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**PROJECT DOCUMENT**  
**VIET NAM**

**Project Title: Integrated sustainable landscape management through deforestation-free jurisdiction project in Lam Dong and Dak Nong, Vietnam**

**Project Number: 00098749**

**Implementing Partner: Ministry of Agriculture and Rural Development, Provincial People's Committee of Dak Nong and Lam Dong**

**Start Date: 15 July 2021**

**End Date: 15 July 2025**

**PAC Meeting date: 16 June 2021**

**Brief Description**

Central Highlands is the second most disadvantaged region in Viet Nam where indigenous households remain entrenched in poverty, coupled with persistent gap in welfare between groups. Rural poverty in this region is almost double the national average (28.8% vs. 17.9%) and poverty rate among ethnic minorities is 52.7% compared to 9.7% among Kinh and Hoa groups (Dang Nguyen Anh, 2015). The impacts of forest loss underlying drivers on ethnic minority people are especially of concern. In addition, predominant cultural norms, limit ethnic minority women from accessing opportunities to strengthen their livelihood assets: among others, education, health facilities, land use rights, financial services, as well as strong decision-making space.

Dak Nong and Lam Dong provinces share the same nation-wide issues of access by ethnic minorities to forest: only 11.5%<sup>9</sup> of ethnic minority households have been contracted for forest protection, and about 10.7% have forest land allocated. On average, the income generated from forest activities by ethnic minority groups only accounts for 8.5% of total household income (LRI, 2017). In other words, despite great potential, ethnic minorities are not yet able to earn a living from the forest (LRI, 2017)<sup>10</sup>. In the meantime, ethnic minorities ranked among the poorest households, often lacking opportunities and investment capacities to connect to markets and benefit from more sustainable and resilient agricultural practices.

Meanwhile, expansion of permanent crops keeps pushing subsistence farming from marginalized farmers into more remote and forested areas, making it more difficult for the poorest households and particularly ethnic minorities to benefit from more sustainable and profitable practices. Agriculture inputs received by the farmers are low quality and processing is limited<sup>7</sup>, resulting in low prices that neither support investment in quality, nor promote better practices and markets. Foreign-owned companies are not permitted to source directly from farmers but must instead buy through a registered local company or cooperative. This has resulted in significant challenges in terms of providing targeted conditional financial and advisory services, as well as in terms of traceability of the sector.

On the government side, though various reforms and policy directives are providing a strong signal towards a change in land use practices, their application is facing the issue of technical capacity, which needs to be built. This is particularly the case for integrated land use planning and its implementation, whereby dialogue across sectors and stakeholders is currently lacking, as the capacity to monitor and act on breaches to the agreed land use plan in a timely manner. Eventually, these challenges to integrate agriculture production and economic development with environmental protection and social inclusion have led to prioritizing the first to the detriment of the two others. It is therefore critical for a systemic change to demonstrate concretely, to the local government as well as actors of the value chain, the viability of deforestation-free and sustainable agriculture production as part of integrated and inclusive landscape management.

<sup>5</sup> <https://congthuong.vn/nang-suat-ca-phe-viet-nam-cao-hon-binh-quan-cac-nuoc-gap-3-lan-97134.html>

<sup>6</sup> <https://nongnghiep.vn/san-luong-ca-phe-nien-vu-2018-%E2%80%932019-giam-nhieu-so-voi-du-kien-post233421.html>

<sup>7</sup> 85% of coffee export of Viet Nam is coffee bean (raw material) (USDA, April 2018), with lower prices than that of the same product line produced in other countries

<sup>8</sup> <https://thuvienphapluat.vn/van-ban/Tai-nguyen-Moi-truong/Quy-dinh-5081-QD-BNN-TCLN-2017-thiet-lap-muc-tieu-tu-nguyen-can-bang-suy-thoai-dat-Viet-Nam-369533.aspx>

<sup>9</sup> [Report by the Ethnic Council to the National Assembly of Viet Nam on 23rd October 2018 on the triennial review of implementation of socio-economic policies for ethnic minorities and mountainous area](#)

<sup>10</sup> [Report of the Legislative Research Institute of the National Assembly of Viet Nam on Enhancing roles of Ethnic Minorities in Forest Protection \(2017\)](#)

The project aims to improve environmental sustainability and social inclusion and resilience of food production models and supply chains in the Central Highlands of Vietnam.

Specific objectives include:

- Enhance ecosystems, including reducing loss and degradation of natural forests, protecting biodiversity, restoring priority ecosystems, reducing GHG emissions
- Improve livelihoods, through inclusion of vulnerable groups including ethnic minorities and women in agriculture, forest-farming and ecotourism value chains
- Sustain food production and improve quality, through improved farming practices, better organization of producers, and transparent and shortened supply chains.

Contributing Outcome (UNDAF/CPD, RPD or GPD):  
 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

Indicative Output(s):

<b>Total resources required:</b>	<b>5,957,500 USD</b>	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>Donor:</b>	<b>5,957,500 USD</b>
	<b>Government:</b>	
	<b>Government In-Kind:</b>	<b>595,750 USD</b>
<b>Unfunded:</b>		

Agreed by (signatures)<sup>2</sup>: \_\_\_\_\_ UNDP

*Caillin Wiesen*

Print Name: Caillin Wiesen  
 Date: 29 June 2021

<sup>2</sup> Note: Adjust signatures as needed  
<sup>2</sup> The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender equality)

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## I. DEVELOPMENT CHALLENGE

Viet Nam has achieved remarkable success in development over the last 30 years. Gross domestic product (GDP) grew at a steady rate of approximately 6% annually, from \$6.3B in 1989 to \$224B in 2017<sup>2</sup>. Human Development Index increased from 0.475 in 1990 to 0.694 in 2017 (UNDP, 2018<sup>3</sup>), and poverty rate fell significantly from 58% in 1993 to around 7% in 2017 (UNDP, 2017). As a major exporter of global agricultural commodities including rice, aquaculture products, rubber, coffee, cashew nuts, pepper etc., and as a global hub for timber production and transformation, the agriculture, forestry, and fishing sector is a major contributor to Viet Nam development (15.3% of GDP in 2017)<sup>3</sup>. At the same time, national forest cover has increased from 23% in 1993, to more than 41% in 2017 (MARD, 2018<sup>4</sup>). However, this outstanding economic performance and increase in forest cover mask structural challenges such as degradation of agriculture land due to chemical pollution and soil erosion; loss of natural forest due to conversion to plantations; degradation of ecosystems; increased vulnerability to climate change, drought and water shortage; increased competing interests over scarce land leading to land conflicts; and persisting poverty among ethnic minorities in mountainous regions.

**The Central Highlands** region of Viet Nam is a landscape of global importance and stands at the forefront of the national battle to fight climate change, halt loss of natural forests and sustain outstanding agricultural potential. Indeed, the Viet Nam's Voluntary National Land Degradation Neutrality Targets for the period of 2017-2020 with vision to 2030<sup>8</sup> prioritizes sustainable land management with a focus on 'hotspots' with high poverty in three regions, one of which is the Central Highlands, with 9 of the 11 national voluntary land degradation targets referring directly to the Central Highlands. In recent years, Central Highlands in general, and the proposed project provinces of Lam Dong and Dak Nong and their districts in particular have experienced significant loss. The natural forest cover in Dak Nong and Lam Dong have been reduced by about 16,6% and 15,9% respectively over the period of 2010-2015 (GSO, 2018) through rapid expansion of coffee cultivation, rubber and timber plantations.

### **A region with high-biodiversity value ecosystems**

It is a pivotal region for the achievement of national commitments under key multilateral environmental agreements. It contributes 22% of national emissions from the land-use, land use change and forestry sector (MARD, 2016), and 6.8 Mt CO<sub>2</sub>e is emitted by Central Highlands coffee farms each year from fertilizer, residue management and fuel use (CIAT, Nguyen, N.D. et al., publication forthcoming). The rich forests of the region have among the highest carbon biomass in Viet Nam (Bao Huy, 2012). They include most of Viet Nam's remaining high biodiversity such as the Southern Annamites Montane Rain Forests ecoregion, as identified by WWF. The ecoregion includes a range of climatic gradients, topography, and ecosystem and forest types, with wet evergreen forests to montane habitats with evergreen hardwood, and conifer forests. Of the 122 mammal species known from the ecoregion, three are near-endemic species and two are endemic. Some of the threatened species include the tiger, Asian elephant, douc langur, gaur, banteng, Eld's deer, serow, clouded leopard, pygmy loris, pig-tailed macaque, wild dog, Malayan sun bear, and smooth-coated otter. More than 410 bird species are known from this ecoregion; the Dalat Plateau in the Central Highlands has also been identified as an Endemic Bird Area by Birdlife International, with eight restricted range bird species represented, including the endangered Collared Laughingthrush. More than 75 percent of this ecoregion's natural habitat has been converted or degraded with the remaining forest in small, isolated fragments.

The Central Highlands region contains 23 designated and proposed protected areas (according to the World Database on Protected Areas), covering a total of around 1.96 million ha. Of these, 8 are in Lam Dong and Dak Nong, Province, including the well-known Cat Tien National Park, which covers more than 72 600 hectares across both Lam Dong and Dak Nong provinces. In addition, there are 23 'Key Biodiversity Areas' (KBAs) identified in the Central Highlands, covering more than 800 000 ha.

Forests in the two target provinces in particular, have been categorized according to their 'forest function' including the provision of key ecosystem services, such as timber and bamboo production, environmental and watershed protection, scientific research and historical/landscape significance (table 1). For example, Lam Dong's forests include significant areas of production forests, national parks and watershed protection forests, while Dak Nong's forests include significant production forests and watershed protection forests.

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<sup>2</sup> Source: <https://tradingeconomics.com/vietnam/gdp>

<sup>3</sup> Human Development Indices and Indicators: 2018 Statistical Update, UNDP

<sup>3</sup> Source: <https://data.worldbank.org/indicator/NV.AGR.TOTL.ZS?locations=VN>

<sup>4</sup> Decision #1187/QĐ-BNN-TCLN of Ministry of Agriculture and Rural Development on 03 April 2018

Province	Bamboo production	Big timber production	Environmental protection	Historical and landscape area	National park	Nature reserve	Other production	Scientific research	Small timber production	Watershed protection
<b>Đắk Nông</b>	7,432	127,488	322	1,653	2,981	35,435	41,667	951	16,294	61,769
<b>Lâm Đồng</b>	12,103	219,048	16,845	--	84,786	2	75,816	--	23,767	154,254

*Table 1 - Forest area (ha) by forest function sub-class in Dak Nong and Lam Dong provinces (source: Forest Resources Monitoring System / Viet Nam SIS)*

### **A region with high agricultural potential which impact natural forest**

Ongoing agriculture production of the Central Highlands region is of global importance for coffee but also other commodities like rubber, pepper, cassava, tea, cashew, fruits and vegetables, flowers. First, it is the **largest coffee-growing region in Viet Nam, contributing to its position as the world's second-largest exporter of coffee**. The two provinces of Lam Dong and Dak Nong (targeted by this project) account for 40% of national coffee production (IDH, 2018). Coffee coming from Central Highlands achieves yields of about three times higher than in neighbouring countries, maintained through heavy application of agrochemical inputs and irrigation. However, in recent years, a combination of aging coffee plant stock, degraded polluted soils and expansion on to unsuitable land has meant that coffee yields have begun to decline encouraging further expansion. About 85% of the coffee export from Viet Nam takes the form of raw coffee bean and is sold at a lower price compared to the same product produced in Brazil or other locations (USDA, April 2018). The emphasis on coffee as the largest driver of forest clearing seems to be shifting. During the past 2 to 3 years, more farmers were switching from producing coffee to growing other cash crops such as black pepper, avocado, and passion fruit in order to generate higher incomes. In Dak Nong and Lam Dong, where arable land reserve is still available, the new arable land is used more for growing black pepper and avocado. In short, coffee production is facing strong competition from black pepper production and this ongoing situation is impacting the expansion of coffee planted area in Dak Nong and Lam Dong (USDA, 2017).

The table below provides further information on the perennial commodities produced in one of the province targeted by this project.

