; shall encourage the scientific research for suitable measures to develop fisheries resources; shall invest in production of fish fry for releasing into their natural habitat and shall create artificial residence places in order to rehabilitate and develop fisheries resources".		
Establishment and management of conservation areas	The principles for classification, establishment, land-use, zoning and management of conservation areas (PAs) are stipulated in Articles 15-31 of the BL/2008 and Article 7-9 of Decree No. 65/2010. At the same time, categories of conservation areas were also stipulated in the Law on Forest Protection and Development (2004), the Fisheries Law (2003), namely as "Protected Areas". Also the Law on Environmental Protection (2014) as well as Decree 109/2003/ND-CP on wetlands, identify conservation areas, but different	A common gap in the aspect of conservation areas are the conflicting, inconsistent and overlapping terminologies of conservation areas, classification criteria, categories, functional zonings, as well management mechanism in policies, laws and regulations on forest protection and development, fishery and biodiversity, leading to a confusing set of institutional mandates and inefficient conservation planning, implementation, financing, monitoring and	1. Support revision process of: a) Fishery Law (2003). b) Forest protection and development law (2004). c) Biodiversity law (2008), and d) Associated decrees:

	category types. Meanwhile, the Land Law (2013) does not describe any conservation area categories. In addition, the specific criteria attached to each category were only defined by regulations. Regarding the different types of conservation areas already set up under the Law on Forest Protection and Development and the Fisheries Law (by MARD) before the effective date of the BL/2008, it is stipulated that their re-establishment is not required if they satisfy the criteria for establishment of conservation areas prescribed in the BL/2008. The responsibilities for formulating and appraising national-level conservation zone establishment projects are stipulated in Article 8 of Decree 65/2010. Accordingly Provincial People's Committee's assume responsibilities for conservation areas within their province, MARD assumes responsibilities for conservation areas for special-use forests or sea areas located in 2 or more provinces. And MONRE assumes responsibilities for conservation areas for wetland, limestone mountains and unused land areas and areas with mixed ecosystems located in 2 or more provinces.	enforcement. In any of these documents, BRs are not legally included as a type of conservation area. Also there are inconsistencies in conservation area management mandate; for example, even though issued after Decision No. 1250/2013 on approval of the national biodiversity conservation strategy to 2020, vision to 2030; and Decision No.45/2014 on master-plan on biodiversity conservation to 2020 and orientation toward 2030, Decision No.218/2014 dated 7 February 2014 on approving the Strategy for Management of SUF, MPA and Inland Water Protected Areas until 2020 and Vision 2030 assigned MARD to be responsible for in-land wetlands, while wetland conservation areas are under management of MONRE according to the BL/2008, not under MARD.	• Decree 27/2005or new decree development on guidance of Fishery law implementation • Decree 23/2006 or new decrees on guidance of forest protection and development law implementation • Decree 65/2010 on guidance of Biodiversity Law implementation 2. Support to implementation of Decision 1250/2013 on approval of the national biodiversity conservation strategy to 2020, vision toward 2030; and Decision 45/2014 on master-plan for biodiversity conservation of the whole country to 2020 and orientation toward 2030.
Designation and management of internal zoning in conservation areas	Article 3(20) of the BR/2008 states buffer zones as "area surrounding and adjacent to a conservation zone, having the function of preventing and reducing negative impacts from outside on the conservation zone". Article 32 of BL/2008 stipulates that locations and areas of buffer zones shall be specified in decisions on the establishment of conservation areas and determined on land use maps or have their sea coordinates identified. Also, all activities in buffer zones must comply with the Regulation on management of buffer zones promulgated by the Prime Minister. According to the BL/2008, owners of investment projects in conservation area buffer zones are required to prepare an EIA report and submit it to an evaluation council under the environmental protection law. Such evaluation council	Use of the term "buffer zone" varies in different legislative documents. Decree No 65/2010 on detailing and guiding a number of articles of the Biodiversity Law does not address buffer zone and transition zone of conservation areas and BRs. Prime Minister has not yet promulgated management regulations of conservation areas and buffer zones based on BL/2008 assignment. No formal standards for buffer zone management are established. No guidance, manual and standards exist for buffer zone and transition zone identification, governance in term of zoning, management plans, multi-sectors,	1. Buffer zone and transition zone management of conservation areas and BRs be addressed in the revision process of Decree 65/2010. 2. Support development of technical guidelines, manuals, tools, standards (BR zoning criteria and demarcations), and cooperation and collaboration mechanism for sectoral management of natural resources in support of mainstreaming biodiversity conservation in buffer zones and transition zones of BR.

	must be composed of a representative of the conservation area management unit. When an investment project in a buffer zone poses latent risks of environmental incidents or dispersion of hazardous waste, the decision to approve the project's EIA report must specify a safe distance so as to prevent adverse impacts on the conservation area and the organization assigned to manage the conservation area.	multi-stakeholders cooperation and collaboration mechanism. The overlapping and sometimes conflicting lines of authority and responsibility for activities in buffer zones and transition zones lead to confusion, uncertainty and frustration among the various actors[55].	
Strategic environment assessment (SEA), Environmental Impact Assessments (EIA) and Biodiversity impact assessment	In term of SEA, EIA and biodiversity impact assessment, Article 9 (7) of BL/2008 stipulates strategic environmental assessment of the national master plan on biodiversity conservation. Decision No. 1250/2013/QĐ-TTg by the Prime Minister dated 31st July 2013 on approval of the national biodiversity conservation strategy to 2020, vision toward 2030 identified the importance of biodiversity consideration in SEA/EIA; but guidance is too general. The Law on Environmental Protection (2014) stipulates in Article 18 (1)b that entities subject to environmental impact assessment include projects using land of nature reserves, national parks, biosphere reserves. In 2015, MONRE developed/adopted technical guidelines for biodiversity impact assessment in the EIA process. Some other national legal documents include references to SEA and/or EIA: • Decree No. 29/2011/ND-CP dated 18/4/2011 on regulations of SEA, EIA, and commitment on environmental protection. • Circular No. 26/2011/TT-BTNMT dated 18/7/2011 guiding on implementation of the decree No. 29/2011. • Decree No. 18/2015/ND-CP dated 14/2/2015 on stipulation on environment protection planning, SEA, EIA and environmental protection plan. Article 3 clause 4 points out MONRE's responsibility in developing detailed	Decree 65/2010 on detailing and guiding a number of articles of the BL/2008 does not specify requirements on SEA and EIA. Other National legislations, including Decision No. 1250/2013/QĐ-TTg by the Prime Minister dated 31st July 2013 on approval of the national biodiversity conservation strategy to 2020, vision toward 2030; Decision No. 45/2014/QĐ-TTg by the Prime Minister dated 08th January 2014 on master-plan for Biodiversity conservation of the whole country to 2020 and orientation toward 2030; Decision No. 742/2010/QĐ-TTg dated 26/5/2010 on approval of marine protected area planning system of Vietnam to 2020, Decree No. 117/2010/NĐ-CP by Prime Minister dated 24th December 2010 on Organization and Management of the SUF System, and others, with relations to SEA, EIA and biodiversity assessment are vague. No formal standards and guidelines to conduct SEA and EIA in PAs or BRs were developed. MONRE-developed guidelines for biodiversity impact assessment in EIA were not formally adopted. Detailed guidelines describing the process of development and approval for environmental protection planning, as stipulated in Decree No. 18/2015/ND-CP dated February 14, 2015 have not been developed and issued. This Decree also lacks clarification on the need for SEA in BR planning and their internal zones.	1. Revise Decree 65/2010 and the BL/2008 to ensure that SEA and EIA are defined and incorporated in the national legal framework, including references to their application in BRs. 2. Develop/update and/or formally adopt legislative documents to mainstream biodiversity impact assessment in SEA, EIA of sector development projects (including tourism) and provincial/district socio-economic planning: directives, technical guidelines, manuals, tools and standards for sectoral management of natural resources and mainstreaming biodiversity conservation in BR management. 3. MONRE should develop and issue detailed guidelines (in accordance with Decree 18/2015/ ND-CP, guiding environmental protection planning, including specific considerations for BRs and their zoning. 4. Revise Circular No. 27/2015/TT-BTNMT dated May 29, 2015 on strategic environmental

[55] D.A. Gilmour and Nguyen Van San (1999): Buffer zone management in Vietnam

	guidelines describing the process of development and approval for environmental protection planning. Clauses 2 and 4 of Appendix III state that am EIA or SEA needs to be done for "Projects that use land of national parks, wildlife sanctuary; projects that use at least 1 hectares of land of national historical-cultural monument; at least 5 hectares of land of world heritage sites or national scenic beauties; or at least 10 hectares of land of biosphere reserves. And Construction projects for sea encroachment at least 20 hectares; project that use at least 20 hectares of protection forests or specialized forests, at least 100 hectares of natural forests; projects using at least 10 hectares of paddy land". • Circular No. 27/2015/TT-BTNMT dated May 29, 2015 issued by MONRE on SEA, EIA and environmental protection plans.	Circular 27/2015 lacks (i) a guideline on screening investment project kinds when investing inside BRs; (ii) a guideline on specific processes and contents for public consultation in SEA as well as EIA especially for investment projects inside BRs. There are no specific legal provisions on biodiversity impact assessment, EIA or SEA for development projects in PAs or BRs There is no guideline for tourism EIA in Pas and BRs.	assessment(SEA) , environmental impact assessment (EIA) and environmental protection plans, to provide guidance on screening investment project inside BRs and to describe specific processes and contents for public consultation in SEA as well as EIA for investment projects inside BRs.
Socio-economic and sectoral development planning	Decree No. 92/2006/NĐ-CP dated September 07, 2006 on development, approval and management for overall planning of socio-economic development. Decree No. 04/2008/NĐ-CP dated January 11, 2008 issued by government on revision, supplement for some Articles of Decree No. 92/2006/ND-CP, clarifying the scope and responsibilities of ministries, sectors and provinces in developing, approving for socio-economic planning. Circular No. 05/2013/TT-BKHDT dated October 31, 2013 guides the development, appraisal, approval, adjustment and announcement for the overall planning of socio-economic development and the sectoral planning and main products. This circular is based on old environmental protection legal documents and decree No. 92/2006/ND-CP. Decision-making on natural resources use (land, water, biological resources) is mainly vetted with the Prime Minister of Provincial People's Committee, depending on whether the issue at hand exceeds provincial boundaries. Within provinces, District People's Committees are in charge of decision-making on changes of land-use purposes for households and individuals.	These Decrees defined the socio-economic zones and major economic zones for development but lack a definition of BRs. Also the integration of environmental protection requirements and sustainable livelihood considerations into socio-economic planning at all levels is very poor. Further they lack considerations for participation of community representatives, people who will be affected by the planning, and their opinions into discussions ahead of approval of the planning. While based on old environmental protection legal documents, specifically Decree No. 92/2006/ND-CP, Circular No. 05/2013/TT-BKHDT dated October 31, 2013 still lacks a concept for BRs. This Circular also lacks guidelines related to processes of participation of community representatives (people will be affected by the planning) when conducting public consultation for approval of the planning.	1. Relevant Decrees should be revised to add a concept of BR, their internal zoning, as well as approaches for planning targeting several provinces, or several districts in one province. Guidelines should be developed on how to incorporate BR considerations into socio-economic development planning. 2. Define processes and relevant stakeholders for public consultation during development and approval of the socio-economic planning to ensure mainstreaming of biodiversity conservation considerations.

	The Land Law No 45/2013/QH13 dated November 29, 2013 stipulates the development of land-use plans that defines the specific land-use purpose for certain regions and therein certain plots of land. So far, the planning and elaboration of plans is done by sectors and government bodies on all levels, independently, mostly without consultation with other sectors The Law on Fisheries No. 17/*2003*/QH11 dated 26 December 2003 ensures economic efficiency in association with the protection, reproduction and development of aquatic resources as well as to protect the environment, natural landscapes and bio-diversity. MARD has been assigned responsible to the Government for the implementation of the state management functions on fisheries activities throughout the country.		
Tourism planning and development in PAs/BRs	In the Law of Tourism (2005) several provisions are related to environmental protection and biodiversity conservation: • Chapter I, Article 5 stipulates that development of sustainable tourism will in line with tourism plans, ensuring harmony between socio-economic development and environment protection, and that developing eco-tourism is a priority. • Chapter II, Article 13 stipulates that tourism resources consist of natural and human resources either under exploitation or not yet exploited. Natural tourism resources include elements of geology, topography, geomorphology, climate, hydrology, ecosystems and natural landscapes that can be used for tourism development. • Chapter II, Article 15 (2) stipulates that the State shall perform the uniform administration of tourism resources throughout the country and implement policies and take measures to protect, enhance and rationally exploit tourism resources (i.e. including biodiversity). • Chapter II, Article 16 (1) stipulates that the central-level State Administration agency in charge of tourism, ministries, ministerial-level agencies and People's Committees at all levels shall have to	There is no guideline for how to implement the stipulations in the Law of Tourism (2005), especially the development of eco-tourism as priority in conservation areas such as PAs, World Natural Heritages and BRs. According to Article 15(2) and 16 (1) of the Law of Tourism, the MCST shall take responsibility for performing state management of tourism resources including biodiversity. However in reality the MCST has not managed any kind of tourism resources. All types of tourism resources are managed by other ministries and ministerial-level agencies as well as by the Provincial, District and Commune Peoples Committees. Both Law of Tourism and Decree 92/2007/NĐ-CP dated 1/6/2007 and Decree 180/2013/NĐ-CP dated 14/11/2013 of Government on detailing and guiding a number of articles of the Law of Tourism have not yet stipulated and clarified responsibility of MCST in biodiversity conservation - one of important tourism resource kinds, i.e. do not provide a guideline for exploiting biodiversity for ecotourism development. These documents also do not stipulate the mechanism by which part of tourism revenues should be directly used for biodiversity conservation in PAs or BRs.	1. Support developing guidelines for implementing the principles of sustainable ecotourism as priority in BRs. 2. Facilitate regular dialogue and information flow between multi-stakeholders and multi-sectors (especially MARD and MONRE) for legislation revision and decision making to ensure consistency and transparency in planning, legislation revision/and development concerning with biodiversity as tourism attractiveness and BRs. 3. Support developing guidelines for exploiting biodiversity for ecotourism development and the responsibility of the tourism sector for biodiversity conservation. 4. Support developing technical guidelines, standards and norms to mainstream biodiversity conservation and BRs in tourism planning.

	manage tourism resources and coordinate with one another in protecting, rationally exploiting, utilizing, and developing tourism resources (i.e. including biodiversity). • Chapter III, Article 19 (1) stipulates the contents of tourism planning, including the content of environmental impact assessment, measures to protect tourism resources (i.e. biodiversity) and environment. Article 3 (2) of Decree 92/2007 stipulates that the central-level State Administration agency in charge of tourism has to lead and associate with related agencies and provincial People's Committees to develop and issue the regulation on tourism resource investigation, assessment and classification for use as basic for implementation throughout the country. The Law on Environmental Protection (2014) in Article 77 provides for the protection of the environment in festive and tourist activities whereby organizations and individuals managing tourist resorts, tourist sites and accommodation establishments must take measures to protect the environment. Decision No 1355/QĐ-BVHTTDL issued on 12/4/2012 by the MCST recognizes the "Green Lotus Labels" as trademark granted to accommodation facilities with improved standards for environmental protection and sustainable development. The "Green Lotus Labels" includes 4 categories: A) Sustainable management; B) Maximizing local benefit; C) Minimizing negative impact on cultural and natural heritages; and D) Minimizing negative impact on environment) assigned according to 81 criteria corresponding to 179 scores. The category C includes 5 criteria related to biodiversity, ecosystem and landscape conservation: • Not hunting of wild animals. • Not sell souvenirs, food making from wildlife. • There is a training program to raise awareness about the regulations on wildlife protection.	Article 19 (1) of the Law on Tourism lacks technical guidelines to mainstream biodiversity conservation and BRs in tourism planning There are no specific guidelines on environmental protection for organizations and individuals managing tourist resorts, tourist sites and accommodation in Pas and BRs. There are no regulations for ecotourism development to support biodiversity conservation in BR's buffer and transition zones. The regulation on biodiversity exploiting and conservation in relation to ecotourism development has not yet been developed. Due to limited awareness of the meaning of labels, very few hotels apply "Green Lotus Labels" in practice. There are no specific guidelines or regulations on the development of ecotourism, especially linked to biodiversity conservation and poverty reduction within PAs or BRs.	5. Support revision of Decree 92/2007 reflecting mechanism of tourism revenue contributions to conservation. 6. Support developing guidelines for organizations and individuals managing tourist resorts, tourist sites and accommodations in PAs in order to comply to environmental protection requirements. 7. Support developing technical guidelines for ecotourism development in support of biodiversity conservation in BR's buffer and transition zones. 9. Support developing regulation on biodiversity exploitation and conservation in relation to ecotourism development in PAs and BRs. 9. Support developing technical guidelines and procedures for "Green Lotus Labels" application in tourism development within PAs and BRs. 10. Support developing technical guidelines or regulations on the development of ecotourism, especially linked to biodiversity conservation and poverty reduction within the PAs and BRs.

	• There is a direction board listing the laws and regulations on wildlife protection. • There is a training program for staff on conservation. In the Law of Forest Protection and Development (2004) ecotourism projects can be developed in ecological rehabilitation and administration zones of NPs or NPAs (BR's core zone). Eco-tourism projects in line with approved plan on conservation and development of special-use forests should include measures on forest protection and development, nature reserves, biodiversity and environmental impact assessment (Article 8). Decision No. 104/2007/QĐ-BNN issued on 27/12/2007 by MARD states regulations on management of ecotourism activities in National Parks and Natural Protected Areas (issued together with the Decision No 104/2007/QĐ-BNN issued on 27/12/2007 by the MARD) In the BL/2008, Article 5(2) stipulates that for households and individuals lawfully living in conservation zones or buffer zones of conservation zones ecotourism can be developed in association with hunger eradication and poverty alleviation, ensuring stable livelihood. Article 29(4) stipulates the rights and responsibilities of a conservation zone management unit or an organization assigned to manage a conservation zone to do business or enter into joint ventures in ecotourism.		
Sustainable development of natural ecosystems	Biodiversity Law Article 34: Survey, assessment and determination of mechanisms for sustainable development of natural ecosystems; Article 35: Sustainable development of natural wetlands' natural ecosystems; and Article 36: Sustainable development of natural ecosystems in limestone mountain areas and unused land not belonging to the forest ecosystem; Decree No 65, Article 7 and Article 8 (c)	Natural ecosystems, natural forest ecosystems and natural marine ecosystem are not entirely surveyed and assessed, and their sustainable development mechanisms are not determined yet due to shortage funding and lack of coordination between MONRE and MARD, as well as lack of appropriate tools technical guidelines. The regulation stipulated in biodiversity law article 35 and article 36, and the content stiputes in the Decree No 65, Article 8(c) do not suit in reality in terms of wetland and limestone mountains. At present, Vietnam does not have any areas of wetlands or limestone mountains that have not been planned for use. Wetlands and limestone mountains with typical natural ecosystem and typical biodiversity have been planned	1. Develop and apply tools, technical guidelines for Natural ecosystems, natural forest ecosystems and natural marine ecosystem surveys. 2. Adopt Integrated landscape approach in revision of biodiversity legislations, BR mapping/zoning and planning

		into the PA system by the MARD to manage in eight ecoregions. As a result, Biodiversity Law and Decree 65/2010/ND-CP have been valid for 7 years but wetland PAs have not been established in effect.	
Conservation and sustainable development of species	Article 41 of BL/2008 and Decree 65/2010 article 12-15 stipulate conservation of species included in the list of endangered precious and rare species prioritized for protection. Article 44 stipulates wild species banned from exploitation and wild species permitted for conditional exploitation in nature.	Law enforcement, especially in conservation areas is considered challenging due to rangers/guards having limited power and capacity in law enforcement even though legal definition[56] are considered sufficient.	1. Conduct training programs to enhance skills and capacity of BR staff and relevant partners/ stakeholders involved in biodiversity conservation and BR management
Finances for biodiversity conservation and sustainable development	Article 73 of BL/2008 stipulates that funding for biodiversity conservation and sustainable development come from (i) the state budget; (ii) Investments and contributions of domestic and foreign organizations and individuals; (iii) proceedings from environmental services related to biodiversity and other sources in accordance with law. Other national legislations related with sectoral funds including: • Decision No. 82/2002/QD-TTg dated 26/6/2002 by Prime Minister on establishment, organization and activities of Vietnam Environment Protection Fund (VNEF). • Decree No. 05/2008/NĐ-CP dated 14/01/2008 on Vietnam Forest Protection and Development Fund (VNFF). • Decree No. 99/2010/ND-CP dated 24/9/2010 issued by the Government on payment for forest ecosystem services (PFES) • Decree No. 147/2016/ND-CP dated 02/11/2016 on revision, supplement some articles of Decree No. 99/2010/ND-CP dated 24/9/2010 on payment for forest ecosystem services (PFES).	Decree No. 65/2010 does not provide any guidance on finance for biodiversity and BRs, while other national legislative documents have shown some gaps and challenges, including: • No special fund targeting BR and biodiversity conservation. • A lack of concrete and specific guidance for resources management and operation of Vietnam Forest Protection and Development Fund (VNFF), causing challenge for fund mobilization, management and use. • There are inconsistent management mechanisms of VNFF from national to provincial level due to lack of clear guidance and complicated administrative procedures, leading low disbursement rates for existing funds. • While funds may contribute to biodiversity conservation, including in PAs/BRs, there is no reliable information of fund allocation. Literature review shows that financial resources and management mechanisms are different from BR to BR causing ineffective management of BR conservation and sustainable development.	1. Support to revise Decree 65/2010 specifying budget support for biodiversity conservation and PAs, including BRs. 2. Support developing legal regulations for financial support to the BR network: procedures, norms, management and operational mechanism.

[56] Decree No.103/2013/NĐ-CP dated 12 September 2013 on Administrative Sanctions for Illegal Fishing; Decree No.160/2013/NĐ-CP dated 12th November 2013 on Criteria for Identification and Management of Endangered, Rare and Precious Species Prioritized for Protection;

		There are no legal regulations or guidelines on revenue sharing from ecotourism for conservation of biodiversity in PAs or BRs.	
Benefit sharing for biodiversity	The BL/2008 Article 4(4) stipulates that organizations and individuals benefitting from biodiversity exploitation and use shall share their benefits with concerned parties; ensuring harmony between the interests of the State, organizations and individuals. Also the Articles 56c, 58 and 61; and Decree 65/2010 Article 19 stipulate benefit-sharing arising from the utilization of genetic resources. Regarding investment from the community and the private sector, the government recently issued new policies, including: - Article 75 (1) and (2 of BL/2008: compensation for damage biodiversity, stipulates that (i) Organizations or individuals that infringe upon conservation areas or biodiversity conservation facilities, endemic and valuable crop varieties, domestic animal breeds, microorganisms and fungi, species on the list of endangered precious and rare species prioritized for protection or biodiversity corridors shall pay damages in accordance with law; and (ii) Damage caused to biodiversity due to environmental pollution or degradation shall be compensated in accordance with law. - Decree No. 99/2010/ND-CP dated September 24, 2010 and recent Decree No. 147/2016/ND-CP dated 02/11/2016 on revision, supplement some articles of Decree No. 99/2010/ND-CP dated 24/9/2010 on payment for forest ecosystem services (PFES) state that organizations and individuals benefiting from forest environmental services must pay for forest environment services to forest service providers, while Article 8 states the Subjects eligible for payment for forest environment services. - Decision No. 24/2012/QD-TTg dated 01/06/2012 on investment for SUF development includes the contents and criteria of investment, funds for management and protection of forests using state budget capital and mechanisms for encouraging investment in the development of special-use forests, which applied to State agencies, organizations, population communities,	No specific guidance is available to determine benefit sharing in support of biodiversity conservation in general, neither for conservation and sustainable use in PAs or BRs. The existing legislations/policies still have shortcomings and inconsistency, failing to meet the complicated needs of PA/BR management, conservation and sustainable development, whilst they also fail to regulate the payment (amount, frequency, duration) of contributions to the sustainable and stable financing for the conservation of the system of different conservation areas/BRs in Vietnam.	1. Support expanding the PFES policy applicable to BRs, based on the experiences in SUF, and focus on unique characteristics of BRs ecosystems. 2. Support a set of guidelines for development and application of benefit-sharing mechanism, particularly in case of activities related to tourism, recreation, by improving tourism administration in BRs with the orientation towards a sustainable tourism industry.

	households and individuals involved in the investment and development of special-use forests in Vietnam. Decision No. 126/2012-TTg on piloting benefit sharing in sustainable management, protection and development of SUF, etc. stipulates to facilitate the development of a legal framework for benefit sharing, rights and obligations of SUF management boards with local communities on a co-management basis for management, protection and development, of sustainable SUFs that increases income and improves the living standard of people living in special-use forests and special-use forest zones.		
Community engagement in Biodiversity conservation and biodiversity socialization	The BL/2008, Article 2 and Decree 65/2010 stipulate that these documents apply to organizations, households and individuals in the country, overseas Vietnamese, foreign organizations and individuals carrying out activities related to biodiversity conservation and sustainable development in Vietnam. Article 4(1) of the BL/2008 “principles for the biodiversity conservation and sustainable development” stipulates that conserving biodiversity is the duty of the State and all organizations and individuals.	Legal documents do not include specific regulations on community engagement and community roles in biodiversity conservation. At the same time a multitude of community-based biodiversity conservation initiatives/models are being implemented in the country, such as bird gardens, community mangrove management, community-based coral reef protection and monitoring, community forestry, etc.	1. Support new guidelines for community-based BR conservation and sustainable development initiatives, e.g. community-based forest management/restoration, community-based ecotourism, community revolving fund, and community patrolling and monitoring, etc.

Annex 3

Framework for Participatory Landscape (and seascape) Planning and Management for Biosphere Reserves

Introduction

A landscape (and seascape) approach to BR management is intended to ensure that its ecological integrity is ensured by improved planning and management of the biological, social and economic factors that impinge on the ecological integrity of the BR as well as ensure that influences and connectivity between the different zones (core, buffer and transition) are recognized in an integrated planning exercise. This approach would require the use of strategies that succeed in a mosaic of different land and sea uses that not only conserve biodiversity but also allows sustainable and environmentally-friendly economic development activities to take place.

Intent of Landscape (and Seascape) Management Planning Approach

Because the BR landscapes (and seascapes) are spatially heterogeneous areas, it is necessary to define the kinds of land uses that most directly influence or impact on the status of the BR. Consequently, the goal of the BR landscape (and seascape) planning exercise is to focus on geographic or ecological distinctions and influences within the BR and the patterns of biodiversity over the landscapes (and seascapes) with the focus on conserving the most species, biodiversity rich habitats, vegetation types and ecological units, as well as enhance ecosystem services and the economic viability of local communities as a means towards biodiversity and ecosystem conservation.