Total area (ha) by year						
	1990	1995	2000	2005	2010	2016
<i>Total commodities:</i>	49,825	91,416	154,377	155,282	185,586	212,119
Coffee	38,678	70,104	124,359	117,538	143,285	160,610
Tea	11,067	13,970	21,606	25,535	23,557	20,375
Rubber					2,538	9,064
Cashew		7,342	8,149	11,806	15,925	20,108
Pepper	80	27	263	403	281	1,962
Yield of perennial trees (tons)						
Coffee	25,460	61,656	167,360	211,804	322,036	426,245
Tea	36,000	53,703	125,179	161,938	204,031	229,522
Rubber					29	1,268
Cashew		1,750	990	4,833	9,380	17,262
Pepper	29	21	66	744	539	2,177

*Table 2- Summary perennial commodities produced in Lam Dong Province (1990-2016)- Sources: Lam Dong statistical yearbooks 1995 – 2000, as reported by USAID LEAF (2013); Lam Dong statistic book 2005, Lam Dong statistic book 2016.*

Central Highlands was the second largest region in the country for both pepper planting area and productivity after the South East region. However, by 2017, the cultivation area of Central Highlands was increased 4 times and more than three times in production, accounting for 63.89% of the country's pepper output, and **becoming the leading region in terms of pepper area and production in Vietnam**. Based on the value chain analysis, pepper prices and policies related to national and local pepper planning, it is obvious that pepper cultivation helps develop the economy and the living standards of people in the Central Highlands provinces, specifically in Dak Nong and Lam Dong, if properly planned and developed. However, without proper policy interventions, farmers exploit short term profits without long term and sustainable production model, generating rapid expansion/conversion to pepper production and possibly leading to massive deforestation.

Though rubber production is not significant in Lam Dong, **Dak Nong is accounting for 12% of Central Highlands rubber production**. The Central Highlands accounts for about 26% of national rubber production by 2015 and Dak Nong Province provides a testing-ground for interventions that could be necessary across the Central Highlands to reduce impacts from this historically large driver of natural forest clearing. However, the current low commodity prices of rubber have worked in favor of forests, and the area allowed for rubber planting exceeds the amount actually planted. The lucrative prices for rubber that existed in 2011 have cooled considerably, and farmers have even replaced some rubber crops with coffee and pepper.

**Cassava is a traditional agricultural crop, one of the four most important food crops in Vietnam. In recent years, cassava has changed from a food crop to a key commodity for the domestic market** (animal feed, industrial alcohol) and exports. Central Highlands is the largest cassava area in Vietnam and farmers in the Central Highlands have expanded the cassava growing area beyond what was planned by local authorities in Gia Lai, Dak Lak and Kon Tum. This is because cassava production does not require much investment, is easy to grow, adaptable to many different land types, and especially resistant to drought condition. Therefore, cassava is viewed as a driver of future deforestation in the project area, and may be harder to regulate and manage than other crop types.

The agricultural expansion in the region has taken a heavy toll on forests. **Between 2005 and 2015, natural forest area in Central Highlands decreased from approximately 2.8M ha to 2.2M ha**, while coffee surface expanded from 450.000ha to 530.000ha, rubber plantations from 90.000ha to 260.000ha, and timber plantations from 150.000ha to 320.000ha (See table below).

Land uses	2005	2010	2015	Change 2005-2015 (ha)
Total forests	2,973,076	2,874,400	2,562,000	-411,076
Natural forests	2,828,657	2,653,900	2,246,000	-582,657
Plantations	144,420	220,500	315,900	171,480
Rubber	86,892	183,090	259,200	172,308
Coffee	449,400	485,600	532,500	83,100

*Table 3- Change of key land use in Central Highlands (2005-2015)- Source: IPSARD, 2015.*

### **A region with complex socio-economic and governance challenges**

Central Highlands is also the second most disadvantaged region in Viet Nam where indigenous households remain entrenched in poverty, coupled with persistent gap in welfare between groups. Rural poverty in this region is almost double the national average (28.8% vs. 17.9%) and poverty rate among ethnic minorities is 52.7% compared to 9.7% among Kinh and Hoa groups (Dang Nguyen Anh, 2015). The impacts of forest loss underlying drivers on ethnic minority people are especially of concern. Population increase and resettlement in the region has brought significant changes for ethnic minorities. Overall, in Central Highlands, the general population increased from 420,000 in 1926 to over 2.8 million by 1991 and to more than 5.5 million in 2014 ((Huỳnh Anh Chi Thái, 2018 (citing various sources)). Ethnic minorities used to be a majority, but now comprise only 32% percent of the population. At the same time, forest cover has decreased precipitously since 1960, when it covered up to 85% of the land. These uplands had been a mosaic of 15 different indigenous groups and low numbers of the ethnic majority (the Kinh), up until 1975 or so. The displacement of ethnic minorities has been a negative side effect of in-migration. In addition, predominant cultural norms, limit ethnic minority women from accessing opportunities to strengthen their livelihood assets: among others, education, health facilities, land use rights, financial services, as well as strong decision-making space. For instance, up to 40 percent of ethnic minority women are illiterate, while men achieved an average of 86.3 percent literacy. The small number of matrilineal systems are also disadvantaged by policies and practices that do not recognize women's land use rights in land tenure certificates or women's leadership roles. As such, and especially in this region, forging solutions that

resolve these conflicts will allow transformational changes for poor and landless people, and between men and women.

The two proposed provinces share the same nation-wide issues of access by ethnic minorities to forest: only 11.5%<sup>9</sup> of ethnic minority households have been contracted for forest protection, and about 10.7% have forest land allocated. On average, the income generated from forest activities by ethnic minority groups only accounts for 8.5% of total household income (LRI, 2017). In other words, despite great potential, ethnic minorities are not yet able to earn a living from the forest (LRI, 2017)<sup>10</sup>. In the meantime, ethnic minorities ranked among the poorest households, often lacking opportunities and investment capacities to connect to markets and benefit from more sustainable and resilient agricultural practices.

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## II. STRATEGY

**The project is designed to use Deforestation-free jurisdictional approach (DFJA)** as a key to achieve the expected results. DFJA here refers to a **holistic framework to demonstrate sustainable development without deforestation in a particular jurisdiction** (district level in this case). This basically will promote the effective consolidation of (i) political realities and enforcement measures in a jurisdiction (ii) the actions towards sustainable supply chains taken by related actors of key commodities.

*For political realities and enforcement measures*, the project induces sustainability criteria for the jurisdictions and M&E framework as a foundation for seeking commitments of related stakeholders for the transition toward sustainable landscape. All supporting processes such as integrated land use planning, nearly real-time forest change monitoring system, traceability system for key agricultural supply chains will be improved to generate integrated and transparent information on level of jurisdictional sustainability and sustainable supply chains.

*For the actions towards sustainable supply chain*, the project consists in its revenue-oriented approach. All sustainable business models to be developed, disseminated, supported, organized through standards and scaled up at field level, through farmers and forest-dependent people's practices, are meant to generate revenues. This approach is complementary to more traditional approaches to forest conservation, like supporting patrols. Roles and actions taken by private sectors and households are incentivized through project's interventions in improving sustainable access to lower cost financial services, securing premium commitment of upper supply chains actors and getting better access to high value market for key commodities.

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<sup>5</sup> <https://conghuovng.vn/nang-suat-ca-phe-viet-nam-cao-hon-binh-quan-cac-nuoc-gap-3-lan-97134.html>

<sup>6</sup> <https://nongnghiep.vn/san-luong-ca-phe-nien-vu-2018-%E2%80%932019-giam-nhieu-so-voi-du-kien-post233421.html>

<sup>7</sup> 85% of coffee export of Viet Nam is coffee bean (raw material) (USDA, April 2018), with lower prices than that of the same product line produced in other countries

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<sup>10</sup> [Report of the Legislative Research Institute of the National Assembly of Viet Nam on Enhancing roles of Ethnic Minorities in Forest Protection \(2017\)](#)

The project has 4 Results (Outcomes), in which Result 1 is designed to improve governance and enabling conditions. Its activities include establishing platforms for dialogue and collaboration on priority commodities and promotion of truly valuing ecosystems, sustainability and resilience in land use trade-offs; integrated land use map and plan; PPI compacts; sustainability standards and GI where relevant; spatialized M&E system and robust monitoring, transparency and enforcement framework. Result 2 supports the implementation of the sustainability standards and PPI compacts at field level, including improving sustainability and yields of production models associated with agriculture land and forest land; access to forest and agriculture land for farmers including vulnerable groups, creating innovative opportunities for sustainable livelihoods (forest-farming, agroecology, ecotourism...), and increasing overall revenues from farming including through higher quality and more resilient cash crop production. Result 3 focuses on addressing financial needs along supply chains for operationalizing Result 2, including agreements with the private sector and financial sector on incentivizing sustainable practices; and with public authorities to align public resources for sustainable supply chains. Result 4 involves activities on building a strong and efficient governance structure and management mechanism of the project to secure smooth operations; documentation and dissemination of project results, findings and lessons; generating momentum and know-how to sustain and scale-up engagement into integrated sustainable landscape management.

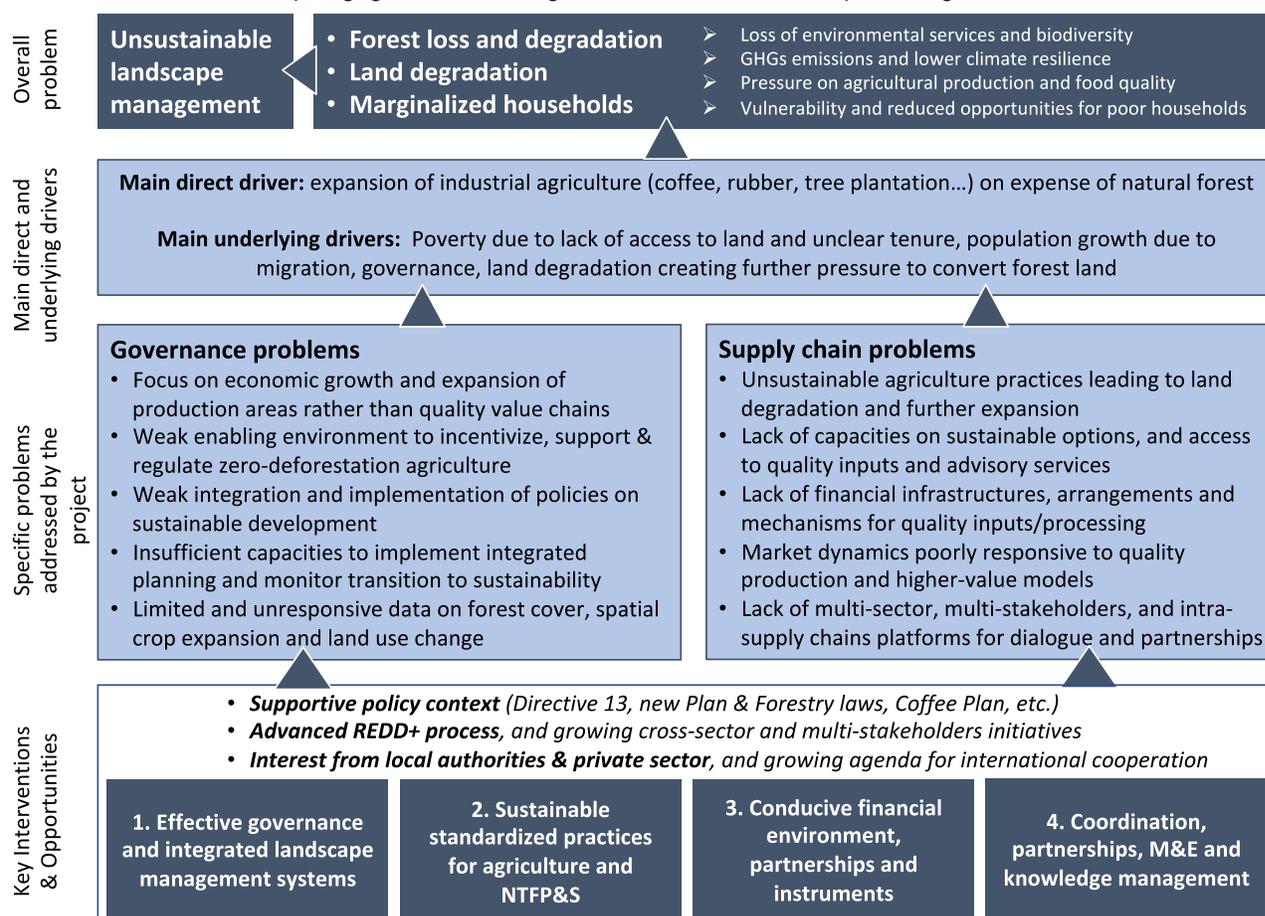


Figure 1- The project's theory of change

The project contributes directly to and promotes the implementation of Sustainable Development Goals, national strategies and commitments on reducing greenhouse gas emissions, green growth, and forest protection, sustainable agricultural development of Vietnam in general and the Central Highlands region in particular.

With the SDGs, basing on the Prime Minister's Decision No. 681 / QD-TTg deciding the roadmap for the implementation of Vietnam's sustainable development goals by 2030 [June 4, 2019], the project contributes directly to poverty reduction goals (targets 1.1, 1.2), sustainable agricultural production (2.3 and 2.4) and ecosystem protection (15.2 and 15.5).

For Vietnam's NDCs implementation plans for the Paris Agreement, the project also joins efforts to implement the National Action Programme on the Reduction of Greenhouse Gas Emissions through the reduction of Deforestation and Forest Degradation, Sustainable Management of Forest Resources, and Conservation and Enhancement of Forest Carbon Stocks (REDD+) by 2030; Conservation, enhancement of

carbon stocks and sustainable management of forest resources (collectively referred to as the REDD + Program) by 2030, issued by the Prime Minister, Decision No. 419 / QD-TTg dated April 5<sup>th</sup> 2017. The project will focus on integrating package solutions to reduce deforestation and forest degradation. Accordingly, the project is expected to bring direct results to reduce emissions equivalent to about 3 million tons of CO<sub>2</sub> in the area by the end of the project.

For the National Strategy on Green Growth with a Vision to 2050 [Decision 1393 / QD-TTg of the Prime Minister on September 25, 2012], the project will directly contribute to the implementation of Point 5 - Section III on " reducing greenhouse gas emissions through the implementation of sustainable organic agriculture, improving the competitiveness of agricultural production ", and Point 14 in the use of financial, credit and market instruments to encourage and support green economy and green products.

For the Biodiversity Strategy to 2030 [Decision 1250 / QD-TTg of the Prime Minister on July 31, 2013], the project shares and directly contributes to Point 1, Section II.A on conservation of natural ecosystems by aiming at preventing and reducing 70% of the rate of natural forest loss in the 04 districts.

For the Voluntary Partnership Agreement between Vietnam and the European Union in Forest Law Enforcement, Governance and Trade, the project will integrate requirements of the Agreement, for example, relating to conversion of natural forests in the project area into the overall framework established by the project's support to monitor and manage the transition to sustainable landscapes. This will also allow stakeholders to track progress of implementing the agreement in timber industry in the area.

The project will also support Viet Nam to implement its coffee development plan to 2020 with a vision to 2030 [Issued together with Decision 1987/QD/ BNN-TT dated August 21, 2012] with the aim of strengthening modernization, sustainability and Vietnam's coffee industry's competitiveness and bringing 80% of its planted area into sustainable production by 2020 (compared to the current base of 25%).

Last but not least, the project is also to make joint efforts to implement the Prime Minister's Decision No. 297 / QD-TTg of March 18, 2019, approving the "Scheme on sustainable protection, restoration and development of sustainable forests in the Central Highlands in the period of 2016 - 2030 ", directly contributing to the goal: " Preventing and reversing deforestation, gradually restoring and developing forests. By 2030, the forest area will reach about 2.72 million ha, increasing the forest coverage to 49.2%; manage, protect and develop forests sustainably, protect the ecological environment, conserve biodiversity, provide forest environmental services, contribute to socio-economic development, maintain security, defense and social order and safety of the Central Highlands region ".

As such, the project has a focus and content that is fully relevant and promotes the implementation of socio-economic development strategies, forest and biodiversity protection, green growth, free-trade agreements and sustainable development commitments of Vietnam.

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### **III. RESULTS AND PARTNERSHIPS**

#### ***III.1. Expected Results***

The project is expected to deliver 4 results through 14 key outputs as follow:

#### **Result 1- Effective governance systems including integrated land use planning and management tools and processes are established at district and provincial levels**

*Five key factors of success are identified to build effective governance conditions and deliver on this first outcome: plans, monitoring, dialogue, standards and enforcement. These factors are reflected in the five outputs that compose this outcome/result.*

Output 1.1. An integrated land use plan and map, aligned with the Provincial Master Plan, is produced for each pilot district, with clear targets and action plan towards sustainability and deforestation

Output 1.2. Implementation of Master Plans in Lam Dong and Dak Nong is supported through the design and implementation of a robust cross-sector and spatialized institutional monitoring and evaluation system, serving as a control panel to track transition of landscape towards sustainability

Output 1.3: Platforms for multi-stakeholder dialogue (i) between public authorities and the private sector at District level, (ii) across each main commodity supply chain, and (iii) for NTFPs are established and supported

Output 1.4: Deforestation-free and sustainability commodity standards (incl. NTFPs) are endorsed by relevant multi-stakeholder platforms and supported by regulations

Output 1.5 A real-time monitoring and transparency framework to support land-use governance is developed and tested in the 4 pilot districts (Terra-i)

#### **Result 2 - Sustainable, climate-smart, productive standardized practices are implemented for agriculture and non-timber forest products and services**

*In order to support the most promising models in an efficient way, the project will develop a 3-steps approach. It will start by prioritizing and developing technical guidelines and economic analysis for several*

*models of sustainable cash crops production, agroecology and Non-Timber Forest Products & Services for marginalized households with consideration of the gaps and issues that women and men, and ethnic minorities are facing with (output 2.1). Then, the project will conduct a vast training and awareness campaign to disseminate knowledge and findings about the most promising models (Output 2.2). Finally, the project will support beneficiaries on the ground (Farmers including men, women, ethnic minorities from different size and socio-economic situation with a particular attention on marginalized communities) to develop the prioritized models by providing technical and organizational support but also direct material support as seedling for agroforestry or water works and materials. (Output 2.3)*

Output 2.1: Most promising interventions for sustainable agriculture and NTFP&S development are prioritized and developed including technical guidelines and economic assessment

Output 2.2: Local institutions and farmers are trained and made aware on prioritized sustainable production models

Output 2.3: Transformation towards sustainable practices at field level are technically and financially supported

### **Result 3- The financial environment is enhanced with innovative mechanisms, increased funding and thriving partnerships to support transformation towards sustainable landscapes, with emphasis at provincial and district levels**

*Ensuring the coherence and alignment of public and private land-use investments with climate and forest objectives is essential to achieve an economy-wide transformation of land-use practices towards zero-deforestation landscapes in Central Highlands. Under output 3.1, the project will start with carrying out a land use finance mapping covering Lam Dong and Dak Nong provinces.*

*This land use finance mapping will serve as a cornerstone to guide and track progress on project's effort to leverage and align finance to support sustainable landscapes. It will be completed by further analysis and formulation of business and financial cases to effectively engage the business and financial sector. Specific actions will be taken in four complementary directions: public programmes (output 3.1), business investments (output 3.2), financial sector (output 3.3) and payment for forest environmental services (PFES, output 3.4).*

Output 3.1 - Public & Private land-use finance is mapped and increasingly aligned to support sustainable land use and climate mitigation objectives

Output 3.2 - Robust business cases are developed and cooperation agreements are signed and implemented with national and international companies to secure deforestation-free sourcing of main cash crops and NTFP&S

Output 3.3 - Robust financial cases are developed and cooperation agreements are signed and implemented with national or international institutions to provide additional financial resources or insurance solutions to main agriculture and NTFP&S supply chains

Output 3.4 - Innovative and effective PFES modalities are promoted, piloted and deployed in the four pilot districts to generate additional financial volume and increase social and environmental benefits

### **Result 4 - Sustainability and scaling up are ensured through robust coordination, monitoring and evaluation, knowledge production and dissemination, and active advocacy at regional and national levels**

*This last outcome encompasses most activities and expenses related to the management of the project, covering usual activities of coordination and facilitation, technical backstopping, monitoring and evaluation including safeguards (both environmental and social aspects), knowledge production and dissemination, as well as networking and coalition building. Actions are directed to effective project's implementation, but also to building conditions for sustainability and up-scaling during and beyond the lifetime of the project. Integrated land use management and transition towards sustainable landscape, including deforestation-free jurisdiction, are innovative concepts that need to be robustly documented and actively promoted to serve as a possible backbone for future strategic directions of Vietnam's development... This is a broad objective to be pursued throughout the project, and not only initiated at the end of it.*

Output 4.1: The project is effectively implemented, safeguarded and delivers on expected targets thanks to adequate capacities to coordinate, backstop, monitor and evaluate activities and impacts (with gender aggregated) at central and provincial levels, including with appropriate institutional anchorage

Output 4.2: A technical network of leading institutions at multiple levels is strengthened and an integrated sustainable management and deforestation-free approach is defined, documented and endorsed at national level, and progressively introduced through policies, laws and regulations.

### III.2. Resources Required to Achieve the Expected Results

The project cost is as below:

Title of position	Post Level	Key functions	Allocation of time/costs to the project			
			Year 1	Year 2	Year 3	Year 4
<b>Management and Coordination (project team)</b>						
Programme Officer	SB5	Managing programme resources, implementation progress and partnership	Full time	Full time	Full time	Full time
Programme Assistant	SB3	Supporting administrative and financial issues	Full time	Full time	Full time	Full time
Programme Procurement Assistant	SB3	Supporting all procurement tasks	Part-time (50%)	Part-time (50%)	Part-time (50%)	Part-time (50%)
<b>Direct Technical Services (by UNDP)</b>						
Chief Technical Advisor	IPSA1 1	Providing technical advice on all aspects of the project, ensuring that the solutions adopted are most suitable and effectively applied. Assessing different best practices and providing advice on solutions/approaches for the project and how those can be adopted in VN; Leading all technical directions, strategy and implementation	Part-time (40%)	Part-time (40%)	Part-time (40%)	Part-time (40%)
National Technical Expert (VNM3)	NPSA 9/IC	Supporting the deployment of technical directions and decisions	Full-time	Full-time	Full-time	Full-time
Finance Analyst	Local staff	Supporting all financial transactions; administering and coordinating financial transactions, reviewing and consolidation of financial reports from 8 different responsible partners of the project, and capacity assessment and spot checks	Part-time (10%)	Part-time (10%)	Part-time (10%)	Part-time (10%)
Project coordinator	Local staff	Technical steering, ensuring the strategic alignment of the project with national priorities through coordinating the annual workplans as well as the progress and final reports of the project, reporting to donors and stakeholders and quality performance of the project team.	Part-time (10%)	Part-time (10%)	Part-time (10%)	Part-time (10%)
Visibility & Communications	Local staff	Coordinate implementation of visibility & communications activities for the overall project including V&C for the launch, promotion and branding of the project and its key products:	Part-time (12 days)	Part-time (6 days)	Part-time (6 days)	Part-time (6 days)
Monitoring & Evaluation, Capacity Assessment and spot checks	Local staff	Monitoring & Evaluation of the project - activities related to setting up a monitoring framework for the project, assist in the preparation, population, regular processing and analytical overview of project indicators as per the project/Action log frame; Capacity Assessment in Year 1, and spot check for cash transfer to partners	Part-time (10 days)	Part-time (5 days)	Part-time (5 days)	Part-time (10 days)

In addition to human resources, other types of resources will be necessary to carry out and manage the project: such as rent of project offices, costs of travel & subsistence for persons directly assigned to the

operations of the project office, spot check for cash transfer to project partners and other operational services (supplies, assets, maintenance, energy, etc.) to ensure the effective operation of the project at all levels. These items are further detailed in the Budget Annex.

### **III.3 Partnerships**

The Project will engage with the Ministry of Agriculture and Rural Development, particularly the Viet Nam Forestry Administration and the Department of Crop Production at the central level. At the local level, the project will engage with Dak Nong and Lam Dong provinces.

The project will also partner with international organizations which are responsible parties of the project, including the International Center for Tropical Agriculture (CIAT), the European Forest Institute (EFI), the Sustainable Trade Initiative (IDH) and the United Nations Environment Program (UNE). They will be Technical Partners and will implement specific work packages as specified in a Letter of Agreement (LOA) with UNDP.

### **III.4 Risks and Assumptions**

The risk log presented in Annex 4 will serve continuous management and supervision of the project by UNDP. The risk log will support regular risk assessments. UNDP risk analysis will be shared with the project steering committee and inform discussions and decisions. The risk log will be updated on a yearly basis considering UNDP self-assessment and relevant contributions, including from independent assessments and partners' review including the EU, MARD and Province People's Committee

### **III.5 Stakeholder Engagement**

The primary beneficiaries of the project are local communities/producers including ethnic minorities, men and women in four districts of 2 provinces, Lam Dong and Dak Nong in the Central Highlands of Viet Nam.

Target groups of the projects are:

- The public administration including national (MARD, MONRE, etc.), level (DARD, DONRE, DPI) and local level who will be induced to systematic capacity building and backstopping activities, complemented by technical assistance, training and other actions are required to address capacity gaps and secure effective implementation of the project
- Key stakeholders including local communities who are in need of training and incentives (both cash and in kinds) to move towards sustainable practices will directly benefit from field interventions to improve their sustainable income through enhancing agricultural practices, developing agroforestry and NTFP&S, carrying out monitoring and land delineation. Special emphasis will be put on inclusion of ethnic minorities, men<sup>5</sup> and women, which will be monitored with disaggregated data.
- Local organizations including NGOs, social organizations and cooperatives who are in lack of information about land used planning or opportunities for engagement will also be actively involved in capacity building and training activities to implement planning, economic and governance activities and public and private partnership building
- National and provincial research centers who are new to this holistic approach will also be involved, and associated with the set-up of task forces to support research and development, and dissemination in the field of agriculture standards and practices, NTFP and ecotourism
- The business sector who are running business in the area in agricultural supply chains and in connection with sustainability standards will be strongly engaged, with special emphasis on the financial sector to improve standards, design effective financial instruments and increase the volume of commercial capital

### **III.6 Knowledge and visibility**

The project will ensure knowledge management visibility according to the Joint Visibility Guidelines for EU – United Nations Actions in the field.<sup>6</sup> A detailed Visibility and Communication Plan is included in Annex 3.