Overview of the Approach

Planning will take the following approach:

1. BR landscape (and seascape) level mapping of key biodiversity and biodiversity values in the three BRs
2. Based on overlays of values, threats (including climate risks), and current and proposed actions, the definition and prioritization of zones/sites for specific conservation interventions and economic use, including “set-asides” (HCV forests and marine areas), KBAs, etc.
3. Landscape (and seascape) level collaborative planning, resulting in an integrated landscape management strategy for each BR to include shared visions and identification and agreement of broad strategies, inform areas for set-asides, forest restoration and community natural resources interventions as well as broad criteria for management of the three BR zones
4. BR-based commune community conservation planning to identify community interventions in sustainable forest and land management, sustainable forest and marine resource utilization, climate risk management, ecotourism, and community livelihoods.

Method for prioritizing BR Landscapes (and seascapes)

This outlines the process for defining priority areas within the BR landscape (and seascape) where conservation, sustainable resource use, and livelihood interventions are required. The ensuing mapping exercise is intended to help identify critical areas for biodiversity conservation (particularly in buffer and transition zones) within the BRs, including HCV forests and marine areas, KBAs, etc., locations of high pressure and vulnerability (including climate risks and this in particular for seascapes), land use and protected area boundaries to improve ecological viability and conservation management, identify areas for sustainable resource use and forest and marine area restoration, and locations of community livelihood and income activities. In particular, the mapping would involve the definition of the biological landscape, the identification of the human resource use and impact (and climate related risks) that occurs in these areas, and overlaying them to defining parts of the BR that meets the needs of conservation actions and those parts of the BR (including in particular the buffer and transition zones) where human activity and climate change is more likely to threaten biodiversity and ecosystems and where land management needs to change to improve conservation outcomes. The mapping and ensuing planning would further help in informing on-the-ground actions to support biodiversity conservation and sector specific activities (e.g. areas for set-sides, forest and marine restoration and implementation of improved practices in forestry, fisheries, tourism and agriculture) that can be designed and implemented in a biodiversity-friendly manner.

This document provides a step-by-step guide to defining zones that meet the ecological and biodiversity conservation requirements while taking into consideration the socio-economic needs of the local people living in and around the area.

1. **Defining and zoning the BR landscape (and seascape)**: The three BRs boundaries are already defined. The next step will be to define the biological elements (in addition to the core areas) within the BRs that are important for the conservation of key species or ecosystems. This would entail mapping of the natural habitats and ecosystems and identification of biological values in terms of species richness, endemism, protected species (IUCN red list etc.), human value (including cultural and historical importance), suitability, and use, etc. This would then enable the prioritization of areas within the BR (in particular within the buffer and transition zones) that are critical or important for either the conservation of particular species, critical ecosystems and/or improving connectivity. The final output of this step would be a set of maps (1:100,000 – 1:250,000, as appropriate) depicting the spatial and temporal distribution of the biological elements and priority status of the habitats required for the survival of the key species and their spatial distribution necessary to conserve the maximum amount of biological diversity within the BR and maintain its ecological integrity.

2. **Defining the human resource use or socio-economic land/seascape**: As a simultaneous exercise, it would be necessary to collect socio-economic data on current and planned land and resource uses, and undertake an analysis of the stakeholder groups (including owners) associated with them. It would help define the location, type and intensity of resource use, production potential (crop, agriculture, fisheries, tourism, aquaculture, grazing, etc.), livelihood and resource dependencies, and development activities that occur within the BR. This information would subsequently help in identifying areas where human activity significantly threatens the survival of the key species and biodiversity and/or the integrity of the BR unit as a whole. It would entail the mapping of village locations within the BR along with attributes such as demography, agronomic, fisheries and livelihood patterns, human development elements, and resource use dependencies. The resource use patterns would include information on types of resources extracted, quantity and method of extraction, use purpose (subsistence or commercial), periodicity and seasonality of resource use, etc. In addition, this exercise would also help identify existing and proposed development activities that may adversely impinge or impact on the long-term sustainability of the biological values and well-being of the people in the BR. As with the case of the biological characterization of the BR, this information should be expressed spatially, so that it could be used in subsequent steps towards re-zoning of the BR, to the extent this is necessary. The mapping of the socio-economic (production and livelihoods) and development activities could be a rapid assessment using secondary information and broad village level consultations) that would be subsequently revised and updated as more information becomes available through the community planning process and other more comprehensive socio-economic analysis.

3. **Defining the climate change risks posed on the biological landscape**: Along with the assessment of the human related aspects, information on past trends of climate change impacts on ecological systems and their functioning would be assessed, as well potential future scenarios in relation to changing climates. In particular, an assessment would be made of the existing institutional, social and technological barriers or obstacles to prioritization, and related shifts in resources, land uses, institutions, etc. to manage of climate risks at the landscape level.

4. **Intersecting the biological landscape (and seascape with the human resource use and socio-economic factors and climate risk management in definition and prioritization of zones/sites):** Maps created with the biological and socio-economic, and climate risk attributes should be over-laid to recognize areas within the BR where human use, climate-related or development activities intersect with the prioritized conservation habitats and land cover types. This allows for the identification of the relationship between conservation and development-oriented land use and livelihood activities and for analyzing options for integration of conservation with other land uses and sector interests as well as trade-offs between them.

5. **Identification of the Target Areas for Intervention within the BR:** The intent of this step is to prioritize the areas within the BR where unsustainable resource use, development activities and climate vulnerability significantly compete with the biological and ecological needs of the key species or the conservation of the prioritized or critical ecosystems. This would enable the identification of areas within the BR where conservation action is necessary (such as set-asides) and sieve out those areas of the landscape where conservation actions might not be priority and where sustainable resource use and livelihood opportunities are best located.

The greatest challenge in prioritizing areas within the BR for conservation is in reaching agreement on areas required for maintaining biological and ecological values, while addressing human needs for land and resource use. Stakeholder consultation would be a critical step in the zoning exercise would entail defining (i) priority or set-aside areas for conservation (extension of PAs, HCVFs, HCVMs, etc.) where threats are small or manageable and where the conservation potential is the greatest; (ii) zones where there is a conflict between development and conservation interests, and where activities for improving forest management and restoration, sustainable fisheries use, ecotourism and biodiversity-friendly livelihood and sustainable resource management interventions can contribute to reduction of threats to biodiversity and ecosystems; and (iii) low priority areas for conservation where intensive or semi-intensive human use can be permitted (likely to be in the transition zone and parts of the buffer zones). The outcome of this step would be characterization of the BR by zones (or adjustment of current zonal boundaries) of varying conservation and resource use potential.

The final outcomes of the mapping exercise would be: (a) a map or series of maps showing BRs characterized by degrees of conservation potential, compatible development potential and presence of competing or conflicting interests based on threats and opportunities; and (b) recommendations regarding conservation (set-asides, HCV and marine areas, KBAs, etc.), sustainable land uses (with biodiversity friendly opportunities linked to forest, grazing, agriculture, fisheries and tourism), areas for forest restoration, and livelihood activities suitable for different areas of the BR landscape/seascape based on threats and opportunities.

The participatory mapping exercise would require an inter-disciplinary team comprised of spatial planners, biologists, social scientists, village representatives, GIS specialists, and other relevant experts based on the specific land uses and resource threats within the individual BRs. This would be sourced out through contracting services agreements, with technical and specialized support from the project (including international consultant support), guiding this exercise.

Planning and Implementation for integrated BR management planning

The series of next steps in the BR management planning process entails developing and identification of strategies for improving opportunities for conservation, and supporting conservation friendly sectoral interventions and improved livelihoods and incomes of local communities living within the BRs as well as identifying areas where and how human activities can or cannot be developed (zoning). This will be done under the guidance of the BR MBs.

6. **Negotiation of a shared strategy for (#3: BR-level Based Collaborative Planning, resulting in an Integrated BR management strategies**). The intent of this step is to obtain broad agreement with the stakeholders (including relevant provinces, sector agencies and local communities) for conservation or compatible development action within the BR. While the stakeholders would vary from one BR to another, it would need to include in the negotiation process landowners, resource users and provincial government agencies with management authority over priority areas in the BR. The outcome of the negotiation process is to ensure that critical biological requirements developed through the biological mapping process (step 1) are maintained. This has to be achieved through a negotiation process that would require compromise, given that it may not always be possible to find complete agreement on a single strategy with all stakeholders or development sector representatives that operate within the BR.

   The negotiated BR conservation management strategy statement will provide:

- A decision support (multi-sectoral, multi-stakeholder coordination and governance) framework for BR level planning for biodiversity objectives;
- A platform for integration of multiple BR level objectives for biodiversity conservation and sustainable natural resource use
- An understanding of the trade-offs between conservation, resource use and socio-economic development objectives; and
- Definition of roles and responsibilities of key stakeholders within the BR.

During the formulation of the integrated BR management strategy, the following key steps will include:

(A) Undertaking a number of BR/community level workshops to develop the common strategy. During the workshops the following activities are entailed:

i. Information generated through the mapping exercise are presented to the stakeholders using charts and maps;
ii. A participatory situation analysis is conducted;
iii. Stakeholder negotiation and agreements are reached on compromises and trade-offs for conservation actions within the sub-BR landscapes. This process should transparent and reflect the interests, expectations, needs, priorities, strengths and weaknesses of each stakeholder group so as to lay the foundation for achieving broad consensus.
iv. An agreement on zonation/re-zonation of the BRs;
v. Identification of uses within each of the zones within the BR, its intensity and extent; and
vi. Identification of broad approaches/strategies for each of the zones for management of land uses within the BRs.

(B) Compilation of agreements on zonation, land and sea uses and approaches from each of the BR/community workshops to provide a composite map of zonation and land use for each of the BRs; and

(C) Developing strategy statements for the BRs based on the agreements and information emanating from the BR/community workshops and decisions.

7. **Identification of strategies for Implementation:** The desired output of this step is integrated BR conservation management strategies for each BR that has multi-stakeholder and multi-state support regarding appropriate best practices for different priority areas/zones of the BR (conservation set-asides, forest and marine area conservation and restoration and sustainable agriculture, fisheries, tourism and economic development).

   The outcome of this step would be (i) a BR conservation strategy, with maps, and indicating agreements with each of the stakeholders regarding land use and conservation practice for the different zones or parts of the BRs; and (ii) identification of clear and measurable actions/activities to mitigate or manage threats (including climate risks) within each zone. The mapping and stakeholder consultative process would inform re-zoning of BRs, location of set-asides for non-exhaustive use, areas for forest, coastal and marine restoration, areas dedicated for sustainable natural resources uses (including for NTFP harvest, coastal and marine species harvest, locations for ecotourism), intensive agricultural and other human uses, etc.

Institutional arrangements for integration of local communities into BR conservation activities: Funding for BR conservation planning will go through the Provincial Governments. For each of the three BRs, funds for a PIT facilitator will be provided to support the activity of the Planning and Implementation Team (PITs). PPCs (or PA MBs) will hire their own consultants. The PIT Team will include a full time PIT Facilitator and two social mobilizers (one female and one male) that would be hired for a period of 3.5 years. The PIT Team will be strengthened by inclusion of technical staff from BR MBs and key line agencies. Island-wide technical resources such as mapping and information collection (including access to the database) as well as capacity building will be provided at the project level and coordinated by MNRET.

Based on the Integrated BR management strategy arising from the BR mapping and planning process, the next steps would entail: (i) Participatory Commune Conservation Planning to guide commune level implementation)]; (ii) Implementation of commune conservation plans; and (iii) Monitoring of impacts or performance. These steps are further discussed in Annex 4 titled Project Participatory Framework for planning, implementation and monitoring of commune conservation activities.

Annex 4

Project Participatory Framework for planning, implementation and monitoring of commune conservation activities

The Framework outlines the procedures and mechanisms that would be followed to ensure the full participation of local communities, including indigenous and marginalized communities through an informed, transparent and inclusive process in the planning and implementation of activities of the project so that a self-managed and governed system sustains even after completion of the project and people own the project. This framework, more specifically describes the participatory process by which: (a) specific components of activities at the commune-level will be planned and implemented; (b) the criteria for eligibility of investment are determined; (c) the measures to assist local community members improve conservation, sustainable natural resource management and climate risk management practices are chosen; and (d) the appropriate and non-exploitative use of natural resources for livelihoods activities are implemented. It also more specifically incorporates details of the institutional arrangements for planning at the commune level, the association and relationship within and between various community institutions, government and non-government institutions in the planning, implementation and monitoring of the commune investments and reciprocal commitments to conservation.

To the extent feasible, communes that would be selected for project investments would be linked to the identified high conservation value ecosystems, set-asides, forest restoration sites. Criteria for selection of priority communes for project support are; (i) communes located within core or neighboring buffer zones; (ii) communes located in corridors between core areas and within biodiversity rich areas or areas with recognized potential for meaningful ecosystem restoration; or (iii) communes within identified set-asides or forest rehabilitation areas. Within the selected communes, the project will work with selected households based on the following criteria: (iv) households located with biodiversity rich areas, set-asides or KBAs; (v) households that are greatly dependent on forest and/or marine resources for their livelihood or that conduct such actions which are a direct threat to biodiversity or are higher risks of climate change; (vi) households that are already organized into collective village or user groups; (vii) households that are recognized as belonging to ethnic minorities or disadvantaged; (viii) households that are willing to participate in collective conservation action; etc. It is envisaged that around 2,500 households would benefit from direct project interventions (500 households from Cu Lao Cham BR and 1,000 households from each of Western Nghe An and Dong Nai BRs).

The project Participatory Framework for planning, implementation and monitoring of activities at commune level includes the following contents:

1. Institutional arrangements for integration of local communities into landscape, biodiversity conservation and sustainable natural resource use activities in BRs

For each of the three BRs, a 'Planning and Implementation Team' (PIT) under the direction of the BR MBs, consisting of a Project Facilitation Officer (full-time), two social mobilizers (full-time) and short-term contract livelihood specialists (the latter as and when required), will be constituted to provide technical and planning inputs for implementation of project activities. The PIT will be responsible for: (i) undertaking *situational analysis* in the context of conservation and livelihoods, climate risks, information dissemination, social mobilization, strengthening of local or commune-level institutions and if required formation of new collectives/institutions; (ii) designing and conducting *biological field surveys* as well as social and resource utilization inventory; (iii) *mapping of existing user rights* and facilitation of dialogue to resolve or manage use rights; (iv) formulation of *management strategies for integrated conservation through sustainable natural resources management (forests, fisheries, ecotourism, NTFP), climate risk management and livelihood improvement* at commune levels in conjunction with the individual commune households; (v) formulation of *community development, livelihood and value chain strategies for improved sustainable incomes*; (vi) supporting *participatory monitoring of community, livelihood and conservation* activities; (viii) facilitating *resolution of conflicts* over resource use; (ix) and planning for any follow-up *small-scale*

infrastructural facilities (mainly value addition and processing) for the community livelihood improvement proposed in the project.

With the help of BR MBs, the PITs will facilitate in providing planning, capacity building and technical support for biodiversity conservation, natural resources management, climate adaptation and livelihood development activities. The PITs will also coordinate with NGOs, line departments, private institutions, research and development organizations, various specialists and service providers as well as the private sector to provide specialized services as well as to facilitate integration and convergence of provincial development financing and program support within the BRs. All sustainable resource management, conservation, climate adaptation and community livelihood investments at the local level will be detailed in a legally binding Memorandum of Understanding (MOU) between the Commune Conservation Committees (CCCs) or similar active community institution, as appropriate depending on the situation and BR MBs. The PITs will also ensure that social and environmental screening and appropriate mitigation action are planned and implemented at the commune-level and that local communities have access to technical support and capacity development in the implementation of livelihood or resource management strategies.

Planning and implementation of reciprocal commitments to conservation at the commune-level will be implemented through the CCCs. Relevant households in each commune will be organized into user groups; such groups will be collectively responsible for formulation of Commune Conservation Plans (CCPs), prioritizations of investments, ensuring community reciprocal commitments and participatory monitoring of biodiversity and socio-economic impacts. Specific eligibility criteria (described later in this Annex) would help prioritize commune level investments and ensure their direct linkage with conservation objectives and reciprocal community commitments. Local and national NGOs with appropriate expertise would be contracted to assist with CCP development and technical support for investment activities, to the extent necessary, capacity building at the community level as well as for independent monitoring of social and economic impacts of the project interventions. Overlapping or conflicting claims to resources and rights are likely to surface during the participatory biophysical and socio-economic resource mapping and planning exercises. If such disputes cannot be settled by the PITs and concerned CCCs, the project will pursue resolution through the BR MBs, as relevant or arbitration under an arrangement that closely resembles customary conflict resolution. In terms of rights, the PITs and respective government institutions will initiate action with the concerned agencies for settlement of these rights, within the context of existing mechanisms that are available for this purpose.

2. Planning and Implementation of project activities at commune level

The steps of the bottom-up participatory community planning process are as follows:

Step 1: Identification of priority communes for project investment: The mapping and stakeholder consultative process (see Annex 3) is expected to inform options for re-zoning of BRs, location of set-asides for non-exhaustive use, areas for forest, coastal and marine restoration, areas dedicated for sustainable natural resources uses (including for NTFP harvest, coastal and marine species harvest, locations for ecotourism), intensive agricultural and other human uses, etc. The project will work only with a selected number of communes (and households) in each BR because of budgetary constraints and use these communes to demonstrate viable participatory conservation, sustainable resource management and livelihood practices. Priority communes for project investments will be selected based on the following criteria: (i) proximity to, or located within core areas (protected areas), biodiversity rich areas and identified set-aside areas; (ii) where there is a high dependency on forest and biomass resources and/or where such dependencies are a major threat to biodiversity; (iii) communes within identified set-asides or forest rehabilitation areas; and (iv) where there is interest and support for conservation and sustainable forest management. Within the selected communes, the project will work with selected households based on the following criteria: (i) households located with biodiversity rich areas, set-asides or KBAs; (ii) households that are greatly dependent on forest and/or marine resources within core areas, set-asides and forest restoration areas for their livelihood or that conduct such actions which are a direct threat to biodiversity or where threats of climate change are high; (iii) households that are already organized into collective village, user groups, women's groups, ecotourism

groups, fisher groups, etc.; (iv) households that are recognized as belonging to ethnic minorities or disadvantaged; and (v) households that are willing to participate in collective conservation action; etc.

Step 2: Community orientation and mobilization: As a first step, the project objectives and approach will be disseminated to the local communities in the priority communes by the PITs through various means, including meetings, notices, etc. In addition to dissemination of the project objectives and approach, orientation meetings would seek to more accurately identify the perceptions of the local communities and other stakeholders regarding existing resource management practices, options for their better management, opportunities for livelihood and income improvements, as well as identify key representatives of the community or resource user groups for participation in subsequent resource mapping. In these meetings, basic information on the environmental, biodiversity, physical and socio-economic profiles of the communes will be obtained from the stakeholders in a format that can be easily retrieved as input into the mapping exercise and later analytical review. This information will be quantitative as well as qualitative. The quantitative information will be further validated from various line departments and research institutions.

Step 3: Mapping of conservation value of commune resources: The mapping and stakeholder consultative process at the BR level (Output 2.2) in identifying critical areas of biodiversity conservation and locations of high pressure and vulnerability provides the over-arching framework for planning and investment at the individual commune level. Based on the IBRMA developed under Output 2.2, a simple commune-level mapping exercise will be carried out to help determine appropriate management options for the individual components (biodiversity rich areas and set-asides, forest and marine resources areas, tourism areas, agricultural and pastoral lands, forest rehabilitation areas, etc.) of the commune landscape identified through Output 2.2. This commune mapping exercise would provide the basis for further refining options for the management of resources within the commune, including specific options for sustainable resource use, livelihood improvement and diversification and value chain products and services that are relevant for development or enhancement.

Step 4: Mapping of community resources and community rights in natural resource utilization and wise exploitation and community vulnerability to climate risks: The participatory resource mapping (Step 3) will constitute an input to the planning of activities within the communes and will help establish the baseline for future monitoring. The socio-economic mapping will include the mapping of rights and resource dependencies of communities in the surrounding forests and natural habitats within the commune. Special efforts would be directed at mapping resource utilization and dependencies of ethnic or minority groups as well as poor households. Information generated through this participatory mapping exercise will be used to facilitate the formulation of CCPs. The mapping will draw on participatory resource appraisal and planning (PRAP) techniques, and provide information on (a) scale and seasonality of specific forms of resource utilization within the commune (e.g. agriculture, grazing, fuel wood collection, non-timber forest resource collection, etc.); (b) key stakeholder analysis to identify the number, location and circumstances of the individual stakeholders' utilizing of specific resources, (c) customary rights and conflicts in resource use by different stakeholders within the commune landscapes, (d) climate associated socio-economic risks; (e) specific resource use and dependencies of ethnic or minority groups and poor households; and (f) possible solutions analysis. In terms of customary rights the mapping would provide information on: (i) location and size of the area and condition of resource; (ii) primary users, including those belonging to ethnic and vulnerable groups and poor households, that currently use or depend on these common lands; and (iii) secondary users and types of uses. This would provide the basis for confirmation of rights within the commune on the basis of existing legislation and regulations. Specific attention will be paid to any possible cross-commune practices of resources use on common lands, including in formally established PAs as the core zones of the BRs.

Step 5: Strengthening/formation relevant commune level community organizations: During the orientation meetings and community mobilization process, the interest, capacity and skills of the communities would be accessed. The project would also provide training in resource mapping, natural resource management evaluation, improved knowledge on climate change risks and adaptation, integrated resource planning, construction supervision, maintaining of minutes of commune meetings and basic account keeping, and monitoring of activities implementation as per terms of partnerships or agreements. Most training will be on the job training as well as exchange visits to other sites where relevant solutions to problems have been implemented. Special efforts would be undertaken to ensure that ethnic and minority groups and poor households are well represented and integrated into the local institutions.

Step 6: Development of commune conservation, sustainable and wise exploitation and livelihood strategies: Meetings will be held with individual communes to prepare the social and community resource utilization maps and to agree on its implications regarding natural resource and conservation strategies, resource access and control/monitoring, mitigation and/or compensatory measures. During the planning exercise, the PITs will pay special attention to ensuring that the needs and dependencies of ethnic and minority groups, as well as poor households and women, are specifically addressed in the CCPs. To the extent necessary, depending on the dependency of ethnic and minority groups, poor households and women on natural resources in particular communes, the CCPs, would identify specific investments for these groups and women.

Community participation and contributions to conservation, sustainable resource use and livelihood diversification and development activities, including value chain products and services/activities, that are selected for project support will be based on the following pre-requisites:

- All CCP investments must be based on some *minimum level of cost sharing* by local communities.
- A *clear and transparent linkage must exist between improving conservation and sustainable resource use and the proposed investment*, so that the MOUs representing agreements between commune communities, user groups and BR MBs support sustainable practices by creating adequate incentives for local communities to take measurable action that supports conservation of natural resources and their sustainable use; and
- All CCP investments, including restrictions on resource access (if any) must *evolve through a common understanding and consensus* amongst the local communities, and not be imposed on them.

To be eligible for inclusion as investments opportunity eligible for the CCP funding, activities should comply with the following criteria:

- *Be identified as priorities through the CCP process, and thus be assured of having been identified through a participatory process.*
- *Conserve and sustainably use land and other natural resources* either directly or indirectly by creating sufficient incentives to commit local people to specific, measurable actions that improve the sustainability of resource use.
- *Provide equitable share of benefits to local communities, including ethnic groups, minorities, poor households and women, and mitigate any negative impacts* to women, poor and disadvantaged groups who are currently most dependent on the land
- *Be socially sound and institutionally feasible* ensuring that associated activities are culturally acceptable and do not impose an unnecessary heavy burden on individuals, and that local institutional capacity is adequate to organize resource management, distribute benefits from common resources, provide physical maintenance, meet community and household agreements to resource use and/or access restrictions, ensure alternative livelihood benefits to affected households and monitor project impacts
- *Be low cost and financially feasible* so that costs are within local norms, and, for all investments intended to produce cash revenue or benefits that can be monetized, market linkages are adequate, cash flow requirements are viable, and returns are sufficient to compensate for any resource use limitations as well as compare favorably with business as usual or other alternative investment options.
- *Be technically feasible and innovative* so that inputs and technical advice are adequate, physical conditions are suitable and the activity is technically sound.
- *Be environmentally sustainable in support of global environmental objectives*.
- *Improve community resilience to climate change by diversification of livelihood, improving soil and water conservation, crop disease management and improved knowledge and awareness*
- *Be selected and owned by local commun*ities as ensured by a budgetary constraint mechanism, agreed community contribution or co-financing investment, and a commitment by the community to bear maintenance costs of any infrastructure component
- *Be supported by training and capacity development* for strengthening all households, and
- *Be supplemental or incremental in nature* to ensure that activities supported under the project are not a substitution for what should be supported by the government as part of their development responsibilities.

Lessons learned from other participatory integrated conservation and development initiatives has validated the importance of requiring some form of cost sharing for investments intended to benefit local people, including extremely poor households, since it builds commitment and ownership on the part of stakeholders and strengthens the likelihood of sustainability. Therefore, the project would establish clear and transparent contribution requirements and will also promote creation of village or user group level revolving funds. To this end, the following norms are suggested:

- Participating households will contribute to the costs of regular CCP investments to be deposited in village or user group revolving fund.
- There will be no upper limit to the amount a household can contribute and deposit in the revolving fund;
- Household contributions will be matched up to a given amount per village or user group, with the upper limit being decided at the initiation of the program;
- The total investment cost would be calculated as the sum of all resources, cash and non-cash; the value of labor, and other in-kind contributions would be calculated on the basis of local market value;
- To build ownership and long-term sustainability, all commune investments would flow through the revolving funds, thereby encouraging the beneficiary community to seek co-financing and leverage funds through the provision of loans for approved community investments and other needs. Over time, this financing management system can continue to build and sustain community fiscal resources.

The PITs, with the help of provincial sector institutions, will come out with various norms for household contribution to various support activities provided under the project. This will enhance the ownership of the people in the project initiatives as well as improve sustainability and replicability during and after the end of the project. These practices are already being used by various ongoing internationally funded projects in the selected landscapes.

Procedures (based on the above mentioned criteria and the SESP) would be established at the beginning of the project to screen resource development or income generating investments to ensure that they are technically feasible, socially acceptable, have positive environmental and biodiversity conservation impact and are part of a holistic approach to the local ecosystem management, likely to generate supplementary income, comply with sound social and environmental principles and are sustainable. The PITs would be primarily responsible for such environmental and social screening. Decisions regarding the priority investments will be made by mutual consent of the PITs, and the participating villages and user groups, with subsequent endorsement by the BR MB. If required by budgetary or implementation capacity constraints, proposed activities will be prioritized based on their expected positive impact on global environmental objectives, the conservation and sustainable utilization of the land and sustainable livelihood activities. The activities also need to be implemented in such a way that they create a learning situation and results that are of policy relevance. Examples of appropriate land management and livelihood activities might include: improved agricultural practices, climate risk management, improved livestock and pasture management, forest management and rehabilitation, including community forestry, environmentally friendly minor infrastructure rehabilitation (village irrigation and drinking water supply systems, minor erosion control structures, etc.), medicinal and non-timber product development, processing of agricultural raw products, alternative livelihood options (handicrafts/handlooms enterprises, agricultural product processing and development, mushroom cultivation, marketing support, skills development, ecotourism related eco-stays, guest houses, guide services, human-wildlife conflict mitigation and natural resource conflict management.

Step 7: Implementation of Commune Conservation Plans: Activities discussed and agreed with the participating villages and user groups would form the basis of the commune conservation plans. Once approved, an agreement would be signed with the relevant CCCs and BR MBs for carrying out the proposed activities. With technical support from the PITs and provincial sector agency extension staff as well as NGOs, the community will implement the activities. The PITs will convene periodic meetings (quarterly) to review implementation progress (including social and environmental compliance and action) and resolve any specific issues arising from monitor project implementation progress, outcomes and impacts. In each village, CCCs will be playing key role in overseeing implementation and monitoring of the activities.

Step 8: Monitoring and Evaluation: A monitoring and evaluation system will also be designed early in project implementation to provide for continuous learning and adjustment of approach, and will involve participatory monitoring based on self-defined indicators (by user groups, PITs, etc.), input and output monitoring data from the

PITs. The M&E system will include description of the institutional arrangements and processes incorporating participatory monitoring and learning systems, selection of indicators, sampling methods, interval and intensity of sampling and mechanisms for feedback and project improvement. The tools of monitoring the activities and outputs of the project will be formed so that both quantitative and qualitative information is captured regularly. Three areas of significance for monitoring and achievement of project objectives will (i) the ecological aspects of field activities for biodiversity conservation and landscape management; (ii) community participation in conservation, sustainable use and livelihood improvement, community compliance with conservation and resource use agreements, and economic outcome of livelihood activities; (iii) effectiveness of climate risk management and adaptation measures, and (iv) institutional aspects at the BR level and modalities for conflict resolution and new community-based agreements on resource use.

***Arrangements for micro-grant allocation for CCP investments**:* Specific criteria and grant management mechanisms are proposed under the project. In particular, grant financing for CCP implementation would be performance-based and designed on the basis of ensuring transparency and extensive consultations with local communities and other relevant stakeholders, be well coordinated and promoted through effective technical support, regular review of implementation arrangements and the use of monitoring and evaluation information to adjust and refine the system in consultation with the stakeholders.

Grants would be typically based on the following principles:

- Competitive assessment and tender-based assignment of grants to selected beneficiaries, in particular to participating villages and user groups;
- Project investments should evolve through a transparent participatory process that have a *clear and transparent linkage with improving conservation and sustainable resource use;*
- All project investments must be based on some *minimum level of cost sharing* by participating households and/or user groups.
- Investments must be meet criteria as discuss earlier in this Annex to be eligible for funding under the project.
- Investments to be supported must be included in a CCP that is approved by the BR MB.
- All participating villages and user groups will be encouraged to establish revolving funds in a banking institution with clearing designated signatories to the fund, including a representative from the BR MB and specific rules and regulations for operation of the revolving fund.
- All participating household members will pay a token amount of registration fee to join the revolving fund.
- The project will support the strengthening of the institutional capacity of the participating villages and user groups in financial management of the revolving funds, book-keeping and financial reporting.
- A MOA/MOU would be signed between the participating villages and user groups and the BR MB that lays out (a) responsibilities of each party; (b) activities that are eligible for funding under the project; (c) outputs to be produced; (d) performance criteria for release of future grant tranches; (e) reporting arrangements for activities and expenditure.
- The BR MB will be responsible for (a) ensuring the approval of the CCPs and subsequent annual plans; (b) establishing the MOA/MOU with the participating villages and user groups; (c) managing the release of funds into the revolving funds; and (d) monitoring and reporting on the implementation of grant activities and results.
- Initial release of funds or upfront payment as a percentage of payment will be defined in consultation with stakeholders.
- Balance or subsequent payments would be made on successful completion and verification of work by the PITs, and
- Efforts will be made to try to identify additional funding support for the revolving funds from existing government, local development programs and NGOs. The convergence of government resources would be sought through the support of PPCs and by co-opting commune, district and sector agency staff into PITs during the commune conservation planning process.

At the beginning of the project, a consultant will be hired to develop detailed rules and procedures for establishing revolving funds at either the individual village or used group level that would then serve as the basis for channeling of funds for project-related activities.

Attachment 1

Indicative list of possible commune conservation plan investments and livelihoods[57]

Type of investment	Potential list of investments
Grazing improvement	➢ Water harvesting ➢ Vegetation management ➢ Improved herding practices
Introduction of New fodder varieties suitable	➢ New fodder varieties suitable for the area introduced and test plots established
Soil and water conservation	➢ Surface and rainwater collection and storage ➢ Land degradation control and soil conservation using contour farming, vegetation strips, intercropping, etc. ➢ On-farm water management ➢ Soil fertility improvements ➢ Agricultural land leveling ➢ Climate-resilient and equitable water storage and micro-irrigation
Integrated pest management	Integrated pest management for ➢ Control of crop diseases, ➢ Insect pests, ➢ Rodents and ➢ Weeds of crops
Home gardens	➢ Kitchen gardening, vegetable production ➢ Fruit production, ➢ Orchard development with suitable species ➢ Orchard and management • Fruit trees training • Pruning, • Budding, grafting and layering practices
Improved agricultural practices	➢ Improved productivity and climate resistant seed and planting varieties ➢ Integrated technical measures of seed, fertilizer, plant protection and site-management ➢ Straw and mulching cover for crops, no tilling or minimum till farming techniques ➢ Crop rotation ➢ Contour farming ➢ Inter-cropping ➢ Soil amendments and fertility improvements ➢ Organic high value crop farming ➢ Diversification of crops ➢ Community based vegetable and crop farms
Establishment of forest & fruit plant Nurseries	➢ Establishment of Nurseries • Fruit plant nurseries • Medicinal and aromatic plant nurseries • Forest tree nurseries
Sustainable fodder tree uses	➢ Sustainable lopping, trimming and management of forest and fodder trees
Forest conservation and protection	➢ Forest conservation and protection through forest conservation and protection committees

[57] The grazing improvement, new fodder varieties, soil and water conservation, IPM, home gardens, improved agricultural practices, forest conservation, sustainable agriculture and fisheries, etc. will all contribute to improve climate resilience among these BR communities

	➢ Sustainable NTFP harvest techniques e.g. medicinal plant collection, protection of threatened flora
On-farm agro-biodiversity management	➢ On-farm agro-biodiversity management ➢ Access to knowledge on agro-forestry and integrated farming methods
Sustainable Tourist Enterprise projects	➢ Homestays ➢ Tour guides and guiding services ➢ Handicrafts ➢ Green labeling ➢ Zoning for tourist use and development ➢ Low impact tourism ventures ➢ Bird watching/ Wildlife watching ➢ Agro-based tourism initiatives, endemic fruits and flowers, “forgotten” vegetables, etc. ➢ Marine tourism: snorkeling and diving
Sustainable fisheries	➢ Sustainable fisheries harvest techniques and production limitations ➢ Sustainable farming model awareness and promotion ➢ Protection of fish nurseries ➢ Habitat restoration in support of fish spawning
Improved aquatic systems	➢ Mangrove protection and rehabilitation ➢ Coral reef and sea grass protection and regeneration ➢ Sustainable handicrafts from Bamboo and Nypa ➢ Promotion of sustainable Nypa tourism
Aqua-culture	➢ Organic, sustainable mixed Fish farming ➢ Fish hatcheries ➢ Integrated aquaculture and aquatic plants and vegetable production through aqua-culture
Crop processing and storage	➢ Grain/ Fruit storage techniques ➢ Crop/ Fruit processing after harvesting as per market requirements and to increase shelf life ➢ Crop and fruit storage improvement
Improved sanitation and solid waste management	➢ Improved sanitation ➢ Solid waste management
Promotion of wood alternatives	➢ Promotion of LPG ➢ Energy efficiency cooking stoves
Market linkages and Value Addition	➢ Market linkages for the enterprises and crops ➢ Product development and value addition ➢ Microfinance and access to affordable credit ➢ Community revolving funds
Extension and Training	➢ Improved knowledge on conservation and climate adaptation measures ➢ Field testing and piloting ➢ Extension services ➢ Demonstrations

Annex 5

Planning and Management of High Conservation Value Forests and Set-Asides

In the framework of the project, Integrated BR Management Agreements (IBRMAs) will be prepared that among others, ensure identification, recognition and improved conservation of *High Conservation Value* (HCV) areas, including forests, corals and other terrestrial and marine ecosystems. With project support, the mapping and IBRMA exercises based on a strengthened decision support system for BR management will help determine where HCV and critical habitats are, which areas have greatest ecosystem services' and biodiversity values, which threats these face, and what the effects of land and marine degradation are on species and ecosystem services. Subsequently, the project aims to assign at least 60,000 ha identified HCVF terrestrial areas as set aside areas for non-exhaustive use in Dong Nai and Western Nghe An BRs, areas that then will be legislated in the individual provinces through existing or new bylaws. Additionally, coastal and/or marine areas in Cu Lao Cham BR might be defined as set-aside marine areas for managed and sustainable use of fisheries resources.

The purpose of this annex is to elaborate the process of identifying HCV areas, terrestrial or marine, as set aside areas for improved conservation, natural habitat management and acceptable non-consumptive uses.

The definitions and approach for identification of HCV areas were first set forth by the Forest Stewardship Council (FSC) in 1996 as part of forest certification processes, to give recognition to forests that have a high conservation value and are in need of special protection, due to one or several features related to the attributes of the ecosystems, their environmental services and social values. Subsequently the concept evolved to include both forest and non-forest landscapes. Over the past decades, the approach has proven to be useful for identifying and managing environmental and social values as part of certification standards in production landscapes (forestry, agriculture and aquatic systems). At the same time it expanded its application more generally towards responsible integrated resource use and conservation planning, as safeguard against deterioration of critical environmental and social values from expanding natural resource use and/or land conversion (both commercial agriculture and livelihood support systems).

A HCV area is defined as an area with biological, ecological, social or cultural values of outstanding significance or critical importance. The six values categories of HCV are described as[58]:

- **HCV 1 Species diversity**: Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.
- **HCV 2 Landscape-level ecosystems and mosaics**: Large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- **HCV 3 Ecosystems and habitats**: Rare, threatened, or endangered ecosystems, habitats or refugia.
- **HCV 4 Ecosystem services**: Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- **HCV 5 Community needs**: Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples (for livelihoods, health, nutrition, water, etc...), identified through engagement with these communities or indigenous peoples.
- **HCV 6 Cultural values**: Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or indigenous peoples, identified through engagement with these local communities or indigenous peoples.

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[58] Brown, E., N. Dudley, A. Lindhe, D.R. Muhtaman, C. Stewart, and T. Synnott (Eds.) (2013). Common guidance for the identification of High Conservation Values. HCV Resource Network

An area is identified as having high conservation value if it meets one or more of the above criteria. In this, values relate to the function of an ecosystem at local, regional or global scale, not to the value of a single species or community rights. Instead, they include clear functions such as watershed protection or the maintenance of a food resource for local people, as well as more intrinsic elements such as a community of endemic species that may have no clear economic value but are important for the maintenance of the diversity of life. The identification of HCVs for a certain unit of land or sea does not inhibit production, but becomes a driver for adopting appropriate management option for the non-exhaustive use of the area, in order to maintain or enhance the value.

While with regard to the identification of HCV areas it is recommended that a country should develop appropriate national interpretations of the HCV principles. In Vietnam, WWF with support from ProForest and The Nature Conservancy developed a toolkit for Vietnam in 2008[59], primarily aimed at supporting forest certification and developed as technical adaptation approach using a small representative team of stakeholders to produced a practical working standard. As this standard is not the result of an extensive multi-stakeholder consensus based approach, it cannot be considered as having the status of national standard, and was never formally adopted as such.

In order to provide guidance to identify HCV areas as set-asides for conservation planning and non-exhaustive use in the context of BRs, at the national level the project will support the development of HCV area identification guidelines, revising and expanding on currently available resources, nationally and internationally, including interpretation of the meaning and definition of the six HCV categories both with respect to the application of regulations on exhaustive uses such as commercial logging or large-scale agricultural activities as well as smaller scale less- to non-exhaustive uses such as hunting, firewood collection, NTFP harvesting; sustainable tourism; etc. in the context of Vietnam. As part of the process, specific attention also will be paid to harmonization HCV area criteria with other relevant initiatives, specifically the adopted criteria and methodology for identifying Key Biodiversity Areas (KBAs), as sites that contribute significantly to the global persistence of biodiversity[60], as well as the draft guiding principles and recommendations for responsible business operations in and around KBAs[61] Subsequently the project with work with government partners to adopt legal regulations (Circular) on the identification of HCV areas, and initiate piloting the approach in the 3 pilot BRs as part of the mapping exercise.

Specifically, identification of HCV areas in the pilot BRs will be conducted according to the following principles:

1. Assessment. Assessment involves interpreting which HCVs are present in the overall area of interest, which needs to be defined ad hoc basis on existing and readily available information, e.g. the BR boundaries, administrative districts or communes, PAs, or broadly identified areas in the wider landscape in which HCV features may be negatively impacts by development or livelihood activities. HCV assessments can vary in their scope, duration, cost and reporting requirements, but needs to be consistent with agreed national guidelines. Identification of HCV areas will be done by an assessment team including ecological, environmental and social experts with experience in participatory consultation methods. The team will collect additional information where necessary, including through in-depth stakeholder consultations. Time required to conduct HCV area assessment strongly depends on the size of the area, numbers of communes, villages and households, as well as specifically the amount of reliable quantitative and qualitative information, as well as maps (land cover and land use, topography, infrastructure, settlements, cultural objects, etc.) of appropriate scale, already available. HCV assessments results will be presented in a detailed report on the presence or absence of HCV areas, their location, features, status and condition. As appropriate, the report should use graphics and maps that present outcomes to the broader stakeholder community in understandable ways. The report will be used to develop management recommendations to ensure that in selected areas HCVs are maintained and/or enhanced.

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[59] https://www.hcvnetwork.org/resources/national-hcv-interpretations/VN%20toolkit%20DRAFT%201.4_EN.pdf

[60] IUCN (2016). A Global Standard for the Identification of Key Biodiversity Areas, Version 1.0. First edition. Gland, Switzerland: IUCN.

[61] IUCN (2016). Guiding principles and recommendations for responsible business operations in and around Key Biodiversity Areas (KBAs). A collaborative project of the KBA Partnership coordinated by IUCN. Draft 2 for public consultation, 2 December 2016, 27pp.

2. Management. Based on the outcomes of the assessment and stakeholder consultations, HCV Management Units, spatial units identified in the area of interest or wider landscape for which appropriate management decisions must be taken and implemented in order to maintain or enhance an HCV, will be defined. In planning for conservation and sustainable natural resources use in support of livelihoods, specific distinction will be made between areal sizes of HCVs, which may be quite small and sometimes confidential (e.g. breeding colonies of rare birds or sacred trees) and the definition of the size of management units that allow appropriate decisions and actions needed to be made to ensure effective maintenance of HCVs. Proposals for installing an appropriate management regime will also specifically consider both current threats as well as potential future ones. Part of the management arrangements will include (i) identification of roles and responsibilities of local communities in management of the non-consumptive use areas: (ii) benefit sharing arrangements; (iii) protection measures; and (iv) monitoring of the state of the non-consumptive areas. The project will provide technical support and extension to improve sustainable resource uses and income benefits from non-consumptive uses through value addition, processing and marketing support (including green labeling). Investment grants will facilitate participating households to enhance community non-consumptive resource use (sustainable NTFP and forest resource collection, etc.) and capacity building for environmentally friendly NTFP harvesting techniques, determining sustainable harvest yields, management and maintenance of forests for multiple benefits, etc.

3. Monitoring. A monitoring regime will be designed to ensure that agreed management practices effectively maintain and/or enhance the HCVs over time. Appropriate site-specific indicators will be chosen to regularly assess the status of the HCVs, and thresholds for action to ensure that the HCVs are maintained or enhanced.

Overall, the HCV assessment will interpret its results (i) knowledge-based, incorporating and using all relevant scientific data and local knowledge, and where relevant filling significant gaps in existing information; (ii) precautionary, meaning that HCV areas should be defined and effective management measures taken, even when scientific information is inconclusive or incomplete, on current or potential threats, or on vulnerability of values; (iii) based on quality and inclusive stakeholder consultation, ensuring that relevant stakeholders are consulted and their views or information provided is incorporated into the process and that appropriate existing initiatives are engaged wherever possible; (iv) with consideration of the wider landscape; and (v) considering the current or anticipated scale, intensity and risk of the natural resources use, including proposed development; and (vi) open and transparent including public reporting of outcomes.

Annex 6

Forest Restoration for SFM Benefits

The intent of forest restoration under the project is to promote multiple combined objectives such as maintenance of biodiversity and ecological integrity and enhancement of human benefits through sustainable forest product use, enhancing land productivity and providing other environmental benefits (e.g. water and soil conservation), climate mitigation, etc. The objective, strategy and action plan for forest restoration will be customized to the specific conditions of the place, including its biophysical conditions and its stakeholders, and taking into account their interests and the decisions they make. It would be therefore guided by the following principles:

- An approach that offers multiple local benefits or improves rural livelihoods;
- Provides a wide range of goods and services, including biodiversity and ecosystem benefits, non-timber forest products, etc.;
- Ensures that forest restoration and rehabilitation activities at the site level fits within the overall environmental, social and economic objectives at the BR level;
- Balances land-use and conservation needs; and
- Provides a multi-sector approach that ensures the participation of local stakeholders in forest restoration and management decisions.

Forest restoration would be implemented through a sequence of steps:

(1) *Identification of priority forest areas for restoration*: The landscape mapping exercise will identify key priority areas for restoration. This would be based on the following criteria: (i) degraded forests areas either within or adjacent to core zones where ecological restoration will significantly enhance its biodiversity and ecosystem values and enhance connectivity between key biodiversity/core areas, etc.; (ii) forest areas where degradation is limited and have still enough natural vegetation with potential for regeneration with minimum physical interventions; (iii) areas that can provide significant benefits to local communities in terms of sustainable forest products, tourism, etc.; and (iv) have potential for expansion of PES, REDD+ or other economic benefits.

(2) *Assessment of current/potential benefits from forest restoration for local communities and for biodiversity*: This would entail a consultative process to assess current forest users and products that are harvested, the seasonality of resource extraction, methods of forest resource harvest, tenure related concerns, forest use conflicts and the range of forest ownership and users and to determine potential benefits from forest restoration to local communities and for biodiversity conservation, particularly to enhance habitat connectivity.

(3) *Evaluation of land ownership/tenure and identification of involved stakeholders;* In particular, it is important to understand existing land ownership and tenurial rights within the forest, before undertaking any restoration works so as not to create discontent and misunderstanding with forest owners and forest resources users. This exercise will help determine key community stakeholders for participation forest restoration and management activities. Households to participate in the forest restoration, protection and benefit sharing arrangements would specially include those land owners, forest resource users, tenure holders and other interested in conservation and sustainable forest resource use.

(4) *Mobilizing stakeholders, understanding their interests and winning cooperation for forest restoration:* The involvement of forest resource users and owners are key to successful forest restoration, management and protection. The key stakeholders would be neighboring forest dwellers who are interested in ensuring sustainable forest products and services and its conservation or have ownership and/or tenurial rights to the forests;

(5) *Identification of the drivers of both forest degradation and ecosystem restoration and state of forest degradation and options for improving governance and incentives for forest restoration:* In order to ensure successful forest restoration, it is primarily important to understand the key drivers of forest degradation

and the agents that bring about that degradation so as to develop appropriate management and protection measures to restore and protect emerging forests. Such drivers might vary from one location to another, but would likely be the indiscriminate removal and harvest of forest products, unsustainable grazing practices, forest fires, demand for forest products, etc. Once the drivers of forest degradation have been identified through a participatory process, a next key step towards the implementation of effective ecosystem and landscape restoration programs is to develop governance mechanisms that enable restoration advocates to provide better conditions and incentives for restoration activities, while creating barriers to stop degradation.

(6) *Developing a participatory forest restoration management plan.* It particular, this would involve reaching agreement on expected goals of forest restoration as well as to optimize the conservation and sustainable livelihood benefits of forest restoration. This would particularly require taking consideration of the following: (i) natural regeneration potential and needs for seeding/planting; (ii) establish a set of goals strategies and methods for each proposed restoration zone; (iii) choosing most cost-effective means of forest restoration; (iv) assessing positive and negative social and environmental impacts of any restoration measure; (v) establishing realistic time schedule for restoration; (vi) defining roles and responsibilities of communities in forest restoration and protection; and (vii) establishing benefit sharing arrangements from restored forests.

(7) Implementation of forest restoration, maintenance and protection plans with community support. Implementation of a forest restoration plan would require a restoration roadmap, technical options, steps and phases, including monitoring systems. Improvements in protection and management are potentially more cost-effective than planting in restoration initiatives. A good starting point is to protect soils against erosion, use cost-efficient water-harvesting techniques and mainstream the use of integrated management plans to address threats such as excessive wood collection, unplanned grazing, and damaging fire, pests and diseases.

(8) *Develop and implement a participatory monitoring plan for the restoration and share lessons:* Monitoring and evaluation in restoration initiatives are to be integrated into every restoration initiative, including, developing the monitoring plan or program in the planning phase; promoting the participation of all stakeholders in the design and implementation of monitoring; and consistently monitoring and evaluating restoration initiatives and sharing the lessons learned for the benefit of ongoing and future initiatives.

(9) *Seek options for enhanced benefits* through REDD+, PES and other benefit sharing activities.

The project would seek the most cost-effective approach to forest restoration to achieve a multitude of benefits. In most cases it would entail a mix of protection and management actions. Protection measures would include safeguarding existing vegetation and restored areas from threats as damaging fires, uncontrolled grazing and forest cutting. The need for seedling or planting would be assessed carefully, and if degradation is low, the results from monitoring gains from protection and other management interventions would be assessed first, before seeding or planting is done. To the extent feasible, the most cost-effective approach may entail restoration actions such as protecting the forest site from grazing and fires, assisting natural regeneration and undertaking enrichment planting.

Forest restoration activities will firstly ensure that the degraded forest ecosystems can recover from disturbances. This process of promotion of forest succession would require meeting of specific preconditions if successional recovery to occur. This would, in particular entail, the following actions through community engagement to facilitate succession:

- Removal of the disturbing agent or agents, such as fire, unsustainable timber harvesting or grazing;
- Ensuring that there are adequate plants and animals at the site or in the region as a source of new colonists.
- Confirming that soils at the site are reasonably intact. If severe erosion has taken place or if fertility has been depleted the soils may no longer be suitable for the original species, and
- Weed species or animal pests must be excluded if the original community is to be re-established.

The expected outcome of the forest restoration would be to recreate an ecosystem as close as possible to that which originally existed at the site, to the extent feasible. The site then contains most of the original plant and animal species and has a structure and productivity matching that originally present. It is important that all people living in the neighborhood have a role in shaping decisions that affect their ability to meet their needs, safeguard their livelihoods and realize their full potential. In determining approaches at forest restoration, the project will ensure that both landscape- and site-level considerations are taken into account when deciding where to intervene. At the landscape level, a useful beginning for decision-making will be to identify remnant forests, especially those with high conservation value (critical environmental and social values) or to enhance connectivity. This would be undertaken through the initial BR landscape mapping process. Once, areas for restoration have been determined, site-specific interventions will be defined based on the condition of the forests. Restoration of degraded forests would require that a majority of the forest resource users agree on the need for restoration and are willing to support such a program.

Because of the importance of integrating both biophysical and human well-being aspects into forest landscape restoration, there must be a strategic focus in deciding where to take action. It is best to focus — at least initially — on areas where there is a degree of local interest in restoration, particularly if success will depend on aspects under the control of local people, such as protection from grazing animals and reducing fires.

Interventions at a site level that focus on biodiversity restoration and multiple benefits

Since the project entails the selection of the most cost-effective and ecological perspective, areas selected for forest restoration will likely include forest areas that have significant amounts of original species diversity and cover that would enable it to serve an important biological function through the restoration effort. For this purpose, the project intends to select the following degraded forest categories for restoration: (i) medium degraded forest areas with natural cover of between 50-75%; and (ii) little degraded forests with natural cover of 75% and above. In order to ensure the most cost-effective approach to forest restoration, the following are key considerations for deciding on restoration approaches:

<u>Passive Restoration Approach</u>

When the forest is not greatly degraded, it is likely that forest restoration can be achieved by simply protecting the site from existing disturbances and allowing natural colonization and successional processes to help restore ecosystem biodiversity and structure. This approach is best suited to situations where residual forest patches remain or some advanced forest regrowth is already present. Consequently, the best locations are likely to be places where previous disturbances occurred in the past and some recovery has already taking place. On the other hand, recently disturbed sites where the disturbances were slight or short-lived may also be suitable because they are more likely to have a larger pool of residual seedlings, seed in topsoil or old but live stumps. Sites close to patches of intact forest are also favorable because colonization by plants and animals is likely to be faster. Passive restoration is especially advantageous when there are limited financial resources available and the condition of the forests lends itself to natural restoration processes.

<u>Enrichment Planting</u>

Not all regrowth or secondary forests have high levels of biological diversity. Many have been disturbed so many times in the past that only a small number of relatively common species remain. In these cases it may be useful to supplement biological diversity by reintroducing certain key species to hasten the process of natural recovery. For example, it might be necessary to quickly increase the population of several particular plant species that would find it difficult to re-establish under the passive restoration approach. These might be endangered plant species, plants with large seeds that are poorly dispersed or plants needed by a particular wildlife species. In such cases, it might be necessary to undertake certain measures to improve soil and water conditions and soil fertility, along with enrichment planting.

Direct seeding

In many cases, the rate of natural succession can be limited by the slow dispersal of seed across degraded landscapes. An obvious way to accelerate such successions is to deliberately reintroduce the seed. Various forms of direct sowing have been used, but the most cost-effective is when seed is broadcast or sown by hand. Usually the seed must be sown on bare soil so that it can establish quickly in weed-free conditions, which will require removing weeds and improving soil and moisture conditions before seeds are sown. It can be also carried out after sites have been burned to eradicate existing ground cover and shrubs. The advantage of direct seeding is its low cost; there is no need to raise seedlings in nurseries and they can be spread across the landscape easily, including hilly sites that might be difficult to reach.

Scattered tree plantings

Another way to accelerate successions is to foster the structural complexity that attracts seed- or fruit-dispersing fauna into the degraded landscape from nearby intact forest. One method involves planting small numbers of scattered, single trees or clumps or rows of trees, which form perches for birds. Seedlings are produced from seed shed below the perch trees. Eventually the clusters of seedlings grow up to form trees and become bird perches themselves. The clumps of trees enlarge and the process continues. The trees initially planted might be one or more species with seed not dispersed by animals (e.g. species with large fruit or seed or wind-dispersed species) or those where fruiting only occurred infrequently.

Encouragement of under-storey development

In many regenerating forests, especially those near areas of intact forest, an under-storey of native tree and shrub species will develop over time. A large number of species may colonize, leading to a substantial change in the appearance and structure of forest. However, if under-storey vegetation growth is slow, then it might be necessary to take deliberate actions to introduce such under-storey species to enhance the diversity of the forests.