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<sup>5</sup> Be noted that some original ethnic groups living in Lam Dong and Dak Nong such as K'Ho, Ede, M'Nong do follow *matrilineality culture*, thus both men and women are facing with inequality issues and challenges.

<sup>6</sup> Document available here: [https://ec.europa.eu/europeaid/sites/devco/files/guidelines-joint-visibility-eu-un\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/guidelines-joint-visibility-eu-un_en.pdf).

### **III.7 Sustainability and Scaling Up**

The project has been designed in a way that generates ambitious impacts, and forge conditions for sustaining but also accelerating and scaling up such impacts. The ecosystem, food and livelihoods impact of the project will be highly sustainable thanks to the following provisions:

- The project is mainly about providing technical assistance to establish the conditions for shifting production models towards sustainability at landscape scale. Unlike projects prioritizing direct support to field-level activities – where the risk of activities stopping after the end of the project can be serious – this project will build capacities to ensure that the transition can be sustained. For instance, the support to planning and M&E under outputs 1.1 and 1.2 will inform decisions up to 2030 and are meant to make planners and leaders autonomous in considering ecosystems, livelihoods together with food quality and production when making land-related decisions.
- Reversely, the risk associated with technical assistance projects lays on their ability to ensure that built capacities can still be mobilized after the project. Two responses are highlighted to respond to this risk. First, the project is designed to offer a platform of technical capacities to facilitate further support and investment from various partners including international and national public funding. So the project aims at increasing the amount of public resources mobilized for sustainable and integrated landscape management. Thus, the project would provide the rationale for public programmes (whether supported by national budget or ODA) to expand their financial capacities, and so offering opportunities to keep highly capable staff to work on this transformation after the project's lifetime. Secondly, the project will engage multiple stakeholders including the business sector, which will offer more opportunities in addition to the public sector to recruit and maintain experts supported by the project on their areas of support.
- Another characteristic of the project consists in its revenue-oriented approach. All sustainable business models to be developed, disseminated, supported, organized through standards and scaled up at field level, through farmers and forest-dependent people's practices, are meant to generate revenues. This approach is complementary to more traditional approaches to forest conservation, like supporting patrols. Even land tenure clarification and improved security is addressed through a business-oriented approach, not as a stand-alone component but as a practical support to be provided on a case-by-case basis, according to the needs and in relation to the revenue opportunities connected to it. In short, land rights will be gradually secured through the development of profitable and sustainable land practices that will "pay for it", so ensuring sustainability. During the project lifetime, it is expected that all business models developed (see outputs 2.1 as well as 3.2 and 3.3) will clearly demonstrate their profitability on top of their sustainability, so making the impacts of this project sustainable and ready for upscaling.
- The project will also focus on piloting and implementing promising innovations, that would demonstrate their full potential during the project's lifetime and generate interest for scaling-up. For instance, the Terra-I model that has been piloted in Di Linh in 2018 and will be scaled up to the three other pilot districts as part of this project, has already received interest from other provinces like Lao Cai and Ha Tinh. So it is expected that the project helps strengthening and proofing this type of innovative instrument, to be further disseminated before and after the project ends. Methodology for integrated and spatial land use planning, framework for monitoring transition to sustainable landscape, sustainability standards, sustainable and profitable business models associated with cash crops, agroecology and NTFP&S, methods and innovative instruments to engage private sector and align public resources... All these key innovations supported by the project have high potential to be widely disseminated and replicated beyond the project's direct capacities.
- The project will also support the process to produce and disseminate knowledge, to build active and influential networks to advocate for directions and instruments produced by the project, and to institutionalize these changes as far as possible. For instance, output 4.1 and 4.2 are particularly designed to raise lessons learnt and solutions developed at sub-national level up to the national level, including to support legal and regulatory processes at national level to facilitate further dissemination and scale up. The process will also significantly invest in multi-stakeholder dialogue and cross-sector engagement, federating a large basis of interests aware of the benefits and impacts of the project and its specific components, and ready to carry these innovations to a higher level.
- In relation the last justification above, arrangements are eventually designed to put public authorities at various level at the driving seat, particularly at provincial and district level. This is meant to generate a strong sentiment of ownership, that would facilitate the dissemination by sharing good practices among district and provincial leaders. The project, through highly innovative, is firmly rooted into national priorities and agenda, including achieving the sustainable development goals,

delivering on its nationally-determined contribution to climate change global objectives, sustainably reducing poverty and transitioning towards new rural development as reflected by the two National Target Programmes approved by the National Assembly, as well as broader agriculture, forest and REDD+ targets. There are little risks that such priorities change significantly in the coming years, so that by the time the project ends, it is expected that project's contribution will be highly acknowledged to respond to major national priorities, and be secured, disseminated and replicated accordingly.

## IV. PROJECT MANAGEMENT

### Duration:

The project will be for 48 months.

### LOCATION:

The project will be implemented at three different and integrated levels:

**Field interventions will be carried out in the four districts of Lac Duong, Di Linh, Dak Glong and Dak R'Lap**, with total area of 501,967ha, including 214.600ha of natural forests and about 100.000ha of plantation and bamboo forests. The area for crop production is about 122,429ha in total in which coffee surface accounts for about 70,318ha. These 4 districts are also home of around 350,000 people, of which 44% belong to various ethnic groups

Building on the REDD+ processes in these Provinces, **most enabling activities will be scaled-up at provincial level in Lam Dong and Dak Nong**, including dissemination of sustainable business models, real-time monitoring, and innovative financial instruments...

**At national level**, actions will be carried out in relation to coordination with relevant programmes and institutions, monitoring and reporting including contribution to relevant processes like NDCs and REDD+, knowledge production and dissemination, and advocacy for replication of project's innovations and achievements

The proposed project area consists of four districts in two provinces, Lam Dong and Dak Nong, with a total area of 501,967 ha. Proposed districts and their areas are:

### **Lam Dong Province**

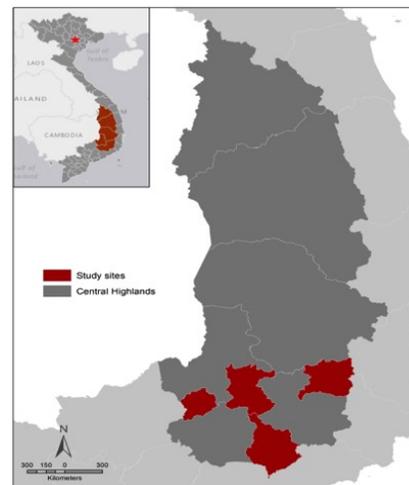
Di Linh district: about 162,800 ha

Lac Duong district: about 130,900 ha

### **Dak Nong Province**

Dak Glong district: about 144,700 ha

Dak R'Lap district: 63,567 ha



### **INDICATIVE PLAN OF THE PROJECT IMPLEMENTATION**

The Project will be implemented in 4 years and basically divided into three stages:

- Inception period: The first three months of the project will be used for confirming technical direction, setting up all management arrangements and key partnership as a basis for implementation of the project.
- The core implementation period: from month #4 to month #42 to produce technical advices, processing and turning those advices into actions and keeping track of implementation progress.
- The consolidating and closing period: from month #43 to month #48: consolidating activities, finalizing documentation of lessons and preparing all closure procedures.

## V. RESULTS FRAMEWORK

Intended Outcome as stated in the One UN Strategic Plan: 2.1 Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: 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

Applicable Output(s) from the UNDP Strategic Plan: 5. Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change

Project title and Atlas Project Number: Integrated sustainable landscape management through deforestation-free jurisdiction project in Lam Dong and Dak Nong, Vietnam - 00098749

	Results chain	Indicator	Baseline (value & reference year)	Target (value & reference year)	Source and mean of verification	Assumptions
Impact (Overall objective)	<i>The broader, long-term change to which the project contributes at country, regional or sector level, in the political, social, economic and environmental global context which will stem from interventions of all relevant actors and stakeholders.</i>	<i>Quantitative and/or qualitative variable that provides a simple and reliable mean to measure the achievement of the corresponding result</i>  <i>To be presented, when relevant, disaggregated by sex, age, urban/rural, disability, etc.</i>	<i>The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made.</i>  <i>(Ideally, to be drawn from the partner's strategy)</i>	<i>The intended final value of the indicator(s).</i>  <i>(Ideally, to be drawn from the partner's strategy )</i>	<i>Ideally to be drawn from the partner's strategy.</i>	<i>Not applicable</i>
Impact (Overall objective)	This project with EU support aims at improving environmental sustainability and social inclusion and resilience of food production models and supply chains in the Central Highlands of Vietnam. In particular, it is expected to:					<i>Not applicable</i>
	1. Enhance ecosystems, including reducing loss and degradation of natural forests, protecting biodiversity, restoring priority ecosystems, reducing GHG emissions	A1. Reduction of natural forest loss in the project area by the end of the project (% reduction, hectares of naturel forest preserved).  ----- A2. Net contribution to GHG emission reduction in the project area by the end of the project (tCO2)	Natural forest loss rate in the period 2010-2015 in the project area was about 16%. Business-as-usual natural forest loss is estimated at 7000 hectares/ year.  ----- Emission from natural forest loss are estimated at 850 000 tCO2 per year	By the end of project,  About 25000 hectares of natural forest will be preserved from the current trend of deforestation and degradation. (Natural forest loss in the 4 districts will be reduced by 70%)  ----- Around 3 million tCO2 of Emission Reduction will be	NFIMAP &/FORMIS (generated every 2 years) and related government and project reports	

	<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
				generated		
	2. Improve livelihoods, through inclusion of vulnerable groups including ethnic minorities and women in agriculture, forest-farming and ecotourism value chains	A3. % Of total population of the 4 districts with improved livelihood - <i>(disaggregated by gender, ethnic origin and vulnerability status)</i> ----- A4. % Of marginalized population of the 4 districts area with improved livelihood <i>(disaggregated by gender, ethnic origin and vulnerability status)</i>	19% of the population of the project area is considered as poor; ----- 28% of the marginalized population of the project area is considered as poor;	By the end of the project, 20% of the total population of the project area with improved livelihood ----- 35% of the total marginalized population of the project area with improved livelihood	Report from Statistics Office, related Government reports on agricultural and rural development, and project M&E reports	
	3. Sustain food production and improve quality, through improved farming practices, better organization of producers, and transparent and shortened supply chains.	A5. Increase of the total value generated by commodities in the project area (in % of the current value) A6. % Of total agricultural land under new sustainable management practices by the end of project	To be further assessed ----- 122,500 hectares of agricultural land in the 4 pilot districts	By the end of the project, 25 % increase of the total commodities value in the project area ----- 15% of the agricultural land in the project area are supported towards sustainable practices	Report from Statistics Office, related Government report on agricultural sector and project M&E reports	
<b>Outcome (s)</b>	<i>The main medium-term effect of the intervention focusing on behavioural and institutional changes resulting from the <u>intervention</u></i> <i>(It is good practice to have one specific objective only, however for large Actions, other short term outcomes can be included here)</i>	<i>(see definition above)</i>	<i>The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made.</i>	<i>The intended final value of the indicator(s).</i>	<i>Sources of information and methods used to collect and report (including who and when/how frequently).</i>	<i>Factors outside project management's control that may influence on the impact-outcome(s).</i>