Annex 7

Gender Analysis and Mainstreaming Action Plan

Gender equality is one of 17 Global Goals that make up the 2030 Agenda for Sustainable Development. An integrated approach is crucial for progress across the multiple goals. According to the Global Gender Gap Report released by the World Economic Forum (WEF) in 2016, Viet Nam ranked 65 on the Gender Gap Index (GGI) among 144 countries polled with a significant increase in general score from 0.689 in 2007 to 0.700 in 2016. Nevertheless, two areas of economic participation and opportunity and political empowerment show a declining trend in both score and ranking despite the difference in number of participating countries of the two point in time62..

Over the last decade, Viet Nam has made a strong track record of promoting gender equality and women's empowerment. The national legislative framework has been strengthened with the passage of two laws, the 2006 *Law on Gender Equality and the 2007 Law on the Prevention and Control of Domestic Violence*. Although policies on gender equity have improved, challenges remain in policy implementation in the areas of public education and awareness raising, reporting, gender analysis, collection of sex-disaggregated data and monitoring[63] at the national level. Thus, women are still chronically under-represented in positions of authority in both the public and private sectors, and in political positions. Increased education levels for women have also not translated into gender equality in labour markets as more women are involved in vulnerable employment than men, and occupational segregation between women and men still exists. According to the General Statistics Office's Report on the 2011 Viet Nam Labour Force Survey, "*women continue to be under-represented in politics and despite having one of the highest labor force participation rate of female over 15 (72.6% in 2011)*"[64]

At the household level, according to UN in Viet Nam "*Vietnamese women continue to face serious obstacles in their daily lives, including poverty, limited access to higher education and employment opportunities, as well as persistent discriminatory attitudes and behaviours*". There is an unequal sharing of household responsibilities between women and men and this continues to put a burden on women to balance family and work. Vietnamese women struggle against long traditions of subordination and lack of decision-making authority in the household. As for labor force participation, women are more involved in informal sector. In general, the labor force distribution rate consistantly differs between men and women over the period from 2010 to 2012 (51.4% men vs 48.4% women). More men participating in labor force than women while more than 81% males participating in the labor force vs only 72.5% women are. Especially, in the largest City, Ho Chi Minh city female workers accounted for 56% of employment among the informal workers while this proportion is only 42% in the formal sector. This show a trend of less opportunities are given to women. In the lens of income generation, the gender income gap is notable. Men earn more than women in the average monthly payment. Especially, this difference is even reach 1.5 times higher in the informal sector. Additionally, female jobs are also more insecure than those held by men, and women less frequently have professional premises for their activity, a much higher proportion working outdoors[65]

Reported levels of domestic violence against women are still high and require urgent action, not just through legislation and enforcement, but also through attitudinal change in society amongst men towards women and their rights.

Gender situation in the three selected sites

At community level, men are more directly involved in the agroculture and services sector. Women play a critical role in both ecosystem development economies and in efforts to conserve resources but often face significant challenges to contribute to their effective management. In compatible to The Global Gender Gap Report 2016 via 0.138 score in political empowerment, most of Farmer's Association' members and village and Commune People Committees heads are men. Traditionally, women in the rural and mountainous areas work in the agricultural fields, take care of livestock, collect non-timber and other agricultural products, as well as taking care of elderly people, children, other household members and various other household chores. They generally have a very limited role in decision-making on the livelihood choices and development of their families. They are also not often involved in

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[62] The Global Gender Gap Report 2016, page 362, Country Profile, Vietnam

63 http://www.un.org.vn/en/component/content/article.html?Itemid=&id=1081:cross-cutting-themes-gender

64 General Statistics Office (2012), Report on the 2011 Viet Nam Labour Force Survey, Ha Noi, page 6.

[65] General Statistics Office (2012), Report on the 2011 Viet Nam Labour Force Survey, Ha Noi, page 7

training courses, social networks (other than the Women's Union), local meetings or micro-credit systems, and so they have limited access to knowledge, skills or inputs to adapt their household and livelihood practices to enhance their own wellbeing.

The major community livelihood activities in the three targeted Biosphere Reserves are diverse with various women's participation from place to place depending on type of business. In Western Nghe An and Dong Nai BRs, most of the living earning comes from agricultural production, medicinal plant collection, forest product exploitation, organic farming, community eco-tourism, industrial agricultural tree plantation and tourism home stay. While in the Cu Lao Chao BR, the major income generation comes from tourism related works such as tour guide, home stay, tourist transport. Other livelihood activities in Cu Lao Cham include organic vegetable farming, bamboo handicrafts production, and fish sauce production. With a proportion of roughly 51% of the populations in all three sites, women play critical roles in these works in all three selected sites. For this reason, project activities focused on tourism and sustainable land and forest management will provide new opportunities for employment and income stability for the local community, and women in particular, and will contribute to improving the quality of life of the local communities. In the implementation of activities at the project pilot sites, specific attention will be focussed on ensuring the active participation of women, particularly in developing sustainable livelihoods and ecotourism.

The degradation of natural resources and the loss of biodiversity often impacts women disproportionately, as women and children are more dependent on natural resources for households' needs. Conservation efforts and biosphere reserve management that fail to take into account gender differences in resource use and management are likely to be unsustainable in long term and could even contribute to increased poverty, inequality, and resource degradation.

Strategy/Action Plan for Gender Mainstreaming in project

The project will ensure gender mainstreaming is well conducted throughout the intervetions at both national and local levels. At national level on BR related policy and management capacity development, the project will provide equal opportunity to both male and female policy makers, decision makers, and managers of the central institutions. At provincial level, the project will ensure to empower women's roles in awareness raising and education activities. A gender-balaced involvement of local participants in relevant activities including advocacy, capacity building, decision making, participatory planning and implementation of BR establishment and management, livelihood planning and implementation within three sites of BR, and adopting more ecosystem-friendly practices. Women's Union and Farmer's Union at local level will be involved in the project implementation in order to ensure roles of community women are promoted in planning and implementation of the BR establishment and management as well as in the areas of community livelihood.

At community level, the project will develop community capacity for sustainable management and use of local resources from the biosphere reserve areas including the core zone, buffer zone, and transition zone, thereby also increasing local adaptive capacity. Recognizing the disadvantages faced by women, the project will make a concerted effort to ensure that community women are able to participate effectively in project activities that are most relevant to them, including having access to training and being able to engage in the establishment of the biosphere reserve and protected areas, and the development and implementation of the BR management plan. The Project will equally integrate both men and women in the operation of the establishment of biosphere reserve areas, and the planning and implementation of the activities at commune and village level. In particular the training for sustainable livelihood will incorporate a gender perspective, to ensure that the needs of women, who frequently form a marginalized group in livelihood areas such as agriculture, farm animal raising, firewood collection, non-timber forest resource collection, organic agriculture, or eco-tourism are taken into account and that implementation the project could promote gender equality. Thus, benefits made to households and communities should include safeguards to ensure gender equality. During project implementation, capacity building activity planning will be specifically focused on ensuring that women are actively engaged in all aspects of the pilot activities, and efforts will be made to consult and engage local Women's Union to improve sources of income for women and enhance their engagement in these pilot programs.

Table 7.1: Gender Mainstreaming Action plan

Gender Mainstreaming	Gender Mainstreaming Activity	Gender mainstreaming Target

Objective		
To strengthen women's capacities in policy/decision making, management, planning and implementation of BR related policies at central level.	Support capacity building for national parliaments in BR related legislation making. Support building capacity for central level BR related managers and officials on BR establishment and management.	At least 30% of the participants are those female parliaments, governmental and sectoral managers of relevant stakeholders received capacity building and awareness raising on BR establishment and management
To strengthen institutional capacity at all level on gender equality and women's participation in BR management, livelihood, and sustainable use of natural resources.	Support gender studies and awareness raising for relevant institutions at both central and local level on gender equality and roles of women in biodiversity conservation, community-based management, sustainable use of natural resources, and livelihood in the BRs.	Specific gender related issues and capacity gaps are identified and taken up as a part of the planning process in related institutions at central level and in three pilot sites
To enhance capacity, skills and competence of women in technical aspects related to BR management, BD conservation and livelihood promotion	Technical training programs and other skills development activities for relevant target groups of women including managers at central and local level, Women's Union at community levels, and team leaders of co-management team (if any) on BR management, livelihood, and biodiversity conservation.	At least 50% of technical and front-line staff and women leaders of grassroots Women's Union are trained
To promote women's participation in BR co-management and sustainable use of natural resources within three BRs	Support Cu Lao Cham, Dong Nai, and Western Nghe An BRs to build capacities for community women and communal Women's Union in BR Co-management and sustainable use of natural resources. Support Women's Union of all communes in these three sites to advocate for greater involvement of community women in planning, establishment, and management of BRs and natural resources.	At least 50% of community women and Women's Union staff are trained on co-management and sustainable use of natural resources.
To promote women's roles in livelihood activities within three pilot sites	Provide technical training for community women on organic farming, sustainable tourism, medicinal plantation, non-timber product collection, handicraft production. Support communal Women's Union to promote women's participation in all livelihood activities in three sites	At least 70% of Women's Union staff members and community women received technical training on these issues and received further support to carry out their livelihood activities.
To monitor and evaluate women's participation and their empowerment through the project interventions	Incorporating gender-sensitive indicators and collection of sex-disaggregated data for monitoring and evaluating project results	Gender disaggregated data included in Results Framework and other monitoring and evaluation formats at various levels
To enhance roles of women in implementation of the project	Engaging local women community workers for social mobilization to encourage greater participation of women from local communities Ensure women are involved in the project activity planning,	At least 50% of the participants of the project management, implementation, monitoring, and evaluation women.

	implementation, monitoring and evaluation.	
To ensure high participation of women in project activities through innovative communication strategy and methods	To encourage women's role in the project communication strategy development and implementation in order to ensure information and knowledge of the strategy can reach relevant groups of community women as well as to Keep gender focus in awareness and communication campaigns	At least 50 % of the communication methods used in the project will be focused towards women
Improve women's role in decision-making	Promote adequate representation and active participation of women decision-making bodies.	At least 30% women representation in project specific committees at the central and local levels and grassroots level

Annex 8

Knowledge Management and Communications Strategy

The knowledge management and communications strategy (the 'Strategy') is prepared to promote the implementation of a structured approach in strengthening knowledge, awareness and understanding among and between stakeholders from the grassroots village and commune level to the national line ministries and policy makers as well as the global community, based on dissemination of documented best practices and experiences by the project. The Strategy targets achieving a harmonized documentation approach of experiences and best practices that feeds a coordinated flow of information, exchange of ideas and combined implementation, including for policy and decision makers, corporate and individual resources users as well as women and the poor, in mainstreaming conservation into landscape-based natural resources use in BRs (See Tables 8.1 and 8.2). in Biosphere Reserves. The Strategy targets different axes of operation in response to different types of stakeholder groups identified with different level of association with the project, knowledge needs and subsequent awareness raising targets, as summarized in the table below.

Type of information	Stakeholder groups					
	Internal stakeholders / project partners		Policy developers and decision makers		General community	
	National	Pilot sites	National	Pilot sites	National	Pilot sites
Project goals, activities, results	H	H	M	M	L	H
Goals, purposes and benefits from BR and PA conservation management	L	L	M	H	M	H
Goals, purposes and benefits from mainstreaming BD into socio-economic and sectoral planning	L	L	M	H	M	H
Opportunities for (alternative) sustainable livelihood in support of BR management objectives	M	M	M	H	M	H

Overarching Goals of Knowledge Management and Communications:

1. The Project itself is well understood and implemented effectively and efficiently by all involved partners, including the public.
2. Knowledge gained through the project (both in terms of content as well as process) is treated as an asset, and Knowledge Management Products related to or arising from project implementation (e.g. learning about implementing a project such as this) are documented, accessed, and used to improve practices by partners, the public, and international partners.
3. Awareness of key subject matters covered by the project (Integrated BR Planning and Best Practices for Sustainable Natural Resources Management) is improved and leads to upscaling for replication of best practices on the ground by partners and the public. Asa result:
    a. Key stakeholders from Provinces, National, Private, and Nonprofit sectors have increased their **understanding of integrated BR Planning** and the importance of mainstreaming biodiversity in socio-economic and development sectors through improved partnerships
    b. Key stakeholders, including communities and landowners have increased **understanding of best natural resources and agricultural practices**.
    c. The public has increased its **understanding of Biodiversity values and Ecosystem services and the threats posed to these.**
4. Documents about project activities and resources (e.g. monitoring and evaluation reports) arising from the project are captured in a durable form and feed into a clear Knowledge Management system.

Communications Objectives:

1. That key national, provincial and district partners, participating communities and private sector agencies are aware of the project objectives and activities and understand the value and benefit of mainstreaming biodiversity in socio-economic and sector development
2. That there is good understanding of the approaches for improving biodiversity conservation and ecosystem services within BRs.

Knowledge Management Objectives:

1. By the end of the project, the Implementing Partners will have created a system of Knowledge Management (e.g. containing multiple services lines such as a manual, annual conferences, cataloguing of reports) that captures learning from the process of implementing the project so as to provide a means for replication.
2. By the end of the project, a majority of project documents (including monitoring and evaluation results, case studies and best practices, planning documents, etc.) are available on a publicly accessible digital platform, and stakeholders have the means to access available Knowledge Management Products.

Communications Approaches:

1. **Improving Public Relations**: These include efforts to promote the project, its objectives and accomplishments. This involves communication through the news media, including radio, television and other social media networks.
2. **Public Outreach and Awareness:** The goal of these activities is to inform key stakeholders and the participating communities (on integrated BR Planning, mainstreaming biodiversity in development plans and practices, Best Practices, etc.). Activities include:
    - Face-to-face actions (e.g. fair exhibits, school visits, community visits),
    - One-way actions (using mass media, social media, public service announcements, printed materials, advertising, posters, signs, songs, or use of a logo), or
    - Interactive opportunities (e.g. pledges, competitions, cleanups, awards).
3. **Social Marketing and Behavior Change Marketing:** This may include:
    - A mix of tools from PR and Outreach
    - Direct marketing (e.g. meetings, letters, social media posts, calls, text messages, that are directed to an individual; plus advertising).
    - Include innovative mechanisms such as videos, photography exhibits, drama, community mapping.
4. **Advocacy:** This specifically targets decision makers with a specific policy goal of replication of integrated BR planning approaches.

Knowledge Management Approaches:

These efforts are geared to ensure that information being produced through the project is used, accessible, shared, and available for comment/feedback.

1. **External Content Availability:** This includes creating systems and protocols for collecting monitoring and evaluation reports, research reports, scientific and social findings, and other content generated through the project; and then cataloguing it and making it accessible.
    - Sub-contracts should include local language as to the minimum requirements for sharing knowledge.
    - Knowledge to be shared (written or filmed) and accessible forms (e.g. via the web) and by taking advantage of existing, multiple opportunities (e.g. libraries).
    - Knowledge is catalogued, resulting in a bibliography at the end of the project of content generated through the project.

- A system should be in place to inform project partners and the public about the availability of new Knowledge Products.

2. **Internal Capacity Building**: These include efforts to capture knowledge about the process of the project, in addition to the content.
    - Minimum outputs include a **Project Webpage with a catalogued resource tab leading to a digital resource library**; and an **Implementers Manual and Lessons Learned guide** to improve the implementation of future such projects.
    - Additional service lines should encourage multi-directional learning, and can include workshops, webinars, web pages, databases, conferences, meetings, scientific meetings, e-learning forums, knowledge networks, newsletters, and technical reports.

Knowledge Management Tools to use in the Project:

- Creation of an Implementer's Manual and Lessons Learned guide, with input from the Project Managers and BR Managers, as well as creation of a system for handover of knowledge between project implementers (e.g. a system for handling staff turnover).
- Digital Copies made accessible via a website or online hosting platform (e.g. Google Drive).
    - Contribute to and take advantage of (including links to) the BCA and BR websites
- Use of the BCA and Provincial BR Databases, and other existing databases in country
    - Reference Lists (a list of all Knowledge Management Products created, what they are about, where they can be found, who to contact for more information)
- A searchable, catalogued portion of a Website with uploaded, accessible documents
- In-country Workshops and exchange opportunities and/or conferences
- Peer Learning exchanges
- Meetings
- Printed Materials
- Shared Photo Database
- Use of alerts or social media to inform partners and the public about newly available KM Products.

Table 8.1: Challenges and Needs of the different stakeholders in the landscape

Stakeholder	Gaps and Challenges	Communication Needs & Instruments
National level		
Government Agencies	• Lack of horizontal coordination and communication between sectoral agencies. • Limited two-sided communication with and national interests groups, conservation and social engagement CBOs, NGOs, other relevant stakeholders. • Limited knowledge and capacity on BR principles and integrated solutions for mainstreaming biodiversity in production and livelihood sectors.	• Improved regular and open communication among sectoral agencies, including mainstreaming of intersectoral interests in policies, planning and action. • Strengthened information flow on conservation aspects, sustainable livelihood initiatives from and to CBOs, NGOs, etc. • Visibility of the project activities and results at national level. **Interventions and tools**: • Improved documentation of best practice solutions. • Training courses • Study tours • Web-based information portal

MAB National Committee	• Lack of capacity and budget for outreach activities, within the BR network and wider stakeholder landscape.	• Improve visibility of the BR network at national and provincial levels. • Strengthen engagement with policy makers, decision makers at all levels. • Expand information role on BR principles to wider community. • Ensure sharing of experiences and best practices.
		Interventions and tools: • Policy briefs and information meetings. • Media outreach campaigns. • BR network meetings • Web-based information portal
National media	• Lack of information and understanding on biodiversity, cause-impact-consequences economic development, and the benefits of conservation of ecosystem services to humans. • Limited information on activities and outcomes of the project	• Use of broad set of media instruments – newspaper, TV, radio, internet, and social media – to advocate for sustainable development and biodiversity conservation in BRs. • Sufficient information to effectively and regularly inform the general public on the activities and outcomes of the project.
		Interventions and tools: • Programming support to TV, radio, print • Press tours and field visits • Press releases, press conferences
General public	• Insufficient awareness about the significance of landscapes, biodiversity, ecological processes for human wellbeing	• Have sufficient understanding on linkages between human activities and the state of ecology and the environment, and benefits from maintaining ecosystems services to society and individual wellbeing. • Be informed on project goals, implementation progress, actual and anticipated outcomes and benefits for society
		Interventions and tools: • Website, social media • Festivals • Exhibitions
Science institutions	• Limited convergence of scientific research with traditional knowledge, on conservation and natural resource use. • Poor translation of research results into practical on-the-ground recommendations implementable by local land owners and natural resources users.	• Coordination of relevant research topics, including complex, joint thematic ones. • Better engagement with local natural resources users on livelihood practices. • Increased capacity to communicate results and meaning of scientific research for society.
		Interventions and tools: • Regular science-policy workshops. • Communication training. • Information platform for publishing and sharing research results, peer-reviewed as relevant. • Science to the field: extension services, town hall meetings, demonstration sites.
National CBOs	• Representing specific sectoral or target group focus, e.g. women, selected resource use sector	• Up-to-date information on the status of ecology and environment in the BRs and the country. • Regular information on project initiatives and results attained.

	(fisheries, agricultural commodity), age group, etc. • Lack of knowledge and understanding on intersectoral linkages in socio-economy	• Knowledge products and policy briefs. • Workshop participation. • Web-based information portal
National NGOs	• Limited thematic focus, often (but not always) driven by limited (local or international) funding. • Lack of coordination among NGOs and between NGOs and government agencies at all levels	• Regular information on project initiatives and results attained.
		• Knowledge products and policy briefs. • Workshop participation. • Web-based information portal
BR site level		
Provincial state authorities	• Poor cooperation and exchange of information, on activities, results, legislative initiatives, sectoral planning and development initiatives, management of natural resources use and conservation between sectors. • Lack of knowledge and capacity of provincial conservation and sectoral development staff.	• Strengthened information, from traditional land use best practices as well as scientific research on effective conservation and its mainstreaming in provincial socio-economic and sectoral planning. • Capacity building on effective communication and involvement of stakeholders. • Better awareness materials, including best practice description, policy notes • More transparent stakeholder consultation and decision making processes for collective action. • Effective communication to engage communities, private sector and households, including youth, women, indigenous people and the poor. • Visibility of the project activities and results at provincial and BR level.
		Interventions and tools: • Knowledge products and policy briefs. • Training courses to strengthen technical capacities and communication skills, engagement with communities and media. • Focus group discussion within and between sectors. • Workshops, intersectoral meetings and science briefings • Study tours • Web-based information portal
BR Management Boards	• Lack of capacity and tools to engage and communicate with stakeholders. • Lack of knowledge on best practices for mainstreaming	• Up-to-date information materials for use in campaigns, in visitor center • Sufficient technical and staff capacity for implementation of communication plan. •

	biodiversity, development and livelihoods in BR context. • Lack of staff, financial and information resources. •	**Interventions and tools**: • Staff training on communication, guide services, effective information management and visitor center operations, etc. • Outreach campaigns: public events; press releases, press field visits. • Information materials: brochures, leaflets, audio-visual products. • BR branding and visibility: billboards, logo, souvenir products. • Harmonized web-based information portal. • Information/visitor center for educational and tourism purposes.
Local communities	• Poverty limits capacity to adopt and invest in alternative, resources-conservation oriented livelihood initiatives, including tourism • Traditional land and natural resources use practices – positive and negative - engrained in society • Insufficient knowledge on impact from livelihoods on biodiversity, • Lack of understanding on BR principles and benefits from conservation of biodiversity and ecosystem services on livelihoods. • Aging population. • Gender imbalance in roles and responsibilities in land and resources use, including decision making between women and men. • Lack of understanding on project contribution to better livelihoods	• Understand the significance of BRs to the wider community, and the role the project plays in this. • More practical information on acceptable and appropriate best practice sustainable alternatives for traditional land and natural resources use for livelihoods. • Improved two-way communication between communities and commune, district and provincial agencies. • Strengthened supply chains with access to processing and markets. • Fair benefit sharing mechanisms adopted. • Strengthened engagement and voice in stakeholder consultations and decision making • Strengthened role of women in stakeholder consultations, decision making **Interventions and tools**: • Field demonstrations • Awareness events: exhibitions, street events, theatre plays, campaigns, etc. • Gender-targeted campaigns: women focal groups, social media, radio & TV, etc. • Hands-on training on alternative livelihoods in agriculture, NTFP, tourism
Local media	• Lack of information and understanding on biodiversity, cause-impact-consequences economic development, and the benefits of conservation of ecosystem services to humans. • Limited information on activities and outcomes of the project	• Understanding the project activities and results, as well as its significance. • Up-to-date information on BR principles, functioning, management decisions and implementation measures. **Interventions and tools**: • Documentation (popularization) and dissemination of best practices at local level. • Harmonized web-based information portal • Press releases, press conferences • Field visits

Education institutions	• Lack of knowledge on local ecological and environmental conditions • Limited understanding on cause-impact-consequence relations from natural resources use. • Limited capacity (technical, financial) to conduct field-based educational activities	• Improved knowledge on biology, ecology, environment conditions in BRs. • Better understanding of human impacts from economic development and local livelihoods on biodiversity, the value of ecosystem services for communities. • Up-to-date lecture and practical materials for use in dedicated courses. **Interventions and tools**: • Targeted (facultative) courses for different age groups, including teacher training, course materials. • Field visits • School command school camps • Eco-clubs •

Table 8.2: Key Knowledge Management and Communications Audiences

Strategy Objectives	Main audience
Objective 1: The Project itself is well understood and implemented effectively and efficiently by all involved partners, including the public.	• Heads and resource staff at Key National and Provincial Stakeholder Agencies and Organizations • Project Team (MONRE and BCA) • BR Management Boards • Provincial Government • MAB National Committee
Objective 2: Knowledge gained through the project (both in terms of content as well as process) is treated as an asset, and Knowledge Management Products related to or arising from project implementation (e.g. learning about implementing a project such as this) are documented, shared, accessed, and used to improve practices by partners, the public, and international partners.	• Project Team • National and Provincial Ministers • Project Partners and Sub-contractors, Consultants • Web content managers • The public • International and regional partners also implementing similar projects • NGOs
Objective 3a: Key stakeholders from Provincial, National, Private, and Nonprofit sectors have increased their understanding of Integrated BR Planning and the importance of biodiversity mainstreaming through improved partnerships	• Heads and resource staff at Stakeholder Agencies and Organizations • Provincial People's Committees • District and Commune People's Committees • Women's Groups • Youth Groups • Private Businesses (including tourism) • Developers / Influential Landowners • Other Provincial Planning Teams (Socio-economic development planners)
Objective 3b: Key stakeholders, including community resource users have increased their understanding of Best Practices in agriculture, fisheries, forestry and livelihoods	• Farmers, • Fishers • Private Businesses (tourism and other) • Tour Guides • Community Groups • Aqua-culturists • Fishing Cooperatives • Resort owners

Objective 3c: The public has increased its understanding of Biodiversity and Ecosystem services	• The Public • Farmers • Landscapers/Gardeners • Aqua-culturists • Resort owners and workers • Importers • Tourists • Media personnel
Objective 4: Documents about project content and resources (e.g. research reports) arising from the project are captured in a durable form and feed into a clear Knowledge Management system	• Project Team and Managers • Project partners • Web manager • Head and resource staff at National and provincial Stakeholder Agencies and Organizations • Youth/Students • The Public/Practitioners/ Resource owners and users • Regional and International partners • Researchers • NGOs

Table 8.3: Work Plan for Implementation of Communication Strategy

Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
Baseline Attitudinal Survey																				
Participatory Workshops for preparation of BR KM and Communication Plans																				
KM and Communication action plan for BRs																				
Preparation of Communications Materials																				
Capacity Building for KM and communication plan implementation at provincial level																				
Implementation of KM and Communication Action Plan																				
Media Campaign																				
School programs																				
Annual National level Festival, Competition, Consultation																				
Monitoring community attitudes on conservation																				
Annual BR review and KM sharing Workshops																				
Branding and endorsement																				
Knowledge Products and Information Material																				
Documentation of best practices																				
Policy Review, Draft document, Final Report, Submission																				
National Workshop on Results																				

Implementation

During the Inception Phase of the project, the knowledge management and communication strategy will be elaborated into harmonized and standardized Knowledge Management and Communication Action Plans for each BR and the national level, which will further detail the targeted activities and their timing for implementation over the 5-year project implementation period. The main value embedded in the Knowledge Management and

Communication Action Plan is to set communication systems that are effective, sustainable and long lasting; aiming to build capacities at the local level to create communication and knowledge management material that gives a voice and purpose to the local community, builds regional, national and international visibility to BRs and the BR network. The Communication Action Plan will create an effective information provision network both at the BR site level, across the landscape as well as the national level, representing the diversity of stakeholders concerned with conservation, economic, social and livelihood considerations.

The Knowledge Management and Communication Action Plan will be implemented at the BR level as well as national level. At the BR level the project will engage the part-time local consultancy services of a knowledge management and communication consultant to support developing knowledge management and communication materials as well as the implementation of all targeted activities. At the national level, the preparation of knowledge management and communication materials and implementation of agreed events and campaigns will be coordinated by the PMU with support of MONRE, ensuring a harmonized approach with knowledge management and communication initiatives at the BR level and ensuring connectivity between the pilot BR teams, while also linking the project's knowledge management and communication initiatives to relevant partners' initiatives at the national level.

In each BR, to facilitate horizontal and vertical exchange of information and knowledge sharing to strengthen decision support systems, the project will develop harmonized web-based knowledge management and communication systems that serve both as a platform for open access to relevant scientific, monitoring and management information at the BR level and as long-term communication repository supporting interested parties and the community at large with in-depth and follow-up information in addition to campaigns, media events, workshop and other active communication and awareness raising initiatives. The repository function of the information management system will ensure open and permanent communication with any interested stakeholder, to ensure that all stakeholders are informed on an ongoing basis about the project's objectives, activities, implementation progress as well as opportunities for involvement.

Making use of the variety of knowledge management and communication tools, the project will serve to provide targeted support to strengthening knowledge, understanding and support at various levels to facilitate mainstreaming of biodiversity conservation issues at the local and landscape levels. Successful implementation of this component in the pilot BRs will create an enabling framework for replication and scaling up throughout the BR network in the country, supported by targeted project activities under Output 1.4.

Annex 9

Terms of Reference for Project Management Key Staff

-See Separate File-

Annex 10

Social and Environment Screening Template

-See Separate File-

Annex 11

Multi Year Work Plan

Task	Responsible Party	YR 0	Year 1				Year 2				Year 3				Year 4				Year 5			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Pre-Planning Phase (PPG Phase)																						
Constituting of Project Board/Steering Committee	UNDP, MONRE																					
Constituting of national and regional level management (National and regional PMUs)	MONRE and PPCs																					
Hiring of Contractual Staff for National and Regional PMUs and PITs	VEA and PPCs/MBs																					
Establishment of Project Special Accounts and Fund Flow Arrangements	UNDP and GOV																					
Planning and Implementation Phase																						
OUTCOME 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.																						
Project Board/National Steering Committee meetings	MONRE																					
Revision of Statute and Reconstitution of National MAB Committee	GOV/MONRE																					
National MAB Committee meetings	MONRE																					
National strategy and action plan for BRs	MONRE																					
BR Advocacy Plan	MONRE																					
Revision of Biodiversity Law	MONRE																					
Strategy to strengthen BR Management Boards	MONRE																					
New Decrees, Circulars for Implementation of revised Biodiversity Law	MONRE																					
Guidelines for development of BR management strategies	MONRE																					
Guidelines of HCVFs and KBAs	MONRE																					
Legal documents on BR financing	MONRE																					
Guidelines on biodiversity and ecosystem status monitoring	MONRE																					
Design and guidelines on community revolving funds	MONRE																					
Review legislation and regulations for provincial economic planning and recommendations	MONRE																					
Rules and regulations for new tourism infrastructure in BRs	MONRE																					
Guidelines on EIA/BIA application	MONRE																					
Guidelines and tools for improved tourism business planning	MONRE																					
Strategic plan for ecotourism development in BRs	MONRE and BR MBs																					
Annual BR review meetings	MONRE and BR MBs																					
Design of Conservation, integrated socio-economic planning and biodiversity mainstreaming training program	MONRE																					

Training of BR staff on Conservation, integrated socio-economic planning and biodiversity mainstreaming in BRs	MONRE																					
Identification of opportunities for new BRs	MONRE																					
Replication and scaling up strategy for BRs	MONRE																					
Best practices manual	MONRE																					
National seminar on BR best practices and scaling up	MONRE																					
UNESCO Nomination dossier for new BR	MONRE, UNESCO and PPC																					
Manual on forest restoration	MONRE and PPCs																					
Participation in regional and international events	MONRE, PPCs, etc.																					
Outcome 2: Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves to mainstream protected area management, sustainable resource use and biodiversity-friendly development																						
Assessment and mapping of BR landscapes	BR MBs																					
Meetings to reach Integrated BR Management Agreement	BR MBs																					
Integrated BR Management Agreement	BR MBs																					
Provincial Decision to mainstream biodiversity consideration in sectoral development planning	PPCs																					
Capacity building of provincial sector agencies to mainstream biodiversity conservation in sector plans	BR MBs																					
Provincial decision on application of BIA process in EIA in BRs	PPCs																					
Development/revision of PA management plans	MARD/PPCs																					
Development of protocols for monitoring key species	BR MB MARD/PPCs																					
Monitoring of key species	BR MB, MARD																					
Implementation of conservation management interventions in PAs	PA MB, PPC and MARD																					
Capacity building for PA staff	BR MB/MARD																					
Preparation of site specific plans for “set-asides” for non-exhaustive use	BR MBs																					
Investments for “set-aside’ areas	BR MBs																					
Preparation of restoration and rehabilitation plans for degraded forests	BR MBs																					
Implementation of restoration of degraded forests	BR MBs																					
Selection of priority communes for implementation of conservation, sustainable natural resources use and livelihoods	BR MBs																					
Orientation and mobilization of Commune population	BR MBs																					
Commune Conservation Planning	PITs and CCCs																					
Preparation of Commune Conservation Plans	PITs and CCCs																					
Implementation of Commune Conservation Plans	PITS and CCCs																					
Establishing and operationalization of Commune Conservation Funds	CCCs																					

Design of BR tourism certification program for Cu Lao Cham BR	BR MB (and BCA)																					
Implementation of BR tourism certification program in Cu Lao Cham BR	BR MB																					
Assessment of tourism and certification opportunities in Western Ngha An and Dong Nai BRs	BR Mb (and BCA)																					
Investments in selected ecotourism services and products	BR MBs																					
Outcome 3: Knowledge management, monitoring and evaluation contributes to equitable gender benefits and increased awareness of biodiversity conservation																						
Preparation of communication and awareness plans for BRs	BR MBs																					
Preparation of communication materials	BR MBs																					
Implementation of awareness programs	BR MBs																					
Implementation of gender mainstreaming action plan	BR MBs																					
Design of simplified and standardized information management system	BCA																					
Operationalization of BR information management system	BR MBs																					
Preparation of BR best practices and Interpreter's Manual	BR MBs (and BCA)																					
Policy level provincial workshops and seminars	BR MBs (and BCA)																					
Supervision, Monitoring and Evaluation																						
Monitoring social and environmental risks	MONRE																					
Supervision	UNDP																					
MTR tracking tool update	MONRE and MBs																					
Final tracking tool update	MONRE and MBs																					
Audits	UNDP																					
MTR Independent Review	UNDP																					
Final Project Review	UNDP																					

Annex 12

Monitoring Plan

The National Project Manager, in consultation with the BR Management Boards will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project objective To effectively mainstream biodiversity conservation and natural resources management objectives into governance, planning and management of socio-economic development and tourism in Biosphere Reserves	Indicator 1: Area of sustainable management solutions at sub-national level for conservation of biodiversity and ecosystem services that benefit from integrated landscape and seascape planning and management approaches	*At least 1.22 million hectares[66] of BRs managed through participatory approaches that integrates biodiversity conservation and sustainable natural resources use into BR planning and management*	Consultation with community groups and remote sensing, GIS, ground surveys, inventories, etc.	Mid-term and end-of-project	BR MBs	Management plan documents implementation status reports, Annual work plan completion reports, METTs	*<u>Assumptions:</u>* *-Local communities understand livelihood benefits and ecological security from cooperation with and sustainable management of landscape resources. Thus, they will participate in sustainable management and ecosystem restoration work.* *-The National and Provincial Governments consider it their priority to support integrated planning of its BRs and implement target oriented activities with local communities to improve conservation and sustainable use of such resources.* *<u>Risks</u>:* *-Natural disaster may affect the restoration work.* *-Lack of capacity in government and communities to meet obligations related to project.* *-Livelihood benefits from sustainable management may*
	Indicator 2: Number of households participating in improved and alternative livelihoods and sustainable resource management and best practice approaches	*At least 2,500 households directly benefit through sustainable natural resource management and livelihood improvement approaches and increase of 20% in average incomes (At least 30% of the beneficiaries would be women)*	Consultation with community groups/participatory assessments, ethnographic records, community surveys, informant assessments	Annually	PITs and BR MBs	Commune Conservation Plans, Annual plan budget estimates and statement of expenditures. Survey records	

[66] Area of core and buffer zones of the 3 BRs, which are likely to benefit from the integrated approach

	Indicator 3: Extent to which Institutional frameworks are in place for integration of conservation, sustainable natural resource use, biodiversity and ecosystems and improved livelihoods into BR planning and management	*Multiple use and sustainable BR planning and management approaches institutionalized in 3 BRs through strengthened national and provincial coordination mechanisms and related institutional agreements*[67]	Consultation with BR MBs	Mid-term and end-of-project	National MAB Committee (in consultation with BCA and BR MBs)	National and Provincial Regulations; Coordination Committee meeting records; Independent Evaluation Reports	*be low to give up current unsustainable practices* *-Conflicts over territorial issues between partner institutions at BR level could undermine efforts at promoting integrated planning approaches.* *and communities would work in close collaboration for preparation of landscape management frameworks* *<u>Risks:</u>* *-Natural disaster may affect the restoration work.* *-Lack of capacity in government and communities to meet obligations related to project.* *-Livelihood benefits from sustainable management may be low to give up current unsustainable practices* *-Conflicts over territorial issues between provincial and national entities could undermine efforts at promoting integrated planning approaches.*

[67] As measured by National MAB Committee embedded, legally mandated and functional as coordination body; revised Law on Biodiversity; Legal document on BR establishment and management; Legal document on budget financing for BRs; National strategy and Action Plan on BR management;

Project Outcome 1 Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.	Indicator 4: Extent to which legal or policy frameworks are in place for integration of socio-economic development and tourism into planning and management of Biosphere Reserves	*Revised legislation under Biodiversity Law[68] and at least three legal instruments (decrees, circulars and guidelines)[69] clarifying BR planning and management adopted*	Consultative meetings, interviews, and monitoring data regarding legislative and policy changes	Annually	MONRE	Government approved notice for new/revised legislation, decrees, circulars and guidelines	*<u>Assumptions</u>* *-The national government will develop appropriate legislative, policy, institutional and technical measures that facilitate integrated BR planning and management in a timely manner.* *-Development strategies and BR management strategies and plans will be officially approved by Provincial governments with allocation of appropriate staff and funding for their implementation* *<u>Risks:</u>* *-Priorities of provincial governments and local communities might shift if development benefits take long to manifest*
	Indicator 5: Level of institutional capacities for planning, implementation and monitoring integrated BR management as measured by UNDP's capacity development scorecard	*Increase of institutional capacity as measured by a 30 % increase in UNDP National and Provincial Capacity Development Scorecard of baseline values*	Consultation with BR MBs, Consultative meetings with sector agencies and stakeholders, interviews, monitoring data and surveys etc.	Annually	BCA and BR MBs	Protected Area management plans, Annual approved budgets reports, expenditure statements, monitoring reports, etc.	

[68]This specifically includes revised Biodiversity Act that incorporates guidance on BR establishment and management, institutional arrangements for BR coordination and planning; defined relationship between national and provincial entities relating to BR planning and management

[69] Specifically includes decrees, circulars or guidelines to incorporate Biodiversity consideration in socio-economic development planning, mainstreaming biodiversity into tourism, forestry and other relevant sectors, BR zoning, and differentiation of EIA and BIA application in different zones of BR

	Indicator 6: Increase percentage of new permitted developments in the identified key sectors that trigger requirement for environmental assessment and integrates relevant national policies and practices that mainstream biodiversity	*At least 50% of new permitted developments in the identified key sectors in BRs that trigger requirement for environmental assessment integrates BIA guidelines*	Consultation with PPC, hoteliers and developers	Annually	BR MBs	Environmental Assessments, New building permits, Environmental Management Plans and Monitoring data	*<u>Assumptions:</u>* *-Provincial environmental agencies effectively capacitated to develop, monitor and enforce regulations* *-National policies are in-place that provide specific direction to management priorities granting environmental agencies sufficient authority to manage environmental consequences of development.* *<u>Risks:</u>* *- Political patronage and interests can complicate the effective application of safeguard policies and practices as well as monitoring*
	Indicator 7: Increased financing for scaled up investment in BR management in Vietnam	*20% increase in funding over baseline[70] for BR management in Vietnam (all BRs)*	Consultation with BR MBs, PPCs etc.	Annually	BCA	Annual BR budget estimates and expenditure statements	*<u>Assumptions:</u>* *-Additional revenues can be developed for replication and scaling up throughout the country* *-Buy-in at all levels of society, including timely dissemination and awareness of the benefits of conservation* *<u>Risk</u>:* *-Adequate resources to replicate integrated approaches may not be identified due to competing government priorities* *-Sufficient trained and committed personnel unavailable to provide adequate coverage*
Project Outcome 2 Integrated multi sector and	Indicator 8: Improved management effectiveness of protected areas and	*Average increase by at least 30 points in METT from current PAs baselines and avoided*	Consultations with PA managers, groups/interviews, surveys,	Mid-term and end-of-project	BR MBs, DARD, PPCs	METTs	*<u>Assumption:</u>* *-Development strategies and management plans will be officially approved by Provincial*

[70] Baseline financing for 2017 for 3 pilot BRs is US$ 405,777

multi-stakeholder planning and management operational in three Biosphere Reserves that mainstreams protected area management, sustainable resource use and biodiversity-friendly development	biological rich areas within designated BRs	*6,292,067 tCO_2 eq. over 10 year*	participatory workshops				*governments with appropriate funding for their implementation* *-Local communities are convinced that critical habitats in their vicinities will benefit livelihoods and ecological security to them and they will participate in conservation and restoration work.* *<u>Risk:</u>* *Administrative/political changes may undermine the implementation of the management plan strategies* *-Lack of capacity in government and communities to meet obligations related to project* *-Conflicts between national and provincial sectoral entities and local communities regarding management and access to natural resources may undermine integrated planning approaches*
	Indicator 9: Number of hectares high conservation value forests or coastal and marine ecosystems, including forests and coastal and marine areas set-aside for non-exhaustive use	*Set-aside areas (high conservation value forests and other ecosystems) for non-exhaustive use of at least 60,000 ha,[71] resulting in total avoided 6,501,363 tCO_2 eq. over 10 year*	PA managers and Community groups/interviews, surveys, participatory workshops	Mid-term and end-of-project	BCA (in consultation with BR MBs, PPCs and DARD)	IBRMAs, legal notifications, set-aside management plans and agreements	
	Indicator 10: Number of hectares of degraded forests areas restored through sustainable community management regimes	*At least 4,000 ha[72] of degraded forests (and other ecosystems) under improved restoration through assisted natural regeneration to improve connectivity resulting in total sequestrated 224,277 tCO_2 eq. over 10 year*	Consultation with BR MBs, PPCs and DARD, field visits and surveys	Annually	BR MBs, DARD and PPCs	Restoration Plans, Restoration Monitoring Plans, etc.	
	Indicator 11: Change in status of key indicator species as: (a) Cu Lam Cham BR: *Lobophyllia serratus, Porites ornate and land crab* (b) Dong Nai BR: Gaur (*Bos gaurus*), Yellow cheeked gibbon *(Nomascus gabriellae)* and Black Shank Douc (*Pygathrix nigripes*) (c) Western Nghe An BR: Gaur *(Bos gaurus)* and White cheeked crested	*Maintained or improved populations of key species in BRs from current baseline values*	Consultations with BR MBs, field visits and surveys	Annually	BR MBs	Monitoring and survey reports	*<u>Assumption:</u>* *-Adequate technical capacity available for undertaking monitoring species populations* *<u>Risk:</u>* *-External factors beyond the control of the project (e.g. climate change) might effect species populations negatively*

[71] The 60,000 ha of new set-asides will be established following the mapping exercise (Output 2.2) and be achieved through (i) re-zoning of BRs, including expansion of core zones; and (ii) expansion of BRs.
[72] Degraded forest areas to be restored to be identified through mapping exercise (Output 2.2) and include areas in Dong Nai BR and Western Ngha An BR

	gibbon (*Nomascus leucogenys*						
	Indicator 12: Increase in percentage of hotels and tourism facilities in and around BRs meet biodiversity-friendly certification standards	*At least 50% of hotel and tourism facilities within selected BRs adopt biodiversity-friendly certification standards*	Attitudinal surveys, informal visits etc.	Annually	BR MBs	Certification records	*Assumptions* *-Standards developed for certification would take time, but be accompanied by clear guidance and training to facilitate certification* *Risks* *-Lack of adequate of enforcement staff and technical capacity might negate achievement of proposed outcomes*
Project Outcome 3: Knowledge management contributes to equitable gender benefits and increased awareness of biodiversity conservation	Indicator 13: Increase in percentage of sampled community members, hoteliers, tour operators and sector agency staff aware of and taking action to address potential conservation threats and their adverse impacts on biodiversity within BRs as measured by KAP survey approach. [73]	*At least 50% (at least 40% women) of sampled community members, hoteliers, tour operators and sector agency staff aware of potential conservation threats and adverse impacts of unplanned developments*	Attitudinal surveys and consultations	Annually	PITs and BR MBs	Attitudinal survey reports	*Assumption:* *-Stakeholders willing to actively participate in the review process.* *-Project management will be able to identify, document and disseminate the best practices* *-Mid Term Review and End of Project Evaluation of the project will also contribute to identifying the best practices* *-Best practices on sustainable resource management readily available to resource users* *Risks:* *-Government priorities may change from due to political pressure from resource users* *-Community diversity will be a hindrance to outreach activities*
	Indicator 14: Number of additional best practices of sustainable land, coastal and marine resource use demonstrated, documented and disseminated and upscaled for replication	*At least 8 new best practices demonstrated and lessons from project documented and disseminated and planning for replication in progress*	Participatory assessments, interviews, review workshops	MTR and Project Completion	BCA	Best practice documents and proceedings of dissemination events and implementation reports	
Mid-term GEF Tracking Tool (if FSP project only)	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF	After 2nd PIR submitted to GEF	BCA	Completed GEF Tracking Tool	*Assumption: MONRE and Provincial governments commitments to assessment*

[73] The Knowledge, Attitude and Practices (KAP) approach will collect reference qualitative and quantitative declarative information on misunderstanding and barriers to behavior change, using appropriate tools including survey questionnaires, Focus Group Discussions and Key Informant Interviews, among others.

			Tracking Tool included in Annex.				
Terminal GEF Tracking Tool	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF	BCA	Completed GEF Tracking Tool	*Assumption: MONRE and Provincial governments commitments to assessment*
Mid-term Review (if FSP project only)	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3rd PIR	Independent evaluator	Completed MTR Report	*Assumption: MONRE and Provincial governments commitments to assessment*
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	BCA Project Manager UNDP CO	Updated SESP	*Assumption: Provincial governments recognize and committed to manage social and environmental risks*

Annex 13

Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants[74]	Other budget (i.e. travel, site visits etc.)	Budget for translation
Terminal Evaluation	April 30, 2024 3 months before operation closure	July 11, 2024 To be submitted to GEF within three months of operational closure	Mandatory	USD 40,000	Included	USD 5,000
			Total evaluation budget	USD 45,000		

[74] The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

Annex 14

Summary of Consultants and Contractual Services Financed by the Project for 5-years

Consultancy assignment	Main tasks	Required Qualification	Input (months)	Total Costs (USD)
International Consultants				
International Consultancy assignments under component 1	International Consultancy (IC) assignments under outcome 1 will support the national PMU and BR site-level PMUs, as well as designated national individual consultants and service contractors, in strengthening the institutional coordination framework for integrated ecosystem management in BRs, specifically on overall BR management BR advocacy as well as BR ecotourism strategies. Also ICs will support the formulation of, national guidelines on BR management planning approach, on identification of HCV areas/KBAs advocacy, on biodiversity monitoring, on EIA/BIA in BRs, and on tourism infrastructure, as well as provide advisory on community level revolving funds, legal arrangements for sustainable BR budget financing, legal regulations on mainstreaming BR and biodiversity considerations into socio-economic and sectoral planning, and strengthening EIA legislation. ICs also will support dissemination, replication and upscaling of best practice demonstration of the integrated BR model to other BRs, existing or potential, including support to strategic planning, training and capacity building, and identification of new BRs, as well as documentation of best practices, includes a manual on forest restoration approaches. TORs for ICs, including detailed descriptions of specific objectives and activities, will be developed during project implementation. Relevant ICs can be individual assignments or merged for related activities, as appropriate.	Generic key qualifications for ICs include: • Master's degree or higher in biology, ecology, biodiversity conservation, integrated natural resources management, environmental management, or other field with close relevance to the assignment. • At least 10 years of demonstrated professional experience in successful completion of assignments directly related to the assignment. • Up-to-date knowledge on state-of-the-art and best practices globally and regionally, related to the subject of the assignment. • Profound competency in delivering advisory services to international, national and site-level state agencies and other relevant stakeholders, through workshops, presentations, bilateral meetings, etc. • Excellent English language skills; knowledge of Vietnamese will be an advantage. • Excellent analytical, writing and communication skills, specifically in English. • Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	22	264,000
International Consultancy assignments under component 2	IC assignments under outcome 2 will target supporting the national PMU and BR site-level PMUs, as well as designated individual consultants and service contractors, with planning and implementation of site-level project activities in the 3 pilot BRs, aimed at strengthening integrated multi-sectoral and multi-stakeholder planning and management to mainstream conservation management, sustainable resources use and biodiversity-friendly livelihoods. Specifically IC are envisioned to provide advisory services to improved pilot BR management planning, including mapping and assessment of BRs, the formulation of Integrated Biosphere Reserve Management Agreements, including aspects of conservation mainstreaming in socio-economic and sectoral development plans, and PA Management Plans, including monitoring protocols, all supported with targeted capacity building activities as appropriate. In support of SLM/SFM, ICs also will advise on site-specific plans for non-consumptive forest resource uses and forest rehabilitation and restoration plans. ICs will also support strengthening the role of BRs in sustainable tourism development and benefit sharing for conservation, specifically supporting the design of a	Generic key qualifications for ICs include: • Master's degree or higher in biology, ecology, biodiversity conservation, forest management, integrated natural resources management, social sciences and sustainable development, tourism development, environmental management, or other field with close relevance to the assignment. • At least 10 years of demonstrated professional experience in technical assignments directly related to the assignment. • Up-to-date knowledge on state-of-the-art and best practices globally and regionally, related to the subject of the assignment. • Profound competency in delivering advisory services to international, national and site-level state agencies and other relevant stakeholders, through workshops, presentations, bilateral meetings, etc.	18.25	219,000

	BR tourism certification program for CLC BR and review of tourism and certification opportunities in DN BR and WNA. BR.	• Excellent English language skills; knowledge of Vietnamese will be an advantage. • Excellent analytical, writing and communication skills, specifically in English. • Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Mid-term evaluation	Conduct the formal Mid-Term Evaluation (MTE) according to UNDP and GEF templates and requirements. The overall objective of the MTE is to review foru categories of project progress – project design, progress towards the project's objectives and outcomes, adaptive management, and sustainability. The MTE will identify strengths and weaknesses in implementation, and identify risks and counter-measures. Specifically, the MTE IC assessment will be based on document review (i.e. PIF, UNDP Initiation Plan, Project Document, ESSP, Project Inception Report, PPRs, MTE Tracking Tools, Project Appraisal Committee meeting minutes, financial and administration guidelines, project operational guidelines, Project Steering Committee minutes, etc.), as provided by the Project Team, followed by targeted interviews and site visits. An important aspect of the evaluation is to assess the likelihood of the project achieving its objectives and delivering its intended outputs, and to provide recommendations and lessons to help the project design and modifications to increase the likelihood of success, as appropriate. The MTE IC will be supported by a national MTE consultant.	Generic key qualifications for the MTE IC include: • Master's degree or higher in biology, ecology, biodiversity conservation, forest management, integrated natural resources management, social sciences and sustainable development, , environmental management, or other field with close relevance to the assignment. • At least 10 years of demonstrated professional experience in technical areas relevant to the project. • Recent experience with result-based management evaluations and methodologies, specifically related to donor project evaluations. • Profound competency in working with international, national and site-level state agencies and other relevant stakeholders during evaluations. • Excellent English language skills; knowledge of Vietnamese will be an advantage. • Excellent analytical, writing and communication skills, specifically in English. • Previous evaluation/review experience with the UN, UNDP, and/or GEF is an advantage.	Lumpsum	30,000
Terminal evaluation	Produce formal Terminal Evaluation according to UNDP and GEF templates and requirements. The objectives of the evaluation are to assess (i) the achievement of project results, against expectations set out in the Project Logical Framework/Results Framework; (ii) the key financial aspects of the project, including the extent of co-financing planned and realized; (iii) to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The evaluation must provide evidence-based information that is credible, reliable and useful. Following a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser and other key stakeholders, the evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. The TE IC will be supported by a national TE consultant.	Generic key qualifications for the TE IC include: • Master's degree or higher in biology, ecology, biodiversity conservation, forest management, integrated natural resources management, social sciences and sustainable development, , environmental management, or other field with close relevance to the assignment. • At least 10 years of demonstrated professional experience in technical areas relevant to the project. • Recent experience with result-based management evaluations and methodologies, specifically related to donor project evaluations. • Profound competency in working with international, national and site-level state agencies and other relevant stakeholders during evaluations. • Excellent English language skills; knowledge of Vietnamese will be an advantage.	Lumpsum	40,000

		• Excellent analytical, writing and communication skills, specifically in English. • Previous evaluation/review experience with the UN, UNDP, and/or GEF is an advantage.		

SHORT-TERM NATIONAL CONSULTANTS

Consultancy assignment	Main tasks	Required Qualification	Input (months)	Total Costs (USD)
	National Consultants[75]			
Development of Statutes for the MAB National Committee	• Review of current institutional arrangement and the legislative-regulatory framework on BR management through the MAB National Committee. • Assess the structure, arrangement, role and responsibilities, membership and decision making regulations and practices of the MAB National Committee. • Conduct stakeholder consultations at the national and BR site levels, as relevant, to identify gaps and needs for national support to the BR network, specifically on the envisioned institutional framework, coordinating role, tasks and responsibilities for the MAB National Committee. • Formulate Statutes for the MAB National Committee, defining roles and responsibilities, membership, statutes, decision making and operational management and financing, including its Secretariat.	MSc Degree or higher in field with close relevance to the assignment; At least 7 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically BR principles; application of BR approach in national and provincial landscape planning, coordination and guidance from national MAB institutions, legal arrangements on role and responsibilities of MAB Committees; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
National BR strategy and action plan	• Review the analysis on institutional arrangement and the legislative-regulatory framework on BR management through the National MAB Committee conducted for MAB statutes development. • Analyze relevant legislation, institutional arrangements and adopted policies on land use planning, biodiversity conservation, sectoral economic development, environmental management, impact assessment, etc. with focus on BRs and provincial/landscape-level designated responsibilities, to formulate a SWOT analysis on gaps, weaknesses, overlaps in existing policy, legal and planning frameworks. • Review the global, regional and national goals and strategies under UNESCO's MAB program as guiding principle for BR management in Vietnam. • Conduct consultations with relevant stakeholders to develop recommendations for improvements to existing policies and regulations towards integrated land, water and natural resources management in BRs. • Develop the National BR-SAP for 2020-2025, including overall vision, envisioned targets, current limitations, threats and impacts, objectives and goals with SMART indicators of success, and proposed sectoral actions with anticipated financing needed towards improved BR management.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically development of national strategies, BR principles and opportunities for national engagement, understanding of national policy, strategy and planning development frameworks, established working relations with national stakeholder relevant to BRs; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000

[75] For contracts of 4 months or more.