	<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
<b>Outcome (s)</b>	OUTCOME 1: Effective governance systems including integrated land use planning and management tools and processes are established at district and provincial levels	B1. Compliance of the land use changes observed in the M&E reports with the district-level land use plans and targets ----- B2. Number of value chains for which sustainability standards have been endorsed supported by full traceability systems including near real-time monitoring	Not available. To be further assessed	80% of the land-use changes observed and reported by the provincial M&E system are aligned with the targets and allocations of the land use plan ----- Q2 value chains are piloting sustainability standards including a full traceability system and near real-time monitoring (coffee and NTFPs)	Provincial M&E reports; Land-Use plans; Standards endorsed; Traceability and near real-time monitoring via Terra-i and relevant bottom-up tools	Assuming that the district land-use planning process of Government covering the period of 2021-2025 is implemented without significant delay. Assuming that the project would also be implemented as planned support to the land-use planning process in 2021.
	OUTCOME 2: Sustainable, climate-smart, productive standardized practices are implemented for agriculture and non-timber forest products and services	B3. Number of farmer that have been supported to develop Sustainable and Climate-Smart standardized practices (disaggregated by gender, ethnic origin and vulnerability status) ----- B4. Area of land where Sustainable and Climate-Smart practices have been deployed (hectares)	Zero	More than 30 000 farmers are supported by the project leveraged effect ----- More than 30 000 hectares are supported by the project leveraged effect	Project annual and final reporting;	Assuming that the market price of key commodities remain relatively stable or increasing, but not decreasing significantly
	OUTCOME 3 : The financial environment is enhanced with innovative mechanisms, increased funding and thriving partnerships to support transformation towards sustainable landscapes, with emphasis at provincial and district levels	B5. Total financial volume committed/targeted towards sustainable business-models identified in Outcome 2 leveraged through the project	Zero	Total public & private financial volume leveraged through the project to support Outcome 2 reach from 15 to 25 million EURO by the end of the project	Project annual and final reporting;	With status quo or a better business/financial policy environment
	OUTCOME 4: Sustainability and scaling up are ensured through robust coordination, monitoring and evaluation, knowledge production and dissemination, and active advocacy at regional and national levels	B6. Level of awareness and policy commitments of key stakeholders at national and provincial levels about Deforestation-free and Sustainable Landscape development approach	Zero	Deforestation-free and Sustainable Landscape development approach is well-defined, understood by related stakeholders at national and provincial levels and towards integration into relevant provincial and national planning and policy framework	Project annual and final reporting; related policy briefs and documents	Assuming the level of willingness to change from Government and stakeholders remain strong

	<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
<b>Outputs</b>	Output 1.1: An integrated land use plan, aligned with the Provincial Master Plan, is produced for each pilot district, with clear maps, targets and action plan towards sustainability and deforestation-free	C1. Number of district with a formulated and endorsed integrated land use plan including clear maps, targets and action plan towards sustainability and deforestation-free	No spatially-explicit district-level integrated plans are available	04 Districts with a spatially-explicit land-use plan formulated and 2 Districts with a land-use plan endorsed	Land use plans; Official endorsement by relevant authorities;	Assuming that the district land-use planning process of Government covering the period of 2021-2025 is implemented without significant delay Assuming that the project would also be implemented as planned (e.g. starts its full implementation early 2021) to provide technical support to the land-use planning process in 2021.
	Output 1.2: Implementation of Master Plans in Lam Dong and Dak Nong is supported through the design and implementation of a robust cross-sector and spatialized institutional monitoring and evaluation system, serving as a control panel to track transition of landscape towards sustainability	C2. Number of M&E reports for Provincial Master Plans produced and validated by relevant authorities ----- C3. % of observed land-use change events are reported in the provincial M&E reports	No M&E framework nor integrated indicators to support Master Plans are available ----- n/a	04 annual M&E reports (Y3 & Y4 for the 2 provinces) ----- 70% of observed land-use change events by Terra-i are reported in provincial M&E	Terra-i online platforms and provincial M&E reports	Assuming that the provincial master planning process of Govt for the cycle of 2021-2030 started as planned Assuming that the project would also be implemented as planned (e.g. starts its full implementation early 2021) to provide technical support to the land-use planning process in 2021.
	Output 1.3: Platforms for multi-stakeholders dialogue (i) between public authorities and the private sector at District level, (ii) across each main commodity supply chain, and (iii) for NTFPs are established and supported	C4. Number of effective multi-stakeholders platforms with regular meetings at least every 2 months, formulating engagement (PPI) and producing recommendations to the general public on implementation of sustainability and deforestation-free strategy	Multi stakeholders dialogue is already active and partially organized on various commodities, notably on coffee, but not specifically engaging all relevant stakeholders at the scale of the pilot districts and provinces; Effectiveness of each platform is also uneven and progress is needed in strengthening the agenda and functioning of these platforms	At least 05 multi-stakeholders platform are very effective, formulate engagement and produce recommendations	Trimestrial platforms reports; Publication/Statement to general public; PPI endorsed;	Assuming that market and business environment remain relatively stable for maintaining motivation for stakeholders dialogues

<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
Output 1.4: Deforestation-free and sustainability commodity standards (incl. NTFPs) are endorsed by relevant multi-stakeholder platforms and supported by regulations	C5. Number of deforestation-free/sustainability commodity standard endorsed by relevant multi-stakeholder platforms	Past efforts to improve technical curriculum and practices for coffee and other sectors like rubber have delivered improved models, sometimes captured in national sector curriculum. However, these are not yet considered as comprehensive standards, and there is no commitment from public authorities to enforce them in collaboration with the private sector	02 Deforestation-free /Sustainability Standard endorsed by relevant platforms (Coffee and NTFP&S)	Standard document;	Assuming that market and business environment remain relatively stable for maintaining motivation for sustainable practices
Output 1.5: An early-warning, transparent and inclusive framework supporting enforcement of environmental regulation and traceability of commodity value chains is developed and tested in the 4 pilot districts	C6. Efficiency and transparency of an enforcement and traceability system to track commodity value chains in the 4 pilot districts	Terra-I system is implemented in Di Linh with lower image resolution, groups of stakeholders have been trained, and information is disseminated through an online platform not yet allowing for end-users feedbacks In pilot provinces and districts, various solutions are piloted in the frame of initiatives like REDD+, coffee buyer" supply security effort etc. But technical and financial models are scattered and require further analysis to accelerate replication and dissemination	01 effective data production and sharing system linking bottom-up and top-down tools has been designed, piloted and a roadmap for full implementation endorsed by local authorities	Terra-i online platform; Concept note of the overall system and its individual components; Roadmap endorsed by MARD;	Assuming that public security remains status quo that enables Govt to adopt Terra-I applications without delays in approval
Output 2.1: Most promising interventions for sustainable agriculture and NTFP&S development are prioritized and developed including technical guidelines and economic assessment	C7. Number of intervention models fully developed for sustainable agriculture and NTFP&S including technical guidelines and economical analysis	Localized information, but no comprehensive mapping of farmers types, and AEZ in the pilot districts. Economical analysis and technical guidelines of most promising models are not existing or incomplete;	Minimum 6 intervention models are fully developed by direct support of the project	Reports, investment briefs;	Assuming that business and financial market conditions remain status quo to not cause to discourage investments
Output 2.2: Local institutions and farmers are trained and made aware on prioritized sustainable production models	C8. Number of farmers/organizations sensitized / trained on most promising sustainable models (disaggregated by gender, ethnic origin and vulnerability status)	Training material is broadly available but tailored to specific issues, seldom providing comprehensive knowledge and building understanding on options to move farmer" practices towards sustainability. No regular dialogue nor collaborative mechanism to engage multiple stakeholders in developing solutions to promote agroecology;	*At least 8000 Farmers trained including 30% of marginalized households *At least 300 peoples and 30 organizations regularly participate in discussion on Agroecology	Training materials; Awareness /training events reports;	Assuming that business and financial market conditions remain status quo to not discourage production

<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
Output 2.3: Transformation towards sustainable practices at field level are technically and financially supported	C9. Number of farmers supported to implement sustainable cash-crop production (disaggregated by gender, ethnic origin and vulnerability status) ----- C10. Number of marginalized households supported to implement agroecology farming models (disaggregated by gender and ethnic origin) ----- C11. Number of marginalized households supported to implement sustainable NTFPs (disaggregated by ethnic origin)	n/a	With funding leveraged by Outcome 3, 12,500 (farmers) will be supported to move forwards sustainable practices in cash crop production ----- 6,250 (farmers) will be supported to move forwards agroecology practices ----- 6,250 (farmers) will be benefited from sustainable NTFPs	Project reporting;	Assuming that business and financial market conditions remain status quo, not to cause further discouragement in production. Assuming that the government parallel co-financing is sufficient and provided on time
Output 3.1: Public & Private land-use finance is mapped and increasingly aligned to support sustainable land use and climate mitigation objectives	C12. Number of collaboration agreement with public programmes/donors to align funding and support sustainable land use activities	No existing collaboration with public programmes and donors (which represent 28% of planned land-use investment in central highlands)	10 MoU signed with public programmes/donors	MoUs ;	Assuming that business and financial market conditions remain status quo, not to cause further discouragement in production
Output 3.2: Robust business cases are developed and cooperation agreements are signed and implemented with national and international companies to secure deforestation-free sourcing of main cash crops and NTFP&S	C13. Number of viable business models for sustainable commodity supply chain developed and piloted C14. Number of deforestation-free sourcing cooperation agreements with national/international companies	Limited data and understanding, and no consolidated analysis of the economic viability of sustainable and standardized commodity models There has been a growing momentum in the coffee sector, however pilot MoU are very generic and there is presently limited engagement from other agricultural commodities	At least 3 Business models are robustly assessed and demonstrated 10 MoU signed with sourcing companies	Business cases;	Assuming that business and financial market conditions remain status quo, not to cause further discouragement in production
Output 3.3: Robust financial cases are developed and cooperation agreements are signed and implemented with national or international institutions to provide additional financial resources or insurance solutions to main agriculture and NTFP&S supply chains	C15. Number of cooperation agreements with financial institutions to provide additional financial resources to sustainable business models	Limited understanding of the financing interests and capabilities of domestic banks to finance the transition towards sustainability.	2 MoU signed with financial institutions	MoUs ;	Assuming that business and financial market conditions remain status quo, not to cause further discouragement in production

<b>Results chain</b>	<b>Indicator</b>	<b>Baseline (value &amp; reference year)</b>	<b>Target (value &amp; reference year)</b>	<b>Source and mean of verification</b>	<b>Assumptions</b>
Output 3.4: Innovative and effective PFES modalities are promoted, piloted and deployed in the four pilot districts to generate additional financial volume and increase social and environmental benefits	C16. Direct contribution of the pilot PFES mechanism to the transition towards sustainable land use practices and business models developed under outcome 2.	Existing PFES mechanism is "rent-drive" and is likely not to encourage investments into productive practices that build sustainable and resilient livelihoods	The pilot PFES mechanism is fully operational and generates significant impacts and lessons learnt	Final pilot PFES assessment, and independent evaluation;	Assuming that PFE's policy makers are willing to pilot new approach
Output 4.1: The project is effectively implemented, safeguarded and delivers on expected targets thanks to adequate capacities to coordinate, backstop, monitor and evaluate activities and impacts (with gender aggregated) at central and provincial levels, including with appropriate institutional anchorage	C17. Effective coordination of the relevant bodies, instrument and operations; C18. The transition towards landscape sustainability aligns with and contributes to Viet Nam's national REDD+ safeguards approach	n/a Through its national REDD+ process, Vietnam has developed relevant safeguards and M&E instruments that are ready to be translated at project/ landscape level and linked.	Methodology and M&E framework for project interventions & landscape sustainability incorporate safeguards consideration	Annotated review of manual/ operational plans for LUPs; of standards as part of due diligence; materials for training and safeguards operational guidance; record of safeguards relevant information/indicators; refined sections of SIS	N/A
Output 4.2: A technical network of leading institutions at multiple levels is strengthened and an integrated sustainable management and deforestation-free approach is defined, documented and endorsed at national level, and progressively introduced through policies, laws and regulations	C19. Level of direct contributions produced by the project to inform policies, laws and regulations in Vietnam to promote integrated land use management	The concept of integrated and sustainable land use management has emerged recently and it advocates for integrated approaches that are not actively facilitated by policies, laws and regulations in Vietnam	Contributions are provided to at least 3 relevant legal, regulatory and normative text	Annual progress reports Policy support report;	N/A

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

This will involve:

- **Track results progress:** Collect and analyse progress data against the results indicators in the Log Frame to assess the progress of the project in achieving the agreed outputs.
- **Monitor and manage risk:** Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log.

*On an annual basis:*

- **Annual Progress Report** (narrative and financial) will be prepared by UNDP, in coordination with partners, and submitted to the EU Delegation as per the contract details set out in the special conditions of the Agreement and in compliance with the reporting requirements set out in the General Conditions.
- **Lessons learnt and knowledge management:** Document knowledge, good practices and lessons for integration into future projects/programmes.
- **Quality Assurance of the Project:** Assess the quality of the project against UNDP's quality standards to identify its strengths and weaknesses and to inform management decision making to improvement.

Financial transactions and financial statements shall be subject to the internal and external auditing procedures laid down in the Regulations and Rules of UNDP.

Day-to-day monitoring will be a continuous process and will be undertaken in line with UNDP's policies, regulations and rules.