	• Present the draft BR-SAP, and finalize the document based on opinions and recommendations collected, submit the BR-SAP to relevant state authorities for formal approval.			
Rules and guidelines for new and existing tourism infrastructure	• Assess current and potential tourism practices in BRs and actual/envisioned impact on conservation and livelihoods. • Review national and site-level legislative regulations and their practical applications in tourism development in BRs, including considerations for BR zoning; building requirements, EIA procedures and impact mitigation regulations. • Analyze tourism certification available in Vietnam in perspective of regional and global best practices for certification in tourism sector, specifically infrastructure, and assess opportunities for adoption. • Propose rules and guidelines for mainstreaming biodiversity concerns in tourism development planning in BRs, including standards, approval regulations, criteria and procedures for certification, and framework for enforcement.	MSc Degree or higher in field with close relevance to the assignment; At least 8 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically tourism development and linkages to sustainability and impacts on biodiversity, tourism certification opportunities and their successful application, application of mitigation hierarchy for biodiversity consideration in private sector tourism development; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
Support revision of EIA legislation	• In consultation with key stakeholders, review current EIA policy and legislation; conduct gap analysis to identify constraints and impediments, with specific focus on (i) the regulations and applications of BIA as part of EIA; (ii) regulations on applying EIA/BIA in BRs; (iii) role of BR management board in reviewing impacts from developments in BRs. • Assess capacities in designated authorities, including BR management boards, for proper application and enforcement of EIA, and specifically BIA, and formulate recommendations for directional improvement. • Conduct workshops at national and regional level to identify opportunities for improvement and build consensus on desired changes to legislation and policy on EIA/BIA, including the role and responsibilities for BR management boards and related capacity needs. • Develop recommendations, as appropriate, for (i) formal adopting of BIA guidelines and strengthen its application in EIA processes; (ii) strengthening legislative-regulatory framework for BR management board participation and responsibilities in EIA/BIA; (iii) enforcement of applying BIA guidelines in EIA processes, including capacity building in relevant authorities.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically national EIA regulations and practices, biodiversity consideration and landscape-level impacts in EIA procedures, experiences in conducting BIA/EIA, specifically related to PAs; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
Guidelines on EIA/BIA application in BR zones	• Review BR zoning regulations, specifically in relation to regulations for and/or limitation to socio-economic and sectoral development. • Review current guidelines for EIA/BIA and as appropriate identify gaps on their ability to differentiate application in landscape zone with more/less strict regulations on development. • Review regional and global experiences in application if differentiated EIA/BIA procedures in landscape zone with variation in protection functions.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically practical application of EIA/BIA, land use sustainability principles and incorporation in development planning and practices based on	4	16,000

	• Conduct stakeholder consultations on needs, gaps, opportunities and challenges for formulation and implementation of differentiated EIA/BIA procedures. • Develop draft guidelines on differentiated EIA/BIA for application in BR zones.	impact assessment, opportunities for legal arrangements to strengthen EIA/BIA differentiation; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Guidelines and tools for improved tourism business planning	• Review current practices of tourism planning, approval procedures for establishment and management of business infrastructure and services, protocols for monitoring ecological aspects etc. • Based on review identify key gaps in tourism business planning that precludes implementation of tourism best practices. • Develop user-friendly best practice guidelines, tools, manuals, and templates to guide business planning for small businesses and local/small-scale sustainable tourism ventures, plus develop instructions for their use, such that businesses mainstream biodiversity and biosecurity into the financial plans of the businesses.	MSc Degree or higher in field with close relevance to the assignment; At least 7 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically tourism development planning, business planning and economic assessment, due diligence principles; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
Strategic plan for ecotourism development in BRs	• Evaluate experiences of ecotourism in Cu Lao Cham BR and extent to which these ecotourism services and products are sustainable and viable. • Identify specific opportunities for improving tourism experiences in Cu Lao Cham BR that are biodiversity friendly and sustainable. • Evaluate potential for promotion of ecotourism in Dong Nai and Western Nghe An BRs. • Based on above, define examples of ecotourism products and services appropriate for BRs. • Prepare a strategic plan, including best practice guidelines and manuals for implementation of ecotourism services and products in BRs, including plans for financial sustainability, monitoring and evaluation and promotion of such products and services.	MSc Degree or higher in field with close relevance to the assignment; At least 6 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically impact assessment for tourism, strategic planning, business planning, opportunity and profitability assessment, hands-on development of ecotourism development strategy and action planning, including costing; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
TA to identify new BRs and facilitate initiation	• Support MONRE/VEA and BCA in conducting a nation-wide desk-top assessment of important landscapes, known biodiversity values, current threats, and expected benefits from adopting a landscape-based integrated conservation and sustainable development approach, proposing a long-list of potential new BRs. • Participate in consultation meetings with interested provincial stakeholders in landscapes included on the long-list. • Based on desk review and consultations, prepare a SWOT analysis to prepare a prioritized short-list of options for establishing new BRs, including clear description of argumentation.	MSc Degree or higher in field with close relevance to the assignment; At least 10 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically biodiversity inventory and threats assessment, identification of sustainable development options, integrated planning, cost-benefit analysis; Excellent Vietnamese and English language skills; Excellent analytical,	6	24,000

	• Following discussions with MAB National Committee, UNESCO, MONRE, MARD as well as provincial authorities, for 1-2 selected potential BRs prepare a work plan for preparing a detailed BR Nomination Dossier.	writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Integrated Biosphere Reserve Management Agreement (IBRA) for 3 BRs	• Conduct mapping of all parties with stakes – impacting on or impacted by – integrated BR management, specifically strengthened conservation and natural resources use. • Review outcomes of biophysical and socio-economic mapping exercise, specifically BR zonation, HCV areas / KBA set aside areas, restoration areas, to identify impacts on land and resources use and draft the framework vision on biodiversity conservation, landscape management and resources use for economic development and livelihood support. • Conduct sectoral workshop consultations with involved sectors - administrative districts, communes, as well as economic sectors like agriculture, fisheries, forester, tourism - to discuss the framework vision, clarify the parties' role and responsibilities, and collect grouped opinions on sectoral engagement and action. • Facilitate high-level BR round table engaging all relevant stakeholder to discuss the framework vision, sectoral opinions, and formulation of a draft IBRMA. • Revise IBRMA based on comments received and additional consultations with sectoral stakeholder as relevant. • Present the final IBRMA to the PPC for formal approval.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically landscape level multi-sectoral and multi-stakeholder planning processes, negotiation and conflict resolution skills relevant to on biodiversity and development, principles and application of sustainability principles; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	6	24,000
Provincial decision on application of BIA in EIA process for 3 BRs	• Review national guidelines on EIA/BIA and revised legislation to ensure involvement of BR Management Board in decision making on economic developments in BRs. • Review current provincial legislation, regulations and practices, in including extent of stakeholder consultations, in decision making on socio-economic and sectoral development issues; assess implementation and enforcement as well as effectiveness of any existing approaches in relevant sectors. • Review regional and global experiences related to sectoral legal regulations enforcing the implementation of EIA/BIA at landscape level with variation in protection functions. • Conduct stakeholder consultations, including relevant resource use sectors, on needs, gaps, opportunities and challenges for improved legal guidance for and implementation of the application of BIA in EIA procedures. • Draft a provincial decision on the application of BIA in EIA for each BR.	MSc Degree or higher in field with close relevance to the assignment; At least 8 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment, specifically impact assessment legislation of Vietnam, differentiated approaches in EIA/BIA against zoning, procedural processes in Vietnam for legal changes and decisions; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	9	36,000
Protocols for monitoring of key endangered species and their habitats for 3 BRs	• Review mapping results on the status of globally endangered species, and confirm the selection of indicator species and/or habitats. • Assess current monitoring protocols and practices in PAs within BRs of key indicator species and/or habitats and conduct a SWOT assessment. • Review relevant global best practices on monitoring selected indicator species, formulate opportunities for adoption. • Design, as relevant, revised monitoring protocols for key indicator species and/or habitats, including detailed recommendations on implementation, capacity needs, equipment etc.	MSc Degree or higher in field with close relevance to the assignment; At least 7 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment, specifically theory and practice of biodiversity monitoring approaches, including state-of-the-art technology; Excellent Vietnamese and English language skills; Excellent analytical, writing and	6	24,000

		communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Preparation of site-specific plans for non-consumptive resource uses for 2 BRs	• Based on areas selected as set-asides or for non-consumptive use from the mapping exercise, assess existing and potential non-consumptive resource use options for each site, including if existing uses are sustainable or not. • Carry out extensive consultations with forest resource users to ascertain perceptions and needs of such users. • Develop site-specific management plans for each set-aside that (i) identifies roles and responsibilities of local communities in management of the non-consumptive use areas: (ii) benefit sharing arrangements with forest resource users; (iii) environmentally friendly NTFP harvesting techniques, determining sustainable harvest yields, management and maintenance of forests for multiple benefits, etc.; (iv) protection measures to ensure set-asides are effectively managed; and (iv) monitoring protocols to assess condition of the non-consumptive areas, harvest regimes and protection measures. • Identify technical support, capacity development and extension services required to improve sustainable resource uses and income benefits from non-consumptive uses through value addition, processing and marketing support (including green labeling). • Identify rules and procedures to channel financial grants to participating households to enhance community non-consumptive resource use.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically integration of conservation and livelihoods, understanding of cultural aspects of NTFP use and acceptable alternative approaches in Vietnam context; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	8	32,000
Preparation of rehabilitation and restoration plans for 2 BRs	• Once the areas for forest restoration have been selected, undertake assessment of current forest users and products that are harvested, the seasonality of resource extraction, methods of forest resource harvest, tenure related concerns, forest use conflicts and the range of forest ownership and users and determine potential benefits from forest restoration to local communities and for biodiversity conservation, particularly to enhance habitat connectivity. • Evaluation of land ownership/tenure and identification of involved stakeholders and drivers of forest degradation. • Develop a participatory forest restoration management plan that would (i) assess natural regeneration potential and needs for seeding/planting; (ii) establish a set of goals strategies and methods for each proposed restoration zone; (iii) choose most cost-effective means of forest restoration; (iv) assess positive and negative social and environmental impacts of any restoration measure; (v) establish realistic time schedule for restoration; (vi) define roles and responsibilities of communities in forest restoration and protection; (vii) establish benefit sharing arrangements from restored forests; and (viii) a participatory monitoring plan to assess impact and success of forest restoration program. • Suggest opportunities for enhancing benefits through existing or proposed REDD+, PES and other benefit sharing programs.	MSc Degree or higher in field with close relevance to the assignment; At least 12 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically forest restoration planning, practical approaches to diversify restoration for biodiversity impacts in relation to land tenure and cultural practices; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	6	24,000

Review of tourism and certification opportunities for 2 BRs	• Review progress in existing tourism certification programs in Vietnam and assess relevance for BRs, taking into consideration the need for small and manageable certification programs for BR facilities. • Assess scope for introducing a BR-specific tourism certification scheme, including specific tourism products and services that lend itself for a BR-specific program. • Based on above, develop procedures and guidelines for tourism certification programs for BRs, including arrangements for management of certification programs, rules and responsibilities for certification, training and capacity needs for promotion among tour resorts and tour operators, and a time table for implementation and extension beyond the 2 BRs.	MSc Degree or higher in field with close relevance to the assignment; At least 9 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically effective tourism certification schemes, practical implications for introduction, visibility and acceptance of certification scheme; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	6	24,000
Development of KM and communication action plan	• Conduct stakeholder mapping to identify the target audiences - line Ministries, national and regional government agencies and political decision makers, CBOs and the general public – relevant for positioning conservation and integrated landscape management into the national and BR site level development context, for creating awareness on conservation at national and regional levels, sharing knowledge on conservation and sustainable natural resource use. • Formulate the communication objective for each target group selected. • Identify appropriate communication tools, products and activities tailored to each target audience, where feasible building on already produced national and BR site level communication materials. • Conduct meetings with PMU, site-level PMUs and other relevant partners to discuss the stakeholder mapping and preliminary tools and activities, and gather opinions on effectiveness, appropriateness, etc. • Draft the communication strategy and action plan as the basis for implementation of targeted activities both at the national and at the BR site level, including detailed descriptions of target audience, goals, tools and approaches, outline for an annual calendar implementation plan, approaches for pre- and post-stakeholder capacity assessment to monitor effectiveness of communication.	MSc Degree or higher in field with close relevance to the assignment; At least 8 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically effective communication, instruments, tools and planning approaches, stakeholder mapping; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000
Preparation of BR best practices documents and Interpreter's Manual	• Review implementation, results and impact achieved under the current project. Preliminary themes could relate to management of HVC/KBA set-aside areas, restoration of forests for biodiversity benefits, biodiversity-friendly tourism initiatives, community revolving funds for investment in alternative livelihood, integrated landscape management approaches through BR Management Boards, etc. • Document best practices (at least 9, 3 per BR) in terms of: (i) Development issues addressed, e.g. biodiversity conservation, set-aside management, SFM, livelihood, tourism, etc.; (ii) Benefits and impacts at BR, household and community level, with focus on economic, ecological and socio-cultural aspects; and (iii) Key factors for adoption, sustainability, replication, etc.	MSc Degree or higher in field with close relevance to the assignment; At least 6 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge and experience specifically analytical skills on BR/PA management approaches, concise writing; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	6	24,000

	• Compare selected best practices with national, regional and global literature on best practices related to the integrated management models in landscapes, BRs or PAs at scale, implemented by national authorities, development partners, NGOs, etc. • Present best practice documents to the PMU and relevant partners, incorporate comments for finalization, publishing and dissemination.			
Development of policy guidance notes	• Assess relevant project results that are identified as best practices and/or lessons learned from implementation, and which could trigger interest in national level upscaling of approaches towards embedding in policy decisions, supported with policy guidance notes • Analyze emerging trends of change in practices and new opportunities for adoption in the BRs as well as upscaling to other BRs, provinces and regions, linked with remaining gaps in legislation and policies that hamper effective replication and upscaling of project demonstrated best practices. • Conduct stakeholder consultations to identify the most appropriate priority directions for policy guidance advisory, in line with anticipated country conservation developments. • Prepare selected policy guidance notes for presentation to provincial and national decision makers.	MSc Degree or higher in field with close relevance to the assignment; At least 6 years relevant professional experience in relation to the assignment; Profound and up-to-date knowledge on development processes and conservation issues in Vietnam, decision making interests and processes in Vietnam, writing ofr impact; Excellent Vietnamese and English language skills; Excellent analytical, writing and communication skills; Previous work experience in Vietnam, with UNDP, and/or GEF is an advantage.	4	16,000

SHORT-TERM CONSULTANCY SERVICES

Consultancy assignment	Main tasks	Required Qualification	Input (months)	Total Costs (USD)
	Contractual Services[76]			
Support to revision of Biodiversity Law	Following a PM Directive requiring completion of legislative documents aiming at strengthening the management of biodiversity and nature conservation, update of the BD Law has been formally included in the legislative revision agenda 2016-2019., under coordination by MONRE. With the current Law on Biodiversity being recognized as having many gaps, overlaps and inconsistencies which affect clarity and implementation, resulting in insufficient protection and conservation of biodiversity, the following major technical tasks are identified for the revision: • Conduct studies on international experience and best practice in development and implementation of biodiversity conservation legislation. • Review and assess the implementation of the current Law on Biodiversity. • Identify inconsistencies, gaps and weaknesses in the current Law on Biodiversity related to biodiversity planning, conservation and sustainable use of ecosystems, species conservation, genetic resource management, biological safety, and other general issues, including institutional implementation. • Propose specific revisions in the Law on Biodiversity in the relevant categories.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically biodiversity related legislation in Vietnam, legal analyses and revisions, preparation of legal documents; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	25,000

[76] For values of USD 20,000 or more.

	The consultancy will contribute to the elaboration of each of the identified tasks. Specific activities and level of detail of the involvement will be negotiated in close cooperation and consultation with the MONRE assigned coordination team.			
New Decree/Circular/Legal Document	• Analyze the institutional arrangements, legislative-regulatory framework on BR management, at the national level through the MAB National Committee and at the site level through the BR Management Boards • Specifically review the legally adopted policies as well as practical experiences in establishment of BRs in Vietnam to date, including stakeholders' role and responsibilities in decision making regulations, specifically on BR MB (membership, leadership, roles, responsibilities), principles for zoning new BRs, adopted sustainable use principles and impacts on natural resources use, as well as agreed • Analyze the legislative-institutional structure and management arrangement in BRs, including legally designated responsibilities for BR MBs, planning and consultation practices, financing, procedures for development, approval, implementation and enforcement of BR management plans and agreed practices, institutional relationships in practice, and overall effectiveness – impact of BR management on biodiversity conservation and sustainability of natural resources use • Conduct stakeholder consultations at the national and BR site levels, as relevant, to identify gaps and needs for strengthening BR management. • Develop a legal document on regulations to establish and manage BRs, including (i) institutional arrangements on BR planning and management; (ii) zoning criteria and demarcations; (iii) adoption of regulations for sustainable use in different BR zones, including provincial sector and socio-economic planning; (iv) roles and functions of national and provincial entities; (v) BR management plan development, approval, monitoring, enforcement; (vi) BR MB functioning, responsibilities, membership, coordination and decision making; (vii) legal procedures for BR establishment, including stakeholder consultation, financing, and procedures for approval. • Present the draft legal document to relevant stakeholder, collect comments and recommendations, revise the document and submit it to relevant authorities for approval.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically biodiversity related legislation in Vietnam, legal analyses and revisions, preparation of legal documents; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	50,000
Guidelines for provincial sectoral economic development planning	• Conduct a detailed analysis of provincial policies, regulations and plans as they relate to economic development plans in sectors engaged in, or impacting on, natural resources, specifically agriculture, forestry, infrastructure, tourism, etc., including linkages as relevant to national level legislative guidance provided. • Identify gaps, weaknesses and overlaps in the existing policy and planning framework as it relates to biodiversity conservation and sustainable natural resources use in the provincial / landscape / BR context. • Review the impacts of current policies and plans on biodiversity BRs, formulates linkages with and appropriate responses from, economic development planning processes and practices.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise in sectors relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically provincial planning processes and national legislative guidance, preparation of socio-economic development plans; designated Team Leader with excellent Vietnamese and English language	n/a	30,000

	• Facilitate a consultation process involving related national, provincial and local government agencies to develop specific recommendations for improvements to existing policies and plans. • Formulate policy and planning recommendations into guidelines for promotion of environmentally friendly development with special emphasis on natural resources use planning in different BR zones. • Facilitate the official adoption of the guidelines by appropriate government authorities.	skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Design of training programs - Conservation skills	• Carry out analysis on roles and responsibilities of national and provincial government agencies and other stakeholder partners with assigned responsibilities for, or interest in, integrated BR planning and practice, specifically conservation skills, and appropriate and relevant capacities needed. • Determine the target groups for involvement in training program on conservation skills. • Assess current capacity of the target groups against identified capacity needs for conservation in relation to BR management. • Review existing training courses – structure, content, effectiveness, impact, etc. - on strengthening conservation skills previously used in Vietnam, SE Asia or globally, and asses the suitability for effective use to the selected stakeholder group, and any needs for adaptation and/or translation. • Based on the above, produce a training needs assessment report, which includes at least (i) stakeholder mapping and review of competency requirements; (ii) situation analysis actual capacities and competency gap; (iii) recommendations for priority training topics in relevant target groups; (iv) recommended participants and their organizations. • Based on the training needs assessment report, prepare a comprehensive conservation training program, including proposed topical modules and outlined content, duration and agenda, delivery method and location, identified available key training resources and trainers, pre- and post-capacity assessment evaluations for impact assessment. • Present the comprehensive Conservation Skills training program to the PMU and relevant stakeholder for approval. • Develop the approved comprehensive Conservation Skills training program, including detailed presentation, lecture notes, field visit program, etc. as appropriate.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically national institutional framework, roles and responsibilities in Vietnam, stakeholder mapping, capacity needs assessment approaches; development of effective training programs; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	20,000
Design of training programs – Mainstreaming Skills	• Carry out analysis on roles and responsibilities of national and provincial government agencies and other stakeholder partners with assigned responsibilities for, or interest in, integrated BR planning and practice, specifically related to the integration of biodiversity considerations in socio-economic and sectoral economic development planning. • Determine the target groups for involvement in training program on improving skills for mainstreaming biodiversity considerations into socio-economic and sectoral economic development skills. • Assess current capacity of the target groups against identified capacity needs.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically national institutional framework, roles and responsibilities in Vietnam,	n/a	20,000

	• Review existing training courses – structure, content, effectiveness, impact, etc. - on mainstreaming and sectoral economic development previously used in Vietnam, SE Asia or globally, and asses the suitability for effective use to the selected stakeholder group, and any needs for adaptation and/or translation. • Based on the above, produce a training needs assessment report, which includes at least (i) stakeholder mapping and review of competency requirements; (ii) situation analysis actual capacities and competency gap; (iii) recommendations for priority training topics in relevant target groups; (iv) recommended participants and their organizations. • Based on the training needs assessment report, prepare a comprehensive Mainstreaming Skills training program, including proposed topical modules and outlined content, duration and agenda, delivery method and location, identified available key training resources and trainers, pre- and post-capacity assessment evaluations for impact assessment. • Present the comprehensive Mainstreaming Skills training program to the PMU and relevant stakeholder for approval. • Develop the approved comprehensive Mainstreaming Skills training program, including detailed presentation, lecture notes, field visit program, etc. as appropriate.	stakeholder mapping, capacity needs assessment approaches; development of effective training programs; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
UNESCO nomination dossier	• Review UNESCO guidance on BR dossier structure and content. • Discuss with national and provincial stakeholder the readiness for engaging in BR dossier development towards formally gazetting a new BR. • Assess availability of up-to-date information and spatial data necessary for the BR dossier. • Prepare the BR Dossier for submission to the MAB National Committee.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically biodiversity and development situation in Vietnam, sustainable development pathway of Vietnam, BR principles and UNESCO procedures for establishing BRs; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	25,000
Assessment and mapping of BRs	• Develop a detailed work plan for landscape mapping of pilot BRs, including methods for rapid biodiversity appraisal to assess the status of threatened species, distribution of habitats and biodiversity hotspots (using guidelines developed for HCV areas / KBAs), and identify threats to HCV areas/KBAs and species conservation values. • Design a socio-economic mapping campaign, including rapid rural appraisal to assess demography, livelihood and income dependencies, natural resources use, climate risk assessment and ecosystem services dependencies.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically biodiversity, socio-		210,000

	• Execute the mapping exercises in 3 pilot BRs. • Based on outcome of biodiversity and socio-economic mapping, assess and analyze biodiversity and socioeconomic values of the three BRs, highlighting (i) biodiversity conservation priorities – species, habitats and their locations; (ii) appropriate zoning of the BR, identifying suitable set-aside areas for non-exhaustive use, degraded areas with potential for successful for assisted natural regeneration, as well as multiple use zones for both sustainable livelihood practices and investment as well as commercial resource-intensive land use practices. • Conduct consultations with local communes and other stakeholders on the proposed zoning of the BR, including its external boundaries and internal spatial arrangement of core zones, buffer zones and transition, as well as values to be conserved, and threats to be addressed, in each zone.	economic and livelihood mapping principles and practices, conducting field surveys and landscape analyses, integration of conservation and development in BRs; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Provincial/Municipal Decision on mainstreaming biodiversity considerations in provincial socio-economic development planning	• Review the coordination and consultation mechanisms and division of the competencies in matters of spatial and sectoral planning for development in BR provinces. • Review approach, type and effectiveness of current consideration for biodiversity conservation aspects in provincial, district and commune planning processes. • Building on capacity building training courses, conduct stakeholder consultation meetings and focal group discussions to identify suitable entry points for mainstreaming biodiversity considerations into provincial socio-economic legislation plans. • Prepare a roadmap for action to revise current legislation or develop supportive legal acts aiming to strengthen biodiversity considerations in provincial socio-economic development planning. • Conduct stakeholder consultations for agreement on priority legislative initiatives to be developed. • Based on eth outcomes of stakeholder consultations, draft provincial Decision(s) on mainstreaming biodiversity considerations in provincial socio-economic development planning.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically sectoral planning approaches and legislation in Vietnam, status and opportunities for mainstreaming biodiversity in relevant sectors, development of legal documents; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	52,500
Capacity building to facilitate mainstreaming of biodiversity conservation in sectoral development planning	• Review stakeholder analysis to identify relevant sectoral stakeholders in each pilot BR, involved in, or having interest in and/or influence on, the conservation and management of biodiversity and natural resources in BRs. • Conduct a survey aimed at capacity needs assessment of selected stakeholder, based on inventory of topical capacity needs for implementation of mainstreaming, review of current knowledge and capacities of stakeholder staff. • Review currently available relevant documents/training materials on priority capacity needs identified. • Draft for each BR a Capacity Development Plan for mainstreaming biodiversity conservation in sectoral development planning, including topics for training, description of instruments and approaches, duration, target participants, etc. • Consult with sectoral stakeholders and PMU on the Capacity Development plan, for approval.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically capacity needs assessment, effective training design and implementation, evaluation of training effectiveness; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication	n/a	90,000

	• Prepare capacity building materials, including detailed agenda, topical lectures and lecture notes, video materials, field visits as well as pre- and post-stakeholder evaluation sheets to monitor effectiveness of capacity building among participants. • Conduct capacity building training and prepare a report on its implementation to the PMU.	skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
5-year protected area management plans	• Analyze the current management plan of the PA, specifically the efficiency and effectiveness of performance of programmatic activities related to administration, protection & conservation, monitoring & science, visitors, education & outreach, as well as financing & budgeting in accordance with the latest approved MP. • Evaluate the PAs' current staffing, infrastructure & material resources, financial resources available and expected, human & institutional competences & capacities, and identify any gaps and/or needs. • Convene comprehensive stakeholder meetings, workshops and consultations, including local community representatives. • Draft the 5-year PA management plans, including relevant programs (e.g. "Administration Program", "Visitors Program", and "Education & Outreach Program", etc,). • Present the draft MP to relevant stakeholder for consultations; revise the draft to incorporate comments	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically assessment of PA management effectiveness, field surveys, legal arrangements for PA management in Vietnam, including current financing and alternative financial instruments; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	120,000
Implementation of monitoring	• Based on monitoring protocols identified for each BR, undertake annual monitoring to assess status and population of key species and status of habitats. • Based on monitoring assess any continuing threats and pressures on species and habitats. • Based on monitoring results, make appropriate recommendations for improved management and protection of species and habitats.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically planning for effective field-based monitoring campaigns, data analysis and recommendations for adaptive management; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	300,000
Implementation of conservation management interventions	• Based on management plans developed for PAs and set-asides, prepare annual plans to implement key conservation management interventions. • Plan and prepare for implementation of such conservation management interventions.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including	n/a	240,000

	• Undertake consultations with BR MBs, DARD and PPCs to identify arrangements for implementation of annual plans, including specific activities that would be implemented by communities. • Oversee and manage the implementation of such activities, provide technical support and guidance for implementation. • Assess the impact of such management interventions.	up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically planning for effective conservation, demonstrated technical knowledge to implement selected conservation initiatives, knowledge transfer to relevant stakeholder; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Capacity building and training of PA staff	• Undertake capacity needs assessment of training needs for PA staff. • Develop a training plan for the PAs. • Prepare training curriculum and modules for conduct of such training. • Undertake training of PA staff and evaluate results of training. • Revise and modify training programs based on feedback from training.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically capacity needs assessment, effective training design and implementation, evaluation of training effectiveness; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	36,000
TA to investment to implement forest restoration plans	• Based on forest restoration plans developed, identify technical assistance needs for forest restoration. • Provide technical assistance for (i) improving forest seed germination through forest floor soil and water improvement; (ii) removing competing weed and undesirable species; (iii) improving under-storey and forest tier structure; (iv) improved soil moisture and fertility; (v) increasing NTFP and other forest floor products; (vi) enhancing sustainable forest management, fire protection, weed control, etc.; (v) sustainable harvesting techniques and sustainable harvest limits; (vi) additional forest planting, including species, nursery techniques and forest planting and silvicultural practices.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically technical knowledge for effective forest restoration and improved biodiversity, provision of field-based advisory services, effective communication with forests owners, users; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in	n/a	80,000

		Vietnam, with UNDP, and/or GEF is an advantage.		
TA to livelihood support investment (including community revolving fund)	• Support elaboration of Community Conservation Plans in selected communes in each BR through organized participatory commune-level planning processes, including agreed options on improving and diversifying livelihoods through grants and revolving fund investments as appropriate. • Advisory and guidance during formal establishment of community revolving funds, including institutional structure and oversight, Statutes and procedures, grant issuing criteria, roles and responsibilities, benefit sharing and risk management system. • Facilitate the formation of commune recipients / user groups for coordinated investment in selected livelihood initiatives. • Advisory on grant allocation and technical backstopping for implementation, monitoring and quality control over the sustainable livelihood investment program in communes. • Provide support to regular data collection and analysis, reporting and public outreach, in-field training to grant recipient and fund managers. • Support to dissemination of the results of the project and to promote integrated sustainable biodiversity conservation through livelihood improvement by means of revolving funds.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically knowledge and understanding on livelihood practices and local cultures, design and operationality of micro-credit and revolving funds, allocation and oversight of grant and credit mechanisms, effective communication with land and resources users; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	120,000
Investment in selected tourism products and services	• Planning and implementation support for biodiversity-friendly selected tourism products and services. This would entail financial support to households for initiation of such products and services, including technical support, capacity and skills development, investments costs (on cost sharing basis), business management training and support, etc. .	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically technical expertise on appropriate sustainable tourism products for BRs in Vietnam, their development and promotion, planning and oversight of financial investment mechanisms for agreed impact, business plan development, effective communication with commune authorities and households; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	210,000
Implementation of the communication action plan at the national level	• Review the communication strategy and action plan, identify linkages and gaps with implementation at the national.	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated	n/a	40,000

	• Develop a national BR communication implementation work plan, including selected appropriate communication tools (workshops, theater, festivals, exhibitions, media events etc.) developed for engaging the different stakeholders at provincial, district and commune level • Oversee the development of communication materials for awareness raising (developed under a separate contract) • Support – conduct and/or guide - targeted communication initiatives in line with the agreed communication work plan. • Dissemination of the communication material	availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically effective communication tools and instruments, thematic knowledge on biodiversity conservation and sustainable land and resource use; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.		
Implementation of the KM and communication action plan at the BR level	• Review communication strategy and action plan, identify linkages and gaps with implementation at the BR level. • Develop a BR communication implementation work plan, including selected appropriate communication tools (workshops, theater, festivals, exhibitions, media events etc.) developed for engaging the different stakeholders at provincial, district and commune level. • Conduct training and capacity building among BR staff for support to implementation of the communication work plan • Support – conduct and/or guide - targeted communication initiatives in line with the agreed communication work plan. • Dissemination of the communication material	Demonstrated profound corporate experience in successful completion of comparable assignments in recent years; demonstrated availability of staff/consultants with core expertise relevant to the assignment, including up-to-date knowledge on best practices globally, regionally and nationally relevant to the assignment specifically effective communication tools and instruments, thematic knowledge on biodiversity conservation and sustainable land and resource use; designated Team Leader with excellent Vietnamese and English language skills, experience in leading a team of consultants, with excellent analytical, writing and communication skills; Previous corporate work experience in Vietnam, with UNDP, and/or GEF is an advantage.	n/a	16,000 per BR

Annex 15

UNDP Project Quality Assurance Report (to be completed by UNDP Country Office) (Mandatory)

-See Separate File-

Annex 16

UNDP Risk Log (to be completed by UNDP Country Office) (Mandatory)

-See Separate File-

Annex 17

Results of the capacity assessment of the project implementing partner and HACT micro assessment (Mandatory)

-See Separate File_

Annex 18

LOA with the government (Mandatory)

-LOA will be drafted and agreed prior to DOA stage-

Annex 19

Carbon calculations

The estimated carbon stock values (combining above and below ground forest biomass) to inform the carbon stock benefits of the project activities were calculated using FAO EX-ACT methodological framework. This calculation is based on a 5-year project implementation phase and a 5-year capitalization period, to a total of 10 years of accounting. Calculations were conducted for those activities attributable to project investments, including avoided deforestation, improved carbon sequestration from sustainable management of forest in set-aside areas and forest restoration, as well as from improved sustainable agricultural practices, for a total area of 432,595 ha in core and buffer zones of 2 BRs - Dong Nai BR and Western Nghe An BR. Additional carbon benefits are envisioned to be generated in the remaining buffer zones of these two BRs as well as Cu Lao Cham BR, equal to 796,591 ha[77], from improved BR management practices based on strengthened integrated policy and land- and seascape planning processes, the exact baseline values of which will be calculated in year 1 of the project based on detailed mapping.

Accordingly, currently detailed carbon calculations relate to 432,595 ha, including:

(i) Enhanced CO2 sequestration from HCVF set aside areas of **60,000 ha**;

(ii) Avoided CO2 emission by means of avoided deforestation in PAs through improved management effectiveness in the core zones of 2 terrestrial BRs measuring **332,595 ha**, including 140,673 ha for Dong Nai BR[78] and 191,922 for Western Nghe An BR;

(iii) Increased CO2 sequestration from the forest restoration activities in **4,000 ha** in the BR buffer zones of Dong Nai BR and Western Nghe An BR.

(iv) Optimized sustainable agriculture practiced on **36,000 ha** in the BR buffer zones of Dong Nai BR and Western Nghe An BR.

Calculations using FAO EX-ACT methodology were conducted using the IPCC Tier 1 approach with Vietnam regionalized carbon stock values for general types of forests. Lifetime direct emission benefits during the 5-year project's supervised implementation period were assumed to value 30% of the total 10-year emission benefits calculated using FAO EX-ACT, realistically to be achieved from year 3 of project implementation. Consequently, lifetime indirect emission benefits from long-term outcomes and impact from GEF investment during the 5-year capitalization period value 70% of the total emission benefits calculated.

Restoration and enhancement of Carbon stocks in HCVF/KBA set-aside areas

The project aims to improve management of at least 60,000 identified HCVFs identified through the mapping exercise (output 2.2), preliminary 20,000 ha in DN BR[79] and 40,000 ha in WNA BR[80]. Project efforts to enhance forest conservation in HCVF set aside area, supporting household forests, communal forests and/or forests managed by State Forest Enterprises (SFEs), will be achieved through better forest protection and associated natural regeneration, for which the following assumptions have been used:

- For DN BR, a set-aside area of 20,000 ha was preliminary identified in La Nga SFE, of which 18,000 ha is assessed as "Evergreen broadleaf - large degradation", while 2,000 ha is classified as "Evergreen broadleaf - moderate degradation". As a result of the project interventions, "large degradation" forests will reach "moderate degradation" status, while "moderate degradation" forests will reach "low degradation" status.
- For WNA BR, a set-aside area of 40,000 ha was preliminary identified as part of the Pu Xai Lai Leng area, of which 28,000 ha is assessed as "Evergreen broadleaf - large degradation", while 12,000 ha is classified as "Evergreen

[77] The total area of core and buffer zone in the 3 pilot BRs targeted by the project amounts to 1,229 million ha.

[78] The total core area of Dong Nai covers 173,073 ha, including 140,673 ha forests and 32,400 ha aquatic zone, the latter of which was excluded from carbon calculations.

[79] In DN BR the La Nga State Forest Enterprise (SFE) is engaged with the DN BR Management Board and administration of Cat Tien National Park to set aside the area for improvement of forest quality and management. The area has been subjected to commercial logging, resulting in high levels of disturbance throughout the area. About 2,000 people currently legally live inside the SFE, while also a number of illegal settlements occur. *Source: MONRE Biosphere PPG National Experts.*

[80] In WNA BR, the Pu Xai Lai Leng area is identified as potential HCVF/KBA set aside area, listed in Decision No. 45/QĐ-TTg dated 8th January 2014 to be nominated as nature reserve with an area of 50,000 ha by 2020. The area is characterized by natural regrowing forests, of which 40% is rehabilitation forest, 30% poor forest, 20% medium forest, 8% mixed forest and 2% rich forest. *Source: MONRE Biosphere PPG National Experts*.

broadleaf - moderate degradation". As a result of the project interventions, "large degradation" forests will reach "moderate degradation" level, while "moderate degradation" forests will reach "low degradation" level.

As a result, implementing project activities in at least 60,000 ha HCVF/KBA set aside areas in two terrestrial BRs, including improving 46,000 ha "large degradation" forest to "moderate degradation "forest and 14,000 ha "moderate degradation" forest to "low degradation" forests, results in a carbon sequestration of 6,501,364 tCO2 eq. over a 10-year period.

Carbon stock conserved through avoided deforestation

Within the selected 2 terrestrial BRs of Dong Nai and Western Nghe An, the core zone consists of 5 formally established PAs, covering a total terrestrial forested area measuring 332,595 ha[81], of which 140,673 ha are located in DN BR and 191,922 ha in WNA BR. Forests in these core zones are typically of higher quality and are more spatially intact than forests in buffer zone or transition zones. Consequently project direct interventions in improved management leading to reduced deforestation are focusing on these core zones. The following assumptions were used:

- The currently known deforestation rate of 1.18%/year[82] for primary forest, located in established PAs, is applied. As such, under the business as usual scenario, over 10 years a total of 37,226 ha of currently forested area in the core zone would become deforested.
- Due to the project interventions, the current deforestation rate of the BR core zones is reduced by 40% over a 10 year period, equal to 22,337 ha deforested.

As a result, project interventions to strengthen the management of 332,595 ha of terrestrial core zones will lead to a reduction in the rate of deforestation, equal to 14,889 ha forest saved from deforestation, or an amount of avoided carbon emissions of 6,292,068 tCO2 eq. over a 10-year period.

Carbon stock restored and enhanced through restoration of degraded forests

In addition to strengthening forest quality in HCVF/KBA set aside areas, the project will also target on-the-ground demonstration of assisted natural forest restoration in at least 4,000 ha of degraded forests in Dong Nai BR and Western Nghe An BR, to enhance density and quality of the forests, and improve connectivity for terrestrial animals. The following assumptions were used:

- Restoration of degraded forests on 4,000 ha land, the location of which will be defined through the mapping exercise (output 2.2). Ownership of the forests is envisioned to be a combination of household, communal and former state forest enterprise land.
- The current status of the forests selected for restoration is assessed to be 'poor'; project interventions will restore and enhance forest quality to at least 'medium' forest.
- Restoration efforts by the project are equally divided over 2 BRs, i.e. 2,000 ha in DN BR and 2,000 ha in WNA BR.

Accordingly, project interventions will lead to improved carbon sequestration from forest restoration equal to 245,227 tCO2 eq. over a 10-year period (or 224,227 tCO2 eq. over a 10-year period after accounting for 21,000 tCO2 eq. accumulated from soil storage)

Carbon stock conserved and sequestrated by improved sustainable agricultural land use practices

Based on participatory community-based commune level planning processes, the project will support the implementation of improved sustainable land use practices in agriculture for selected households (output 2.6). Specifically efforts will be made to strengthen organic based agricultural land use that builds on improved agronomic practices, better nutrient management including the application of manure and replacing field-based burning of plant residue with its export for composting. Accordingly, these improved sustainable agricultural practices on 36,000 ha will result in a total of 753,300 tCO2 eq. avoided emissions and improved sequestration over a 10-year period.

Conclusion

As an overall results, the improved and sustainable use and protection of at least 60,000 ha HCVF/KBA set aside areas, 14,889 ha avoided deforestation due to improved management in 332,595 ha core forest zones, the implementation of

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[81] Total core zone in Dong Nai BR covers 173,073 ha, including 32,400 ha aquatic zone, which was excluded from carbon calculations to a total terrestrial core area for Dong Nai BR of 140,673. Total core area for Western Nghe An covers 191,922. Overall area included in carbon stock conserved from avoided deforestation is 332,595 ha.

[82] Based on loss of primary forest between 2005 (85,000 ha) and 2010 (80,000 ha); FAO (2010). Global Forest Resources Assessment 2010 – Vietnam Country Report

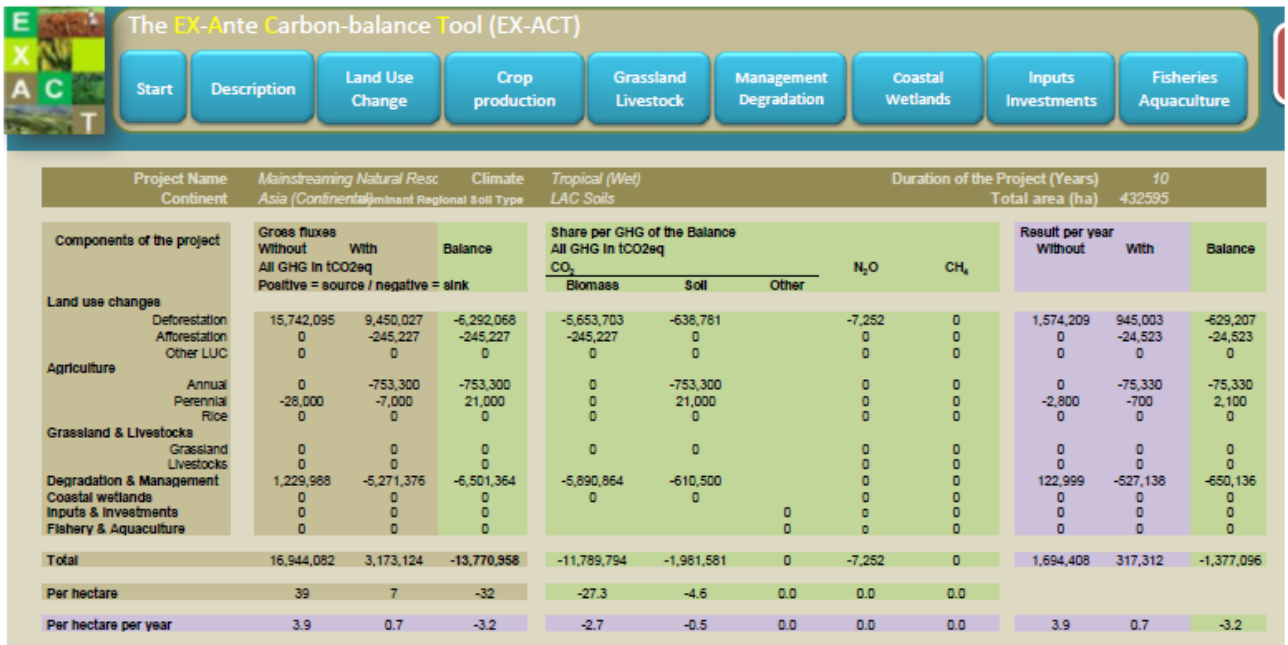
forest restoration activities in at least 4,000 ha, and improved sustainable agricultural practices applied on 36,000 ha results in a total of approximately **13,770,958 tons CO2** saved over a 10-year period, as summarized in figure 19.1.

This includes lifetime direct GHG benefits from avoided emissions and improved sequestration during the project's supervised 5-year implementation period amounting to 4,131,287 tCO2 eq., while lifetime indirect benefits amount to 9,639,671 tCO2 eq. for the remaining 5-year capitalization period.

Lifetime direct emission benefits during the 5-year project's supervised implementation period were assumed to value 30% of the total 10-year emission benefits calculated using FAO EX-ACT, realistically to be achieved from year 3 of project implementation. Consequently, lifetime indirect emission benefits from long-term outcomes and impact from GEF investment during the 5-year capitalization period value 70% of the total emission benefits calculated.

It is noted that the presented values are only a generalized average, based on the assumptions described above and those adopted in the FAO EX-ACT Tier 1 calculation tool. More accurate estimates will need to take into account the features of actual forest coverage and their carbon content on the selected set-aside areas, rates of deforestation and afforestation /natural regeneration and related estimates of carbon sequestration as a product of tree species type/composition, density, growing rates, number of trees planted and buffers/losses (i.e. an estimation of what number trees/their carbon will be lost due to natural events and human actions, i.e. logging, both legal and/or illegal).

Figure 19.1



Project Name	Mainstreaming Natural Resc	Climate	Tropical (Wet)					Duration of the Project (Years)	10		
Continent	Asia (Continental)	Dominant Regional Soil Type	LAC Soils					Total area (ha)	432595		
Components of the project	Gross fluxes Without	With	Balance	Share per GHG of the Balance All GHG in tCO2eq CO_2 Biomass	Soil	Other	N_2O	CH_4	Result per year Without	With	Balance
	All GHG in tCO2eq Positive = source / negative = sink										
Land use changes											
Deforestation	15,742,095	9,450,027	-6,292,068	-5,653,703	-638,781		-7,252	0	1,574,209	945,003	-629,207
Afforestation	0	-245,227	-245,227	-245,227	0		0	0	0	-24,523	-24,523
Other LUC	0	0	0	0	0		0	0	0	0	0
Agriculture											
Annual	0	-753,300	-753,300	0	-753,300		0	0	0	-75,330	-75,330
Perennial	-28,000	-7,000	21,000	0	21,000		0	0	-2,800	-700	2,100
Rice	0	0	0	0	0		0	0	0	0	0
Grassland & Livestocks											
Grassland	0	0	0	0	0		0	0	0	0	0
Livestocks	0	0	0				0	0	0	0	0
Degradation & Management	1,229,988	-5,271,376	-6,501,364	-5,890,864	-610,500		0	0	122,999	-527,138	-650,136
Coastal wetlands	0	0	0	0	0		0	0	0	0	0
Inputs & Investments	0	0	0			0	0	0	0	0	0
Fishery & Aquaculture	0	0	0			0	0	0	0	0	0
Total	16,944,082	3,173,124	-13,770,958	-11,789,794	-1,981,581	0	-7,252	0	1,694,408	317,312	-1,377,096
Per hectare	39	7	-32	-27.3	-4.6	0.0	0.0	0.0			
Per hectare per year	3.9	0.7	-3.2	-2.7	-0.5	0.0	0.0	0.0	3.9	0.7	-3.2

Capacity Development Scorecard (Mandatory)

A. NATIONAL CAPACITY ASSESSMENT SCORECARD

2016 BASELINE - NATIONAL

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	2	6	33%	1	3	33%	N/A	NA	NA	33%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	3	9	33%	11	27	41%	5	12	42%	39%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	2	6	33%	2	6	33%	2	3	67%	44%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	1	3	33%	33%
(5) Capacity to monitor, evaluate and report at the sector and project levels	3	6	50%	3	6	50%	1	3	33%	44%
TOTAL Score and average for %'s	**11**	**30**	**37%**	**18**	**45**	**38%**	**9**	**21**	**44%**	**39%**

End of Project estimate

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	6	6	100%	2	3	67%	N/A	NA	NA	83%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	5	9	56%	17	27	63%	7	12	58%	59%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	4	6	67%	4	6	67%	2	3	67%	67%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	2	3	67%	44%
(5) Capacity to monitor, evaluate and report at the sector and project levels	3	6	50%	4	6	67%	2	3	67%	61%
TOTAL Score and average for %'s	**19**	**30**	**61%**	**28**	**45**	**59%**	**13**	**21**	**65%**	**63%**

Strategic Area of Support	Capacity Level	Outcome	Numeric Indicator Score - baseline	Outcome Indicator (*copy from tab "baseline Ref Table"*)	Numeric Indicator Score - EOP	Outcome Indicator (*copy from tab "baseline Ref Table"*)
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs	*Systemic*	The Biosphere Reserve agenda is being effectively championed / driven forward	**2**	There are a number of Biosphere Reserve champions that drive the Biosphere Reserve agenda, but more is needed	**3**	There are an adequate number of able "champions" and "leaders" effectively driving forwards a Biosphere Reserve agenda
		There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves	**0**	There is no legal framework for Biosphere Reserves	**3**	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves
	Institutional	There is an institution responsible for Biosphere Reserves able to strategize and plan	**1**	Biosphere Reserve institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion	**2**	Biosphere Reserve institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation
2. Capacity to implement policies, legislation, strategies and programs	*Systemic*	There are adequate skills for Biosphere Reserve planning and management	**1**	Some skills exist but in largely insufficient quantities to guarantee effective planning and management	**2**	Necessary skills for effective Biosphere Reserve management and planning do exist but are stretched and not easily available
		There are Biosphere Reserve systems	**1**	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness	**1**	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness
		There is a fully transparent oversight authority for the Biosphere Reserves institutions	**1**	There is some oversight, but only indirectly and in an untransparent manner	**2**	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)
	Institutional	Biosphere Reserve institutions are effectively led	**2**	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement	**2**	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement
		Biosphere Reserves have regularly updated, participatory and comprehensive management plans	**1**	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in a participatory manner	**2**	Most Biosphere Reserves have management plans though some are old, not prepared in participatory manner or are less than comprehensive
		Human resources are well qualified and motivated	**1**	Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated	**2**	HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified.
		Management plans are implemented in a timely manner effectively achieving their objectives	**1**	Management plans are poorly implemented and their objectives are rarely met	**2**	Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met
		Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	**1**	Biosphere Reserve institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate	**2**	Biosphere Reserve institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate
		Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	**2**	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way	**2**	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way
		Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable	**1**	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable	**1**	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable
		There are legally designated Biosphere Reserve institutions with the authority to carry out their mandate	**1**	There are one or more institutions or agencies dealing with Biosphere Reserves but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements	**2**	There are one or more institutions or agencies dealing with Biosphere Reserves, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps
		Biosphere Reserves are effectively protected	**1**	Some enforcement of regulations but largely ineffective and external threats remain active	**2**	Biosphere Reserve regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated
	Individual	Individuals are able to advance and develop professionally	**1**	Career tracks are weak and training possibilities are few and not managed transparently	**2**	Clear career tracks developed and training available; HR management however has inadequate performance measurement system
		Individuals are appropriately skilled for their jobs	**2**	Individuals are reasonably skilled but could further improve for optimum match with job requirement	**2**	Individuals are reasonably skilled but could further improve for optimum match with job requirement
		Individuals are highly motivated	**2**	Many individuals are motivated but not all	**2**	Many individuals are motivated but not all
		There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	**0**	No mechanisms exist	**1**	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed
3. Capacity to engage and build consensus among all stakeholders	*Systemic*	Biosphere Reserves have the political commitment they require	**2**	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves	**2**	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves
		Biosphere Reserves have the public support they require	**0**	The public has little interest in Biosphere Reserves and there is no significant lobby for Biosphere Reserves	**2**	There is general public support for Biosphere Reserves and there are various lobby groups such as environmental NGO's strongly pushing them
	Institutional	Biosphere Reserve institutions are mission oriented	**1**	Institutional mission poorly defined and generally not known and internalized at all levels	**2**	Institutional mission well defined and internalized but not fully embraced
		Biosphere Reserve institutions can establish the partnerships needed to achieve their objectives	**1**	Some partnerships in place but significant gaps and existing partnerships achieve little	**2**	Many partnerships in place with a wide range of agencies, NGOs etc., but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives
	Individual	Individuals carry appropriate values, integrity and attitudes	**2**	Many individuals carry appropriate values and integrity, but not all	**2**	Many individuals carry appropriate values and integrity, but not all
4. Capacity to mobilize information and knowledge	*Systemic*	Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system	**1**	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access	**1**	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access
	Institutional	Biosphere Reserve institutions have the information needed to do their work	**1**	Some information exists, but is of poor quality and of limited usefulness and difficult to access	**1**	Some information exists, but is of poor quality and of limited usefulness and difficult to access
	Individual	Individuals working with Biosphere Reserves work effectively together as a team	**1**	Individuals interact in limited way and sometimes in teams but this is rarely effective and functional	**2**	Individuals interact regularly and form teams, but this is not always fully effective or functional

5. Capacity to monitor, evaluate, report and learn	*Systemic*	Biosphere Reserve policy is continually reviewed and updated	**2**	Policy is reviewed regularly but not annually	**2**	Policy is reviewed regularly but not annually
		Society monitors the state of Biosphere Reserves	**1**	There is some dialogue going on, but not in the wider public and restricted to specialized circles	**1**	There is some dialogue going on, but not in the wider public and restricted to specialized circles
	Institutional	Institutions are highly adaptive, responding effectively and immediately to change	**1**	Institutions do change but only very slowly	**2**	Institutions tend to adapt in response to change but not always very effectively or with some delay
		Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	**2**	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be	**2**	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be
	Individual	Individuals are adaptive and continue to learn	**1**	Performance is irregularly and poorly measured and there is little use of feedback	**2**	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be
			38		**60**	