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (to join UNDP)
<b>Track progress results</b>	Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	All Responsible Partners
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	All Responsible Partners

<b>Monitoring Activity</b>	<b>Purpose</b>	<b>Frequency</b>	<b>Expected Action</b>	<b>Partners (to join UNDP)</b>
	Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.			
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	All Responsible Partners
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	All Responsible Partners
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	All Responsible Partners
<b>Project Progress Report</b>	A progress report will be presented to EU, the Project Steering Committee and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		All Responsible Partners
<b>Project financial report</b>	An annual project financial report will be presented to EU illustrating annual financial delivery against its approved budget	Annually	Any differences must be clarified and taking into actions	All Responsible Partners
<b>Project Review</b>	The project's governance mechanism (PARB in this case) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the PARB shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the PARB and management actions agreed to address the issues identified.	All Responsible Partners
<b>Project Evaluation</b>	Independent Evaluation will be conducted to evaluate project's performance against its objectives and expected outcomes, outputs	End of project	To give independent opinion on project's performance and project's sustainability; capture lessons learned	All Responsible Partners

## VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS/OUTCOMES	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
<b>Output/Outcome 1</b>  <i>Effective governance systems including integrated land use planning and management tools and processes are established at district and provincial levels</i>	1.1 An integrated land use plan, aligned with the Provincial Master Plan, is produced for each pilot district, with clear maps, targets and action plan towards sustainability and deforestation-free	236,327	258,780	78,970	83,666	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	657,743
	1.2 Implementation of Master Plans in Lam Dong and Dak Nong is supported through the design and implementation of a robust cross-sector and spatialized institutional monitoring and evaluation system, serving as a control panel to track transition of landscape towards sustainability	42,201	89,749	96,493	25,330	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	253,773
	1.3 Platforms for multi-stakeholders dialogue (i) between public authorities and the private sector at District level, (ii) across each main commodity supply chain, and (iii) for NTFPs are established and supported	64,294	59,594	40,170	42,518	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	206,576
	1.4 Deforestation-free and sustainability commodity standards (incl. NTFPs) are endorsed by relevant multi-stakeholder platforms and supported by regulations	13,798	41,433	28,728	28,283	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	112,242

	1.5 An early-warning, transparent and inclusive framework supporting enforcement of environmental regulation and traceability of commodity value chains is developed and tested in the 4 pilot districts	100,398	94,815	72,356	47,110	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	314,679
	1.6 UNDP direct technical support	35,596	35,596	35,596	35,596	UNDP	EU	Staff cost	142,384
	<b>Sub-Total for Output 1</b>								1,687,397
<b>Output/Outcome 2</b> <b>Sustainable, climate-smart, productive standardized practices are implemented for agriculture and non-timber forest products and services</b>	2.1 Most promising interventions for sustainable agriculture and NTFP&S development are prioritized and developed including technical guidelines and economic assessment	312,331	237,175	111,520	110,680	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	771,706
	2.2 Local institutions and farmers are trained and made aware on prioritized sustainable production models		68,109	58,715	65,761	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	192,585
	2.3 Transformation towards sustainable practices at field level are technically and financially supported	35,230	143,794	101,753	52,437	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	333,214
	2.4 UNDP direct technical support	35,596	35,596	35,596	35,596	UNDP	EU	Staff cost	142,384
	<b>Sub-Total for Output 2</b>								1,439,889
<b>Output/Outcome 3</b> <b>The financial environment is enhanced with innovative mechanisms, increased funding and thriving partnerships to support transformation towards sustainable landscapes, with emphasis at provincial and district levels</b>	3.1 Public & Private land-use finance is mapped and increasingly aligned to support sustainable land use and climate mitigation objectives	48,028	58,191	38,110	31,828	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	176,157
	3.2 Robust business cases are developed and cooperation agreements are signed and implemented with national and international companies to secure deforestation-free sourcing of main cash crops and NTFP&S	15,266	130,358	82,202	72,807	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	300,633

	3.3 Robust financial cases are developed and cooperation agreements are signed and implemented with national or international institutions to provide additional financial resources or insurance solutions to main agriculture and NTFP&S supply chains	41,100	90,422	49,322	49,322	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	230,166
	3.4 Innovative and effective PFES modalities are promoted, piloted and deployed in the four pilot districts to generate additional financial volume and increase social and environmental benefits	24,661	57,548	33,470	33,470	UNDP, MARD, Dak Nong, Lam Dong, CIAT, EFI, IDH, UNEP	EU	Consultancy, travel, transfer to partner	149,149
	3.5 UNDP direct technical support	35,596	35,596	35,596	35,596	UNDP	EU	Staff cost	142,384
	<b>Sub-Total for Output 3</b>								998,489
<b>Output/Outcome 4 Sustainability and scaling up are ensured through robust coordination, monitoring and evaluation, knowledge production and dissemination, and active advocacy at regional and national levels</b>	4.1 The project is effectively implemented, safeguarded and delivers on expected targets thanks to adequate capacities to coordinate, backstop, monitor and evaluate activities and impacts (with gender aggregated) at central and provincial levels, including with appropriate institutional anchorage	100,093	86,005	50,893	102,368	UNDP, MARD, Nong, dong, UNEP, Dak Lam	EU	Consultancy, travel, transfer to partner, equipment	339,359
	4.2 A technical network of leading institutions at multiple levels is strengthened and an integrated sustainable management and deforestation-free approach is defined, documented and endorsed at national level, and progressively introduced through policies, laws and regulations	82,242	35,200	45,354	84,209	UNDP, MARD, Dak Nong, Lam dong	EU	Consultancy, travel, transfer to partner	247,005
	4.3 UNDP	219,485	211,295	211,295	213,545	UNDP	EU	Human resources	855,618
	<b>Sub-Total for Output 4</b>								1,441,982

<b>General Management Support</b>		100,957	123,848	84,430	80,509	UNDP	EU		389,743
<b>TOTAL</b>									5,957,500

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

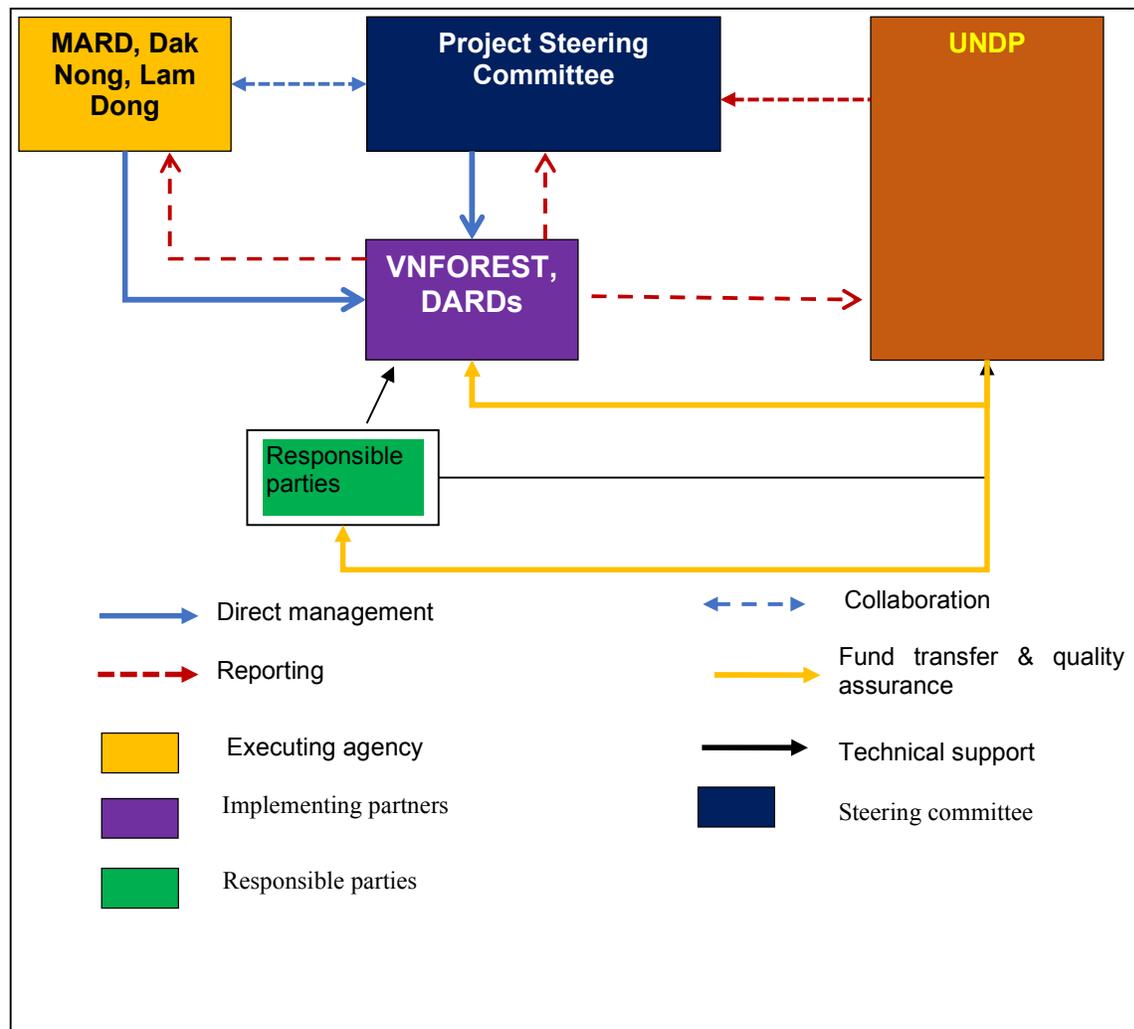
### Governance structure

A Project Steering Committee will be formed to oversight and to give strategic advices to the project. The PSC will be co-chaired by UNDP's senior management, MARD and EU's representative. The key members of the PSC include the PPCs of Lam Dong and Dak Nong provinces. The PSC should meet once per year to carry out the following functions:

- Review and endorse annual workplans, annual progress reports and project results; accelerate the aligning process of other projects/programmes in the area with the project's objectives and enabling condition nurturing/fostering transition towards sustainable landscapes; formulate key policy recommendations for scaling up.
- Enforce coordination among the provinces, between national and local levels, and among technical parties and implementing agencies for effective implementation and productive engagement of project's key stakeholders.
- Discuss strategic changes to the project if necessary

The documents supported PSC's discussion and direction will be consolidated by UNDP's project team in close collaboration of MARD, the two provinces and all RPs. Process, procedures and templates for these documents including annual workplan, annual progress reports, and others will be guided by UNDP and agreed with RPs before signing related LoAs.

The figure below illustrates the project's governance structure.



## Management arrangement

UNDP will be the lead implementing partner and have full responsibility for implementing the Project according to the Agreement between the European Union and UNDP. Direct communication and reporting on the Project to the European Union will be done by UNDP and in line with reporting requirements set out in the Agreement between the European Union and UNDP.

The Project will be implemented through UNDP's Direct Implementation Modality (DIM). UNDP will transfer funds to National and International Responsible Parties (RPs) - in UNDP's languages] for the implementation of the work package defined by a Letter of Agreement (LOA) between UNDP and concerned RPs. All fund transfers from UNDP to the National and International Responsible Partners and subsequent management and monitoring of these transfers by UNDP will be in accordance with the UNDG HACT Framework.<sup>7</sup>

UNDP's country office in Viet Nam, backstopped by its UNDP Climate and Forest Team, will provide overall technical guidance and undertake quality assurance of the project, including the parts implemented by National and International Responsible Parties using the project funds.

UNDP has more than 20 years of experience working in the agriculture and rural development sector, including following projects, such as, Creating Protected Areas for Resources Conservation (PARC) in Vietnam using a Landscape Ecology Approach, the UN-REDD program, the Improving Resilience of Vulnerable Coastal Communities to Climate Change in Viet Nam, Strengthen the Resilience of Smallholder Agriculture to Climate Change-induced Water Insecurity in the Central Highlands and South-Central Coast Regions of Vietnam. Recently, UNDP is implementing a DIM project with MARD on Accelerating Private Sector Engagement in Climate-Resilient and Low Emission Investment Opportunities in Viet Nam's NDC. Therefore, UNDP has capacity and expertise in implementing this DIM project.

## National Implementation Partners

Based on the nature and requirement of the project, about 70% of project's activities/results and accompanied technical services will be delivered to and implemented at the four districts of Lam Dong and Dak Nong provinces. The stakeholder consultation workshops organized during 8<sup>th</sup>-10<sup>th</sup> May 2019 confirmed that it is critical to empower the two provinces and the four districts to take accountabilities of the project implementation, ensure synergies of various work streams and programmes, and mobilize joint efforts from different partners and stakeholders towards deforestation-free jurisdictions. This fact suggests the provisional functions of the involved partners in the project are as follow:

- At provincial level, Dak Nong and Lam Dong Provincial People's Committees (PPC) will be responsible for ensuring the sufficient legal basis, counterpart funds (with total estimated amount in equivalent of USD595,750<sup>8</sup>, as parallel co-financing), capacity and coordination of project management and implementation in their province. Each province will establish Provincial Project Management Unit (PPMUs) under direct supervision of the PPC or hosted in DARD, to be responsible for the overall project administration and coordination with the various implementing parties for the delivery of quality and timely project outputs/outcomes. It will be responsible for planning, including the preparation of annual work and budget plans, and overall projects monitoring and reporting. As will be designed by PPCs, the PPMUs or DARDs will be the RPs.
- At district level, each of the four districts will establish a Project Implementation Unit (PIU), under direct supervision of district leaders, to be responsible to coordinate the implementation of all activities funded by the project or aligned with the project objectives and approach.
- At national level, MARD will establish a Project Management Unit (under VNFOREST or designated agency) to provide effective coordination, support and overseeing functions to the two provinces. MARD will also mobilize all relevant technical departments, including Viet Nam Forestry Administration – VNFOREST, Department of Crop Production, Partnership for Sustainable Agriculture Development, and others to provide technical guidance to the project under the coordination of the PMU.
- Other National level ministries and agencies under MPI, MONRE and MOST will also be engaged in as Responsible Parties or equivalent formality.