Strategic Area of Support	Capacity Level	Outcome	Outcome Indicators (Scorecard)			
			Worst State (Score 0)	**Marginal State (Score 1)**	**Satisfactory State (Score 2)**	**Best State (Score 3)**
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs	Systemic	The Biosphere Reserve agenda is being effectively championed / driven forward	There is essentially no Biosphere Reserve agenda	There are some persons or institutions actively pursuing a Biosphere Reserve agenda but they have little effect or influence	There are a number of Biosphere Reserve champions that drive the Biosphere Reserve agenda, but more is needed	There are an adequate number of able "champions" and "leaders" effectively driving forwards a Biosphere Reserve agenda
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs	Systemic	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves	There is no legal framework for Biosphere Reserves	There is a partial legal framework for Biosphere Reserves but it has many inadequacies	There is a reasonable legal framework for Biosphere Reserves but it has a few weaknesses and gaps	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs	Institutional	There is an institution responsible for Biosphere Reserves able to strategize and plan	Biosphere Reserve institutions have no plans or strategies	Biosphere Reserve institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion	Biosphere Reserve institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation	Biosphere Reserve institutions have relevant, not prepared in participatory manner, regularly updated strategies and plans
2. Capacity to implement policies, legislation, strategies and programs	Systemic	There are adequate skills for Biosphere Reserve planning and management	There is a general lack of planning and management skills	Some skills exist but in largely insufficient quantities to guarantee effective planning and management	Necessary skills for effective Biosphere Reserve management and planning do exist but are stretched and not easily available	Adequate quantities of the full range of skills necessary for effective Biosphere Reserve planning and management are easily available
2. Capacity to implement policies, legislation, strategies and programs	Systemic	There are Biosphere Reserve systems	No or very few Biosphere Reserve exist and they cover only a small portion of the habitats and ecosystems	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness	Biosphere Reserve system is covering a reasonably representative sample of the major habitats and ecosystems, but still presents some gaps and not all elements are of viable size	The Biosphere Reserves includes viable representative examples of all the major habitats and ecosystems of appropriate geographical scale
2. Capacity to implement policies, legislation, strategies and programs	Systemic	There is a fully transparent oversight authority for the Biosphere Reserves institutions	There is no oversight at all of Biosphere Reserve institutions	There is some oversight, but only indirectly and in an untransparent manner	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)	There is a fully transparent oversight authority for the Biosphere Reserves institutions
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserve institutions are effectively led	Biosphere Reserve institutions have a total lack of leadership	Biosphere Reserve institutions exist but leadership is weak and provides little guidance	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement	Biosphere Reserve institutions are effectively led
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserves have regularly updated, not prepared in participatory manner, comprehensive management plans	Biosphere Reserves have no management plans	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner	Most Biosphere Reserves have management plans though some are old, not prepared in participatory manner or are less than comprehensive	Every Biosphere Reserve has a regularly updated, not prepared in participatory manner, comprehensive management plan
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Human resources are well qualified and motivated	Human resources are poorly qualified and unmotivated	Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated	HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified.	Human resources are well qualified and motivated
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Management plans are implemented in a timely manner effectively achieving their objectives	There is very little implementation of management plans	Management plans are poorly implemented and their objectives are rarely met	Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met	Management plans are implemented in a timely manner effectively achieving their objectives
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	Biosphere Reserve institutions typically are severely underfunded and have no capacity to mobilize sufficient resources	Biosphere Reserve institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate	Biosphere Reserve institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate	Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserve institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	While the Biosphere Reserve institution exists it has no management	Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way	The Biosphere Reserve institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect

2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable	Biosphere Reserve institutions totally untransparent, not being held accountable and not audited	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable	Biosphere Reserve institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent	The Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable
2. Capacity to implement policies, legislation, strategies and programs	Institutional	There are legally designated Biosphere Reserve institutions with the authority to carry out their mandate	There is no lead institution or agency with a clear mandate or responsibility for Biosphere Reserves	There are one or more institutions or agencies dealing with Biosphere Reserves but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements	There are one or more institutions or agencies dealing with Biosphere Reserves, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps	Biosphere Reserve institutions have clear legal and institutional mandates and the necessary authority to carry this out
2. Capacity to implement policies, legislation, strategies and programs	Institutional	Biosphere Reserves are effectively protected	No enforcement of regulations is taking place	Some enforcement of regulations but largely ineffective and external threats remain active	Biosphere Reserve regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated	Biosphere Reserve regulations are highly effectively enforced and all external threats are negated
2. Capacity to implement policies, legislation, strategies and programs	Individual	Individuals are able to advance and develop professionally	No career tracks are developed and no training opportunities are provided	Career tracks are weak and training possibilities are few and not managed transparently	Clear career tracks developed and training available; HR management however has inadequate performance measurement system	Individuals are able to advance and develop professionally
2. Capacity to implement policies, legislation, strategies and programs	Individual	Individuals are appropriately skilled for their jobs	Skills of individuals do not match job requirements	Individuals have some or poor skills for their jobs	Individuals are reasonably skilled but could further improve for optimum match with job requirement	Individuals are appropriately skilled for their jobs
2. Capacity to implement policies, legislation, strategies and programs	Individual	Individuals are highly motivated	No motivation at all	Motivation uneven, some are but most are not	Many individuals are motivated but not all	Individuals are highly motivated
2. Capacity to implement policies, legislation, strategies and programs	Individual	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	No mechanisms exist	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed	Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required	There are mechanisms for developing adequate numbers of the full range of highly skilled Biosphere Reserve professionals
3. Capacity to engage and build consensus among all stakeholders	Systemic	Biosphere Reserves have the political commitment they require	There is no political will at all, or worse, the prevailing political will runs counter to the interests of Biosphere Reserves	Some political will exists, but is not strong enough to make a difference	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves	There are very high levels of political will to support Biosphere Reserves
3. Capacity to engage and build consensus among all stakeholders	Systemic	Biosphere Reserves have the public support they require	The public has little interest in Biosphere Reserves and there is no significant lobby for Biosphere Reserves	There is limited support for Biosphere Reserves	There is general public support for Biosphere Reserves and there are various lobby groups such as environmental NGO's strongly pushing them	There is tremendous public support in the country for Biosphere Reserves
3. Capacity to engage and build consensus among all stakeholders	Institutional	Biosphere Reserve institutions are mission oriented	Institutional mission not defined	Institutional mission poorly defined and generally not known and internalized at all levels	Institutional mission well defined and internalized but not fully embraced	Institutional missions are fully internalized and embraced
3. Capacity to engage and build consensus among all stakeholders	Institutional	Biosphere Reserve institutions can establish the partnerships needed to achieve their objectives	Biosphere Reserve institutions operate in isolation	Some partnerships in place but significant gaps and existing partnerships achieve little	Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives	Biosphere Reserve institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner
3. Capacity to engage and build consensus among all stakeholders	Individual	Individuals carry appropriate values, integrity and attitudes	Individuals carry negative attitude	Some individuals have notion of appropriate attitudes and display integrity, but most don't	Many individuals carry appropriate values and integrity, but not all	Individuals carry appropriate values, integrity and attitudes
4. Capacity to mobilize information and knowledge	Systemic	Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system	Information is virtually lacking	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access	Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability	Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system
4. Capacity to mobilize information and knowledge	Institutional	Biosphere Reserve institutions have the information needed to do their work	Information is virtually lacking	Some information exists, but is of poor quality and of limited usefulness and difficult to access	Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity	Adequate quantities of high quality up to date information for Biosphere Reserve planning, management and monitoring is widely and easily available
4. Capacity to mobilize information and knowledge	Individual	Individuals working with Biosphere Reserves work effectively together as a team	Individuals work in isolation and don't interact	Individuals interact in limited way and sometimes in teams but this is rarely effective and functional	Individuals interact regularly and form teams, but this is not always fully effective or functional	Individuals interact effectively and form functional teams
5. Capacity to monitor, evaluate, report and learn	Systemic	Biosphere Reserve policy is continually reviewed and updated	There is no policy or it is old and not reviewed regularly	Policy is only reviewed at irregular intervals	Policy is reviewed regularly but not annually	National Biosphere Reserves policy is reviewed annually
5. Capacity to monitor, evaluate, report and learn	Systemic	Society monitors the state of Biosphere Reserves	There is no dialogue at all	There is some dialogue going on, but not in the wider public and restricted to specialized circles	There is a reasonably open public dialogue going on but certain issues remain taboo.	There is an open and transparent public dialogue about the state of the Biosphere Reserves
5. Capacity to monitor, evaluate, report and learn	Institutional	Institutions are highly adaptive, responding effectively and immediately to change	Institutions resist change	Institutions do change but only very slowly	Institutions tend to adapt in response to change but not always very effectively or with some delay	Institutions are highly adaptive, responding effectively and immediately to change

5. Capacity to monitor, evaluate, report and learn	Institutional	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	There are no mechanisms for monitoring, evaluation, reporting or learning	There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning
5. Capacity to monitor, evaluate, report and learn	Individual	Individuals are adaptive and continue to learn	There is no measurement of performance or adaptive feedback	Performance is irregularly and poorly measured and there is little use of feedback	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be	Performance is effectively measured and adaptive feedback utilized

B. QUANG NAM PROVINCE CAPACITY ASSESSMENT SCORECARD

2016 BASELINE - Cu Lao Cham Biosphere Reserve

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	3	6	50%	2	3	67%	N/A	NA	NA	58%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	3	9	33%	10	27	37%	4	12	33%	35%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	2	6	33%	3	6	50%	2	3	67%	50%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	2	3	67%	44%
(5) Capacity to monitor, evaluate and report at the sector and project levels	3	6	50%	2	6	33%	2	3	67%	50%
TOTAL Score and average for %'s	**12**	**30**	**40%**	**18**	**45**	**44%**	**10**	**21**	**58%**	**47%**

End of Project estimate

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	6	6	100%	3	3	100%	N/A	NA	NA	100%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	5	9	56%	17	27	63%	8	12	67%	62%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	4	6	67%	4	6	67%	2	3	67%	67%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	2	3	67%	2	3	67%	2	3	67%	67%
(5) Capacity to monitor, evaluate and report at the sector and project levels	4	6	67%	4	6	67%	2	3	67%	67%
TOTAL Score and average for %'s	**21**	**30**	**71%**	**30**	**45**	**73%**	**14**	**21**	**67%**	**72%**

Outcome	Numeric Indicator Score - baseline	Outcome Indicator (*copy from tab "baseline Ref Table"*)	Numeric Indicator Score – EOP	Outcome Indicator (*copy from tab "baseline Ref Table"*)
The Biosphere Reserve agenda is being effectively championed / driven forward	2	There are a number of Biosphere Reserve champions that drive the Biosphere Reserve agenda, but more is needed	3	There are an adequate number of able "champions" and "leaders" effectively driving forwards a Biosphere Reserve agenda
There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves	1	There is a partial legal framework for Biosphere Reserves but it has many inadequacies	3	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves
There is an institution responsible for Biosphere Reserves able to strategize and plan	2	Biosphere Reserve institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation	3	Biosphere Reserve institutions have relevant, participatorially prepared, regularly updated strategies and plans
There are adequate skills for Biosphere Reserve planning and management	1	Some skills exist but in largely insufficient quantities to guarantee effective planning and management	2	Necessary skills for effective Biosphere Reserve management and planning do exist but are stretched and not easily available
There are Biosphere Reserve systems	1	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness	1	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness
There is a fully transparent oversight authority for the Biosphere Reserves institutions	1	There is some oversight, but only indirectly and in an untransparent manner	2	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)
Biosphere Reserve institutions are effectively led	2	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement	2	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement
Biosphere Reserves have regularly updated, prepared in participatory manner, comprehensive management plans	1	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner	1	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner
Human resources are well qualified and motivated	1	Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated	2	HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified.
Management plans are implemented in a timely manner effectively achieving their objectives	1	Management plans are poorly implemented and their objectives are rarely met	2	Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met
Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	1	Biosphere Reserve institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate	2	Biosphere Reserve institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate
Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	1	Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal	2	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way
Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable	1	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable	2	Biosphere Reserve institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent
There are legally designated Biosphere Reserve institutions with the authority to carry out their mandate	1	There are one or more institutions or agencies dealing with Biosphere Reserves but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements	2	There are one or more institutions or agencies dealing with Biosphere Reserves, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps
Biosphere Reserves are effectively protected	1	Some enforcement of regulations but largely ineffective and external threats remain active	2	Biosphere Reserve regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated
Individuals are able to advance and develop professionally	1	Career tracks are weak and training possibilities are few and not managed transparently	2	Clear career tracks developed and training available; HR management however has inadequate performance measurement system
Individuals are appropriately skilled for their jobs	1	Individuals have some or poor skills for their jobs	2	Individuals are reasonably skilled but could further improve for optimum match with job requirement
Individuals are highly motivated	1	Motivation uneven, some are but most are not	2	Many individuals are motivated but not all
There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	1	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed	2	Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required
Biosphere Reserves have the political commitment they require	1	Some political will exists, but is not strong enough to make a difference	2	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves
Biosphere Reserves have the public support they require	1	There is limited support for Biosphere Reserves	2	There is general public support for Biosphere Reserves and there are various lobby groups such as environmental NGO's strongly pushing them
Biosphere Reserve institutions are mission oriented	1	Institutional mission poorly defined and generally not known and internalized at all levels	2	Institutional mission well defined and internalized but not fully embraced
Biosphere Reserve institutions can establish the partnerships needed to achieve their objectives	2	Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives	2	Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives
Individuals carry appropriate values, integrity and attitudes	2	Many individuals carry appropriate values and integrity, but not all	2	Many individuals carry appropriate values and integrity, but not all
Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system	1	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access	2	Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability
Biosphere Reserve institutions have the information needed to do their work	1	Some information exists, but is of poor quality and of limited usefulness and difficult to access	2	Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity
Individuals working with Biosphere Reserves work effectively together as a team	2	Individuals interact regularly and form teams, but this is not always fully effective or functional	2	Individuals interact regularly and form teams, but this is not always fully effective or functional
Biosphere Reserve policy is continually reviewed and updated	2	Policy is reviewed regularly but not annually	2	Policy is reviewed regularly but not annually
Society monitors the state of Biosphere Reserves	1	There is some dialogue going on, but not in the wider public and restricted to specialized circles	2	There is a reasonably open public dialogue going on but certain issues remain taboo.
Institutions are highly adaptive, responding effectively and immediately to change	1	Institutions do change but only very slowly	2	Institutions tend to adapt in response to change but not always very effectively or with some delay

Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	**1**	There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak	**2**	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be
Individuals are adaptive and continue to learn	**2**	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be	**2**	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be
	40		**65**	

C. DONG NAI PROVINCE CAPACITY ASSESSMENT SCORECARD

2016 BASELINE - Dong Nai Biosphere Reserve

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	2	6	33%	1	3	33%	N/A	NA	NA	33%
(2) Capacity to formulate, operationalise and implement sectoral and cross-sectoral programmes and projects	3	9	33%	12	27	44%	4	12	33%	37%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	2	6	33%	3	6	50%	1	3	33%	39%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	1	3	33%	33%
(5) Capacity to monitor, evaluate and report at the sector and project levels	3	6	50%	2	6	33%	1	3	33%	39%
TOTAL Score and average for %'s	**11**	**30**	**37%**	**19**	**45**	**39%**	**7**	**21**	**33%**	**36%**

End of Project estimate

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	4	6	67%	3	3	100%	N/A	NA	NA	83%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	5	9	56%	16	27	59%	7	12	58%	58%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	4	6	67%	4	6	67%	2	3	67%	67%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	2	3	67%	2	3	67%	2	3	67%	67%
(5) Capacity to monitor, evaluate and report at the sector and project levels	4	6	67%	4	6	67%	2	3	67%	67%
TOTAL Score and average for %'s	**19**	**30**	**64%**	**29**	**45**	**72%**	**13**	**21**	**65%**	**68%**

Capacity Level	Outcome	Numeric Indicator Score - baseline	Outcome Indicator (*copy from tab "baseline Ref Table"*)	Numeric Indicator Score - EOP	Outcome Indicator (*copy from tab "baseline Ref Table"*)
Systemic	The Biosphere Reserve agenda is being effectively championed / driven forward	1	There are some persons or institutions actively pursuing a Biosphere Reserve agenda but they have little effect or influence	2	There are a number of Biosphere Reserve champions that drive the Biosphere Reserve agenda, but more is needed
	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves	1	There is a partial legal framework for Biosphere Reserves but it has many inadequacies	2	There is a reasonable legal framework for Biosphere Reserves but it has a few weaknesses and gaps
Institutional	There is an institution responsible for Biosphere Reserves able to strategize and plan	1	Biosphere Reserve institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion	3	Biosphere Reserve institutions have relevant, participatorially prepared, regularly updated strategies and plans
Systemic	There are adequate skills for Biosphere Reserve planning and management	1	Some skills exist but in largely insufficient quantities to guarantee effective planning and management	2	Necessary skills for effective Biosphere Reserve management and planning do exist but are stretched and not easily available
	There are Biosphere Reserve systems	1	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness	1	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness
	There is a fully transparent oversight authority for the Biosphere Reserves institutions	1	There is some oversight, but only indirectly and in an untransparent manner	2	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)
Institutional	Biosphere Reserve institutions are effectively led	2	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement	2	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement
	Biosphere Reserves have regularly updated, prepared in participatory manner, comprehensive management plans	1	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner	1	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner
	Human resources are well qualified and motivated	1	Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated	2	HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified.
	Management plans are implemented in a timely manner effectively achieving their objectives	1	Management plans are poorly implemented and their objectives are rarely met	2	Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met
	Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	1	Biosphere Reserve institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate	2	Biosphere Reserve institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate
	Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	2	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way	2	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way
	Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable	2	Biosphere Reserve institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent	1	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable
	There are legally designated Biosphere Reserve institutions with the authority to carry out their mandate	1	There are one or more institutions or agencies dealing with Biosphere Reserves but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements	2	There are one or more institutions or agencies dealing with Biosphere Reserves, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps
	Biosphere Reserves are effectively protected	1	Some enforcement of regulations but largely ineffective and external threats remain active	2	Biosphere Reserve regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated
Individual	Individuals are able to advance and develop professionally	1	Career tracks are weak and training possibilities are few and not managed transparently	2	Clear career tracks developed and training available; HR management however has inadequate performance measurement system
	Individuals are appropriately skilled for their jobs	1	Individuals have some or poor skills for their jobs	2	Individuals are reasonably skilled but could further improve for optimum match with job requirement
	Individuals are highly motivated	1	Motivation uneven, some are but most are not	2	Many individuals are motivated but not all
	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	1	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed	1	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed
Systemic	Biosphere Reserves have the political commitment they require	1	Some political will exists, but is not strong enough to make a difference	2	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves
	Biosphere Reserves have the public support they require	1	There is limited support for Biosphere Reserves	2	There is general public support for Biosphere Reserves and there are various lobby groups such as environmental NGO's strongly pushing them
Institutional	Biosphere Reserve institutions are mission oriented	1	Institutional mission poorly defined and generally not known and internalized at all levels	2	Institutional mission well defined and internalized but not fully embraced
	Biosphere Reserve institutions can establish the partnerships needed to achieve their objectives	2	Many partnerships in place with a wide range of agencies, NGOs etc., but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives	2	Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives
Individual	Individuals carry appropriate values, integrity and attitudes	1	Some individuals have notion of appropriate attitudes and display integrity, but most don't	2	Many individuals carry appropriate values and integrity, but not all
Systemic	Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system	1	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access	2	Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability
Institutional	Biosphere Reserve institutions have the information needed to do their work	1	Some information exists, but is of poor quality and of limited usefulness and difficult to access	2	Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity
Individual	Individuals working with Biosphere Reserves work effectively together as a team	1	Individuals interact in limited way and sometimes in teams but this is rarely effective and functional	2	Individuals interact regularly and form teams, but this is not always fully effective or functional
Systemic	Biosphere Reserve policy is continually reviewed and updated	2	Policy is reviewed regularly but not annually	2	Policy is reviewed regularly but not annually
	Society monitors the state of Biosphere Reserves	1	There is some dialogue going on, but not in the wider public and restricted to specialized circles	2	There is a reasonably open public dialogue going on but certain issues remain taboo.

Institutional	Institutions are highly adaptive, responding effectively and immediately to change	**1**	Institutions do change but only very slowly	**2**	Institutions tend to adapt in response to change but not always very effectively or with some delay
	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	**1**	There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak	**2**	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be
Individual	Individuals are adaptive and continue to learn	**1**	Performance is irregularly and poorly measured and there is little use of feedback	**2**	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be
		37		**61**	

D. NGHE AN PROVINCE CAPACITY ASSESSMENT SCORECARD

2016 BASELINE - Western Nghe An Biosphere Reserve

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	2	6	33%	1	3	33%	N/A	NA	NA	33%
(2) Capacity to formulate, operationalise and implement sectoral and cross-sectoral programmes and projects	4	9	44%	10	27	37%	4	12	33%	38%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	2	6	33%	3	6	50%	1	3	33%	39%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	2	3	67%	44%
(5) Capacity to monitor, evaluate and report at the sector and project levels	2	6	33%	2	6	33%	1	3	33%	33%
TOTAL Score and average for %'s	**11**	**30**	**36%**	**17**	**45**	**37%**	**8**	**21**	**42%**	**38%**

End of Project estimate

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectoral and cross-sectoral policy and regulatory frameworks	6	6	100%	3	3	100%	N/A	NA	NA	100%
(2) Capacity to formulate, operationalize and implement sectoral and cross-sectoral programs and projects	5	9	56%	16	27	59%	7	12	58%	58%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	4	6	67%	4	6	67%	2	3	67%	67%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	2	3	67%	2	3	67%	2	3	67%	67%
(5) Capacity to monitor, evaluate and report at the sector and project levels	4	6	67%	4	6	67%	2	3	67%	67%
TOTAL Score and average for %'s	**21**	**30**	**71%**	**29**	**45**	**72%**	**13**	**21**	**65%**	**72%**

Strategic Area of Support	Capacity Level	Outcome	Numeric Indicator Score - baseline	Outcome Indicator (*copy from tab "baseline Ref Table"*)	Numeric Indicator Score - EOP	Outcome Indicator (*copy from tab "baseline Ref Table"*)
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	*Systemic*	The Biosphere Reserve agenda is being effectively championed / driven forward	**1**	There are some persons or institutions actively pusueing a Biosphere Reserve agenda but they have little effect or influence	**3**	There are an adequate number of able "champions" and "leaders" effectively driving forwards a Biosphere Reserve agenda
		There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves	**1**	There is a partial legal framework for Biosphere Reserves but it has many inadequacies	**3**	There is a strong and clear legal mandate for the establishment and management of Biosphere Reserves
	Institutional	There is an institution responsible for Biosphere Reserves able to strategize and plan	**1**	Biosphere Reserve institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion	**3**	Biosphere Reserve institutions have relevant, participatorially prepared, regularly updated strategies and plans
2. Capacity to implement policies, legislation, strategies and programmes	*Systemic*	There are adequate skills for Biosphere Reserve planning and management	**1**	Some skills exist but in largely insufficient quantities to guarantee effective planning and management	**2**	Necessary skills for effective Biosphere Reserve management and planning do exist but are stretched and not easily available
		There are Biosphere Reserve systems	**1**	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness	**1**	Biosphere Reserve system is patchy both in number and geographical coverage and has many gaps in terms of representativeness
		There is a fully transparent oversight authority for the Biosphere Reserves institutions	**2**	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)	**2**	There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized)
	Institutional	Biosphere Reserve institutions are effectively led	**2**	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement	**2**	Some Biosphere Reserve institutions have reasonably strong leadership but there is still need for improvement
		Biosphere Reserves have regularly updated, prepared in participatory manner, comprehensive management plans	**1**	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner	**1**	Some Biosphere Reserves have up-to-date management plans but they are typically not comprehensive and were not prepared in participatory manner
		Human resources are well qualified and motivated	**1**	Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated	**2**	HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified.
		Management plans are implemented in a timely manner effectively achieving their objectives	**0**	There is very little implementation of management plans	**2**	Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met
		Biosphere Reserve institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	**1**	Biosphere Reserve institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate	**2**	Biosphere Reserve institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate
		Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	**1**	Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal	**2**	The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way
		Biosphere Reserve institutions are highly transparent, fully audited, and publicly accountable	**2**	Biosphere Reserve institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent	**1**	Biosphere Reserve institutions are not transparent but are occasionally audited without being held publicly accountable
		There are legally designated Biosphere Reserve institutions with the authority to carry out their mandate	**1**	There are one or more institutions or agencies dealing with Biosphere Reserves but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements	**2**	There are one or more institutions or agencies dealing with Biosphere Reserves, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps
		Biosphere Reserves are effectively protected	**1**	Some enforcement of regulations but largely ineffective and external threats remain active	**2**	Biosphere Reserve regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated
	Individual	Individuals are able to advance and develop professionally	**1**	Career tracks are weak and training possibilities are few and not managed transparently	**2**	Clear career tracks developed and training available; HR management however has inadequate performance measurement system
		Individuals are appropriately skilled for their jobs	**1**	Individuals have some or poor skills for their jobs	**2**	Individuals are reasonably skilled but could further improve for optimum match with job requirement
		Individuals are highly motivated	**1**	Motivation uneven, some are but most are not	**1**	Motivation uneven, some are but most are not
		There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	**1**	Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed	**2**	Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required
3. Capacity to engage and build consensus among all stakeholders	*Systemic*	Biosphere Reserves have the political commitment they require	**1**	Some political will exists, but is not strong enough to make a difference	**2**	Reasonable political will exists, but is not always strong enough to fully support Biosphere Reserves
		Biosphere Reserves have the public support they require	**1**	There is limited support for Biosphere Reserves	**2**	There is general public support for Biosphere Reserves and there are various lobby groups such as environmental NGO's strongly pushing them
	Institutional	Biosphere Reserve institutions are mission oriented	**1**	Institutional mission poorly defined and generally not known and internalized at all levels	**2**	Institutional mission well defined and internalized but not fully embraced
		Biosphere Reserve institutions can establish the partnerships needed to achieve their objectives	**2**	Many partnerships in place with a wide range of agencies, NGOs etc., but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives	**2**	Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives
	Individual	Individuals carry appropriate values, integrity and attitudes	**1**	Some individuals have notion of appropriate attitudes and display integrity, but most don't	**2**	Many individuals carry appropriate values and integrity, but not all
4. Capacity to mobilize information and knowledge	*Systemic*	Biosphere Reserve institutions have the information they need to develop and monitor strategies and action plans for the management of the Biosphere Reserve system	**1**	Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access	**2**	Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability
	Institutional	Biosphere Reserve institutions have the information needed to do their work	**1**	Some information exists, but is of poor quality and of limited usefulness and difficult to access	**2**	Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity
	Individual	Individuals working with Biosphere Reserves work effectively together as a team	**2**		**2**	Individuals interact regularly and form teams, but this is not always fully effective or functional
	Systemic	Biosphere Reserve policy is continually reviewed and updated	**1**	Policy is only reviewed at irregular intervals	**2**	Policy is reviewed regularly but not annually

5. Capacity to monitor, evaluate, report and learn		Society monitors the state of Biosphere Reserves	**1**	There is some dialogue going on, but not in the wider public and restricted to specialized circles	**2**	There is a reasonably open public dialogue going on but certain issues remain taboo.
	Institutional	Institutions are highly adaptive, responding effectively and immediately to change	**1**	Institutions do change but only very slowly	**2**	Institutions tend to adapt in response to change but not always very effectively or with some delay
		Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	**1**	There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak	**2**	Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be
	Individual	Individuals are adaptive and continue to learn	**1**	Performance is irregularly and poorly measured and there is little use of feedback	**2**	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be
			36		**63**	

Annex 21

GEF Tracking Tool (s) at baseline (Mandatory)

-See Separate file-

Annex 22

Co-financing letters

-See Separate File-