Each partner is responsible to carry out activities with corresponding budget as specified in a Letter of Agreement (LOA) with UNDP and accountable to UNDP for their performance. While the all partners share one workplan of the project, funding flows will be made by UNDP to related partners directly to ensure the timely conduct of project activities in accordance with the UNDG HACT Framework.<sup>9</sup>

## International Technical Partners

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<sup>7</sup> The United Nations Development Group (UNDG) Framework on the Harmonized Approach to Cash Transfers (HACT), 2014. [https://undg.org/main/undg\\_document/undg-hact-framework-2014/](https://undg.org/main/undg_document/undg-hact-framework-2014/)

<sup>8</sup> The amount of EUR 500,000 which is estimated at USD595,750, will be provided and implemented by the Government of Viet Nam as parallel co-financing. This co-financing will be managed and disbursed by the two participating provinces from their own accounts, in accordance with the Government's rules and regulations as outlined in UNDP's letter of May 4, 2020 to the EU Delegation in Hanoi. This co-financing will be included in the Project annual reports.

<sup>9</sup> The United Nations Development Group (UNDG) Framework on the Harmonized Approach to Cash Transfers (HACT), 2014. [https://undg.org/main/undg\\_document/undg-hact-framework-2014/](https://undg.org/main/undg_document/undg-hact-framework-2014/)

The International Organizations, including the International Center for Tropical Agriculture (CIAT), the European Forest Institute (EFI), the Sustainable Trade Initiative (IDH) and the United Nations Environment Program (UNEP) will be Technical Partners and will implement specific work packages as specified in a Letter of Agreement (LOA) with UNDP. CIAT, EFI, IDH and UNEP are responsible parties. They will collaborate among each other to provide the technical support to the project, of which each of them will lead following results:

CIAT:

- Develop supportive tool #1 – produce crop-specific land use map
- Producing deforestation and forest degradation warnings in 2 provinces using the Terra-i system
- Prioritize and develop most promising interventions for sustainable agriculture and NTFP&S development

EFI:

- Develop supportive tool #2 – experiment the use of the land use planner in land use planning.
- Design and implement a robust cross-sector and spatialized institutional monitoring and evaluation system
- Map public & private land use finance to support sustainable land use and climate mitigation objectives.

IDH:

- Establish public private landscape coordination platforms
- Establish and support the operations of four main commodity platforms
- Formulate four sustainability and deforestation-free standards
- Produce training materials and train farmers on sustainable production models
- Provide support to implement selected best practices

UNEP:

- Support the formulation of integrated land use plans
- Develop robust business cases to demonstrate the economic viability and opportunity and facilitate the signing and implementation of cooperation agreements with national and international companies to secure deforestation-free sourcing of main cash crops and NTFP&S
- Develop financial cases and cooperation agreements
- Promote long-term sustainability and social and environmental outcomes, to be aligned with Viet Nam's national REDD+ safeguards.

### **Project Management Team**

Since the project demands robust coordination efforts across various sectors (agriculture, forestry, land management, biodiversity, finance, etc.), agencies (international, national and local levels), supply chain actors (international, national, local, and household levels), a strong Project Management Team shall be established to be responsible for the overall project administration and coordination with the various responsible parties for the delivery of quality and timely project outputs/outcomes.

The Project Management Team comprises key personnel recruited by UNDP and its partners, to be located at project offices at different levels to support the day-to-day coordination, operations, implementation, communication and quality assurance of the project's activities. This team will be technically led by National Technical Expert and a part-time Chief Technical Advisor and administratively managed by a full-time programme officer. In addition, the Government at national and provincial level will appoint their officials (by establishing the national PMU, Provincial PMUs and District Implementation Units) to support coordination within government partners and/or with other stakeholders so as to accelerate the project implementation progress and ensure a full alignment with other initiatives in the sectors/areas. The operational costs of PMT's offices at all levels will be co-financed by the project and local partners.

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## **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

### **LEGAL CONTEXT STANDARD CLAUSES**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Vietnam and UNDP, signed on 1978. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

### **RISK MANAGEMENT STANDARD CLAUSES**

#### **UNDP (DIM)**

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the [project funds]<sup>10</sup> [UNDP funds received pursuant to the Project Document]<sup>11</sup> 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](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP’s Programme and Operations Policies and Procedures, 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>).
4. 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.
5. 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.

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## **X. ANNEXES**

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<sup>10</sup> To be used where UNDP is the Implementing Partner

<sup>11</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

**Annex 1. Project Quality Assurance Report (attached)**

**Annex 2. Social and Environmental Screening Report (attached)**

## Annex 3. Visibility plan

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### General Communication Strategy

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Communication and visibility activities and/or materials will undergo a strong annual planning process, including but not limited to:

- Appropriate allocation of resources, maximizing cost / benefit;
- Identifying key objectives and determining target audiences;
- Developing effective and appropriate messages that target relevant audience(s);
- Utilizing appropriate promotional channels;
- Developing and measuring performance indicators.

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### Objectives

The overall objective of the Visibility and Communication Plan is to contribute to the efficient implementation of the project by ensuring that information and any communications activities and products are executed and produced with quality, are appropriate in terms of resources spent and expected impact, and are distributed in a timely manner to target groups.

**Specific communications objectives** are designed in line with the project's overall objectives and key results, which are as follows:

- Raise awareness about the objectives of the project among the beneficiary population;
- Increase the visibility of the EU, UNDP and Project Partners in Viet Nam;
- Ensure visibility of the progress and achievements made by the key beneficiary institutions and actors in relation to the focus areas of the project;
- Inform national and provincial stakeholders as well as the international development partner community of the outputs and impact of the Action and encourage the scaling-up of the successful initiatives and approaches;
- Raise awareness and ensure visibility of the Sustainable Development Goals (SDGs) and the contribution of the project towards the implementation of the SDGs.

#### Specific objectives for each target group

Simple and clear information will be communicated with consistent effective messages, targeted to different groups.

Target audience groups	Specific objectives
Farmers (men, women and ethnic minorities) in the four project-supported districts	<ul style="list-style-type: none"> <li>• Raise awareness of the innovations introduced by the project for sustainable farming;</li> <li>• Ensure that they learn, adopt green production processes, and access inputs by businesses in supply chains</li> </ul>
Businesses and bankers operating in key agricultural supply chains	<ul style="list-style-type: none"> <li>• Raise their awareness about the long-term benefit of and engage them in deforestation-free commodity supply chains;</li> <li>• Help promote branding through sharing information, finding opportunity for market niche; and</li> <li>• Advocate for and engage them in promoting green community</li> </ul>
CSOs and academia	Share information with and engage them in communication activities
Local and national Government agencies in charge of land-use planning, agricultural commodities, non-timber forestry products, forest protection, and financing sustainable supply chains	<ul style="list-style-type: none"> <li>• Effectively communicate the innovations introduced by the project for their buy-in and commitment;</li> <li>• Engage them promoting green community, thus scaling up in other sectors/ localities</li> </ul>
Media	Effectively use of media as channels to reach target audience groups with key messages and project results
Projects/Programmes operating in the same location	Ensure that they are aware of the project's innovations to work together for sustainable and integrated landscape management

Development Partners	Raise awareness among the development partners countries and their population of the roles of partners and the results of the project
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### Communication principles

All communications will follow the “Joint Visibility guidelines for EC-UN Actions in the field” [https://ec.europa.eu/europeaid/sites/devco/files/guidelines-joint-visibility-eu-un\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/guidelines-joint-visibility-eu-un_en.pdf):

- Ensure that communication materials comply with EU, UNDP and partners’ visibility requirements;
- Ensure that the logos of the EU, UNDP and related partners are present on all communications materials when communicating on matters related to the project;
- Ensure that the communication and visibility activities are planned in consultation with related partners’ assigned focal points.
- Take into account the cultural diversity, respect the rights of men and women, and ethnic minorities.
- Ensure that any required political clearance regarding public statements is sought by related partners.
- Ensure that information is delivered in a timely fashion and distributed via appropriate outlets.
- Ensure that the project information is presented clearly and accurately.
- Pay attention to the beneficiary- and human-centered communication, the impacts of the project.

### Communication Activities and Tools

Visibility activities will evolve throughout the project’s implementation and include:

#### **Activities**

- High-level events and visits
- Communication and awareness raising campaigns
- Sensitization events
- Press visits
- Exhibition

#### **Channels**

- Mass Media: Print, online TV and Radio
- Social media: Facebook, YouTube, LinkedIn Twitter, etc.
- Websites (UNDP, EU and partners)

#### **Public information materials**

- Press Releases;
- Human interest stories
- Op-ed/ Blogs
- Leaflets/ Brochures
- Banners
- Promotional items
- Photos, photo essays, photo voices
- Presentations
- Videos
- Publications

In addition to the above-mentioned fundamental elements, the diverse range of reports and presentations produced by the project will include the following disclaimer:

*“This publication has been produced with the assistance of the European Union. The contents of this publication are the sole responsibility of <insert name of the author/ contractor/ implementing partner/ international organization> and can in no way be taken to reflect the views of the UNDP, European Union [and all other partners].”*

### Indicators of achievement

The communications framework below will be referenced to monitor the activities and their impacts.

Output Level	Outcome Level
Expected communications results	
<ul style="list-style-type: none"> <li>▪ Project related messages disseminated via different forms and channels of communications</li> <li>▪ Media published/broadcasted stories about the project</li> <li>▪ Stakeholders took part in events</li> <li>▪ Stakeholders received communications messages</li> <li>▪ Stakeholders understand communications messages</li> <li>▪ Stakeholders are aware well informed of the progress and achievements of the project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Raised awareness and understanding about the project's innovations among the targeted audiences</li> <li>▪ Development and maintaining of mutually beneficial, dialogic, two-way communications with targeted groups and stakeholders</li> <li>▪ Communication used as a tool for better understanding of project related issues</li> <li>▪ Communication used as a tool for solving (communications related) project's challenges and problems</li> <li>▪ Communication used as a tool for engaging local communities</li> <li>▪ Communication used as a tool for influencing behaviours of decision makers</li> <li>▪ Increased participatory communication and interactivity among the stakeholders</li> <li>▪ Increased media understanding of the project</li> </ul>
Success Indicators	
<ul style="list-style-type: none"> <li>▪ Number of disseminated messages (media advisories, press releases, interviews, news and feature stories submitted to media, posts on social media)</li> <li>▪ Number of news/ articles published and TV reports broadcast, featuring the project's activities, key messages and results</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number of people in target groups who positively (re)act and start with actions based on project's core messages which influenced their behaviors</li> <li>▪ Prominent, affirmative presentation of Development Partners and partners in media</li> <li>▪ Number of reach/ impressions on social media</li> <li>▪ Measurement of quality of relationships with project's stakeholder based on focus groups / expert discussions.</li> </ul>
Means of Verification	
<ul style="list-style-type: none"> <li>▪ Media monitoring, press clipping</li> <li>▪ Feedback from participants in events</li> <li>▪ Social media measurement tools</li> </ul>	<ul style="list-style-type: none"> <li>▪ Qualitative assessment of media coverage</li> <li>▪ Media content analysis</li> </ul>

### Resources

All members of project team will be mobilized, where most relevant, for conducting various tasks in communication activities. In particular, technical experts will ensure that key technical and advocacy messages are well documented for all elements of the project. The UNDP communication officer will be engaged on part-time basis for a total of 30 days during the term of the project (2021-2024) and will be responsible for:

- Coordinating the implementation of the visibility & communications plan.
- Supporting the development of detailed communication workplans on annual and quarterly basis;
- Providing advice and guidance on the development of promotion materials, publicity and communication campaign activities and initiatives carried out by local partners of the project; and coordinate the implementation of the communication workplans in adherence with the agreed activities among partners.
- Being the Focal Point of this Communication and Visibility Plan.

Additional services will be mobilized to top-up the efforts made by the project team and UNDP CO to assure timely and quality production of communication materials for the project.

**Financial resources:**

- A budget line 4.2a<sup>12</sup>, with an amount of USD122,000, has been included in the total budget of the project, for implementing the Visibility and Communications Plan. The Detailed Visibility and Communication Plan below will provide more details on the planned V&C activities, timelines, and estimated costs.
- A budget line for Visibility and Communications of USD13,200 has been allocated in Annex III - Budget for UNDP Communications Officer to provide support and coordination of communication activities.

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<sup>12</sup> The budget estimation under Activity 4.2a "Produce and manage knowledge and communication products, including a series of documentary films and papers produced and disseminated on specific aspects of the integrated sustainable landscape management approach (standards, geographical indication, real-time monitoring, traceability, local data management, agroecology, agroforestry, community-based monitoring, tailoring financial instruments, traditional knowledge and business models etc.). Assist partners and stakeholders with disseminating the experience and findings at national and international level" in Annex III

**DETAILED COMMUNICATION AND VISIBILITY PLAN 2021 - 2025**

Communication Activities	Target Audience	Communication Outputs	Estimated Timeframe	Estimated Budget (USD)
<i>General activities in all years (2021-2024)</i>				
<i>V&amp;C activities for the project will run over years 1-4</i>				
Knowledge, Attitudes and Practices (KAP) Baseline Study of project stakeholders (farmers, businesses and the Government) in relation to deforestation-free jurisdiction	<ul style="list-style-type: none"> <li>All target audience groups as mentioned above</li> </ul>	<ul style="list-style-type: none"> <li>Baseline study report</li> </ul>	Year 1	10,000
Knowledge, Attitudes and Practices (KAP) Evaluation of project stakeholders (farmers, businesses and the Government) in relation to deforestation-free jurisdiction	<ul style="list-style-type: none"> <li>All target audience groups as mentioned above</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation report</li> </ul>	Year 4	10,000
Support Annual Forum of four main commodities platforms, from year 2-4 (Output 1.3)	<ul style="list-style-type: none"> <li>Farmers including men, women and ethnic minorities living in the four project-supported districts;</li> <li>Businesses and bankers;</li> <li>Local and national Government agencies in charge of land-use planning, agricultural commodities, non-timber forestry products, forest protection, and financing sustainable supply chains</li> <li>Development Partners</li> <li>Media</li> </ul>	<ul style="list-style-type: none"> <li>Signage</li> <li>Media advisories, press releases</li> <li>Posts/ updates on social media channels</li> <li>Leaflets/ brochures</li> <li>posters</li> <li>Exhibition of local initiatives</li> <li>photos</li> </ul>	Year 2, 3, 4	1,500 x 12 = 18,000

Support Formal Dialogues (Output 1.3)	<ul style="list-style-type: none"> <li>• Businesses and bankers operating in key agricultural supply chains</li> <li>• Policy makers in the area of integrated land-use planning, REDD+, sustainable agriculture, green banking/credit, private sector engagement, deforestation-free approach</li> <li>• CSOs</li> <li>• Media</li> <li>• Development partners</li> </ul>	<ul style="list-style-type: none"> <li>• Signage</li> <li>• Media advisories, press releases</li> <li>• Posts/ updates on social media channels</li> <li>• Articles/ TV reports</li> <li>• Banners</li> <li>• presentations</li> <li>• Photos</li> <li>• publications</li> </ul>	Year 1-4	1,500 x4 = 6,000
Produce video to highlight activities and results	<ul style="list-style-type: none"> <li>• All target audience groups</li> <li>• Farmers, Businesses and Bankers</li> </ul>	<ul style="list-style-type: none"> <li>• 1 video on the project to show at the launching events</li> </ul>	Year 1-4	3,000
Design, print and organize launches to disseminate assessments/ policy papers	<ul style="list-style-type: none"> <li>• Relevant target audience groups</li> </ul>	<ul style="list-style-type: none"> <li>• 5 publications</li> </ul>	Year 1-4	3,000 x 5 = 15,000
Design and layout annual progress reports	<ul style="list-style-type: none"> <li>• All target groups and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• 4 reports</li> </ul>	Year 1-4	1,000
Design and implement offline campaign (2) to disseminate knowledge and advocate for agroecology models	<ul style="list-style-type: none"> <li>• Farmers</li> <li>• Businesses and Bankers</li> <li>• Media</li> </ul>	<ul style="list-style-type: none"> <li>• Promotional items</li> <li>• Infographics</li> <li>• Video messages</li> <li>• Blogs</li> <li>• Posters</li> <li>• Media stories</li> <li>• Social media posts</li> </ul>	Year 2-4	12,000

Produce newsletter to update the project's output/impact	<ul style="list-style-type: none"> <li>All target groups and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Newsletters</li> </ul>	Year 2-4	Implemented by UNDP Communication staff
<b>Estimated General Subtotal (General activities)</b>				<b>75,000</b>
<i>Year 1 (2021)</i>				
<ul style="list-style-type: none"> <li>Support the project's launching workshop</li> </ul>	<ul style="list-style-type: none"> <li>All target audience groups</li> </ul>	<ul style="list-style-type: none"> <li>Signage</li> <li>Media advisories, press releases</li> <li>Posts/ updates on social media channels</li> <li>Articles/ TV reports</li> <li>Banners presentations</li> <li>Photos</li> <li>Video</li> <li>Brochure</li> </ul>	Feb. 2021	2,000
<ul style="list-style-type: none"> <li>Document and visualize baseline documentary in participating districts/ provinces</li> </ul> <p>(Output 1.1)</p>	<ul style="list-style-type: none"> <li>All target audience groups</li> <li>Farmers, businesses</li> <li>Provincial and district authorities</li> </ul>	<ul style="list-style-type: none"> <li>Documentary video</li> <li>Photos with illustration mapping locations</li> </ul>	Apr/May 2021	6,000
<b>Estimated Y1 Sub-total for 2021</b>				<b>8,000</b>
<i>Year 2 (2022)</i>				
<ul style="list-style-type: none"> <li>Undertake Press trip to the project site(s) to see first- hand innovation model(s) and initial results</li> </ul>	<ul style="list-style-type: none"> <li>All target groups</li> <li>Public</li> <li>Media</li> </ul>	<ul style="list-style-type: none"> <li>Signage</li> <li>Media advisories</li> <li>Media stories</li> <li>Film footage and beneficiaries' testimonies to be used for various activities throughout the program</li> </ul>	September 2022	3,000
<ul style="list-style-type: none"> <li>Public and media outreach on specific aspects of the integrated sustainable landscape management approach</li> </ul>	<ul style="list-style-type: none"> <li>Relevant target groups</li> </ul>	<ul style="list-style-type: none"> <li>Op-ed</li> <li>Blogs</li> <li>Stories</li> <li>Posts on social media channels</li> <li>Website updates</li> </ul>	Throughout 2022	Implemented by UNDP Communication staff
<ul style="list-style-type: none"> <li>Document and introduce improved farming practices and its better-quality products as well as the market</li> </ul>	<ul style="list-style-type: none"> <li>Farmers, businesses</li> </ul>	<ul style="list-style-type: none"> <li>Brochure</li> <li>"How-to" video</li> <li>Video on improved knowledge</li> </ul>	Throughout 2022	8,000

information (Output 2.2)		and awareness after the training • Human stories/photo stories		
• Showcase the year's achievement (increase of the total commodities value in the project area)	•	• Infographic	October 2020	Implemented by UNDP Communication staff
• Document and showcase on innovative ideas of farming toward sustainable practice in the provinces (Output 2.2)	• Relevant target groups • Farmers, businesses	• A collection of community-based innovative ideas	Throughout 2022	13,000
<b>Estimated Y2 Sub-total for 2022</b>				<b>24,000</b>
<b>Year 3 (2023)</b>				
• Press trip to the project site(s) to see first-hand innovation model(s) and initial results	• All target groups • Public	• Signage • Media advisories • Media stories • Film footage and beneficiaries' testimonies to be used for various activities throughout the program	September 2023	3,000
• Public and media outreach on specific aspects of the integrated sustainable landscape management approach	• Relevant target groups	• Op-ed • Blogs • Stories • Posts on social media channels	Throughout 2023	Implemented by UNDP Communication staff
• Disseminate information on Deforestation-free /Sustainability standard (Output 1.4)	• All target groups • Public	• Brochure • Posts on social media channels	June 2023	Implemented by UNDP Communication staff
• Document Sustainable and Climate-Smart standardized practices (Output 2)	• All target groups • Farmers, businesses	• Photo stories	Aug – Nov 2023	4,000
• Document and share outputs and impacts of the project with national and provincial stakeholders as well as the international development partners (Output 2.3)	• All target groups • Public • Media	• Human stories on the changes of farmers • Photo stories • Posts on social media channels	Throughout 2023	Implemented by UNDP Communication staff
• Advocate for policy uptake, based on project results and practices, to create enabling conditions for integrated	• All target groups • Public • Media	• Policy brief • TV talk show	July – Nov 2023	Implemented by UNDP Communication staff

landscape sustainable management and deforestation-free jurisdiction (Output 4.2)				
<ul style="list-style-type: none"> <li>Visualize results from monitoring and evaluation</li> </ul>	<ul style="list-style-type: none"> <li>All target groups</li> <li>Public</li> <li>Media</li> </ul>	<ul style="list-style-type: none"> <li>Video and photos to show the improved natural forest to be saved and CO2 emission captured after 3 years of project's implementation</li> <li>Video and photos to show the farmers' benefits of adopting agroecology farming models</li> </ul>	July – Dec 2023	6,000
<ul style="list-style-type: none"> <li>Disseminate findings of the assessments under 3.1a and 3.1b to the business organizations involved in the main agriculture and NTFP&amp;S supply chains</li> </ul>	<ul style="list-style-type: none"> <li>Relevant target groups</li> </ul>	<ul style="list-style-type: none"> <li>Infographic</li> <li>Posters</li> <li>Posts on social media channels</li> </ul>	Sep 2023	500
<b>Estimated Y3 Sub-total for 2023</b>				<b>13,500</b>
<i>Year 4 (2024)</i>				
<ul style="list-style-type: none"> <li>Publish/disseminate and media outreach on various aspects of the integrated sustainable landscape management approach</li> </ul>	<ul style="list-style-type: none"> <li>Relevant target groups</li> </ul>	<ul style="list-style-type: none"> <li>Op-ed</li> <li>Blogs</li> <li>Stories</li> <li>Posts on social media channels</li> </ul>	Throughout 2024	Implemented by UNDP Communication staff
<ul style="list-style-type: none"> <li>design/layout and printing of the final report</li> </ul>	<ul style="list-style-type: none"> <li>All target groups</li> <li>Public</li> </ul>	<ul style="list-style-type: none"> <li>Final report</li> </ul>	2024	1,500
<b>Estimated Y4 Sub-total for 2024</b>				<b>1,500</b>
<b>Estimated subtotal for V&amp;C activities (General Sub + Y1 Subtotal + Y2 Subtotal + Y3 Subtotal + Y4 Subtotal)</b>				<b>122,000</b>
Estimate salary for the CO Communication Officer (30 days, 12 days for Year 1 and 6 days each for Year 2 to 4, during the term of the project (2021-2024) as indicated in the budget line for Visibility & Communications in Annex III - Budget)				<b>13,200</b>
<b>TOTAL</b>				<b>135,200</b>

## Annex 4. Risk analysis

#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
<b>Strategic risks</b>						
1	High level of innovation in instruments and processes generates fear and aversion to change	Project formulation	Aversion to change is a significant risk to the project, as the innovative activities are expected to challenge some traditional arrangements and practices. For instance, spatial planning requires cross-sector negotiations to deliver on decisions and trade-offs, the use of satellite imagery can question some official data, and the support to transparency and participatory governance of land use can increase pressure on public officials to improve governance and public efficiency. Change aversion is likely to slow down or undermine the implementation of the project and its impact P (4) x I (5) = Risk 20	Risks associated to aversion to change can be reduced by empowering local authorities and providing them with robust technical but also political support, actively communicating on benefits and support for the ongoing changes. Time is also a precious resource in change management, and the project benefits from past relationships between local authorities, UNDP and other responsible partners This is mainly true in Lam Dong province UN-REDD supported province, piloting of innovative solutions since 2017 like Terra-I, support to coffee farmers and private sector with traceability and bottom-up data collection...). Risk is higher in Dak Nong province, and UNDP will ensure that more time and energy is invested in building this trusted relationship with public authorities, including by multiplying missions and positioning experts in Dak Nong.	UNDP and responsible partners, with particular attention from PPC	Stable
2	Incentives are insufficient to lead to the adoption of sustainable practices in agriculture and forest sustainable management	Project formulation	From producing plans, providing advises and even robust business models to an actual shift towards sustainable and deforestation-free practices at local level, there are various issues including psychological (aversion to change, local notoriety, judgment...), financial (lack of investment capacities, short vs. long-term constraints...) and enabling issues (market opportunities, supportive regulations, effective governance, access to capital...). There is a risk for the project to produce material (studies, models) that do not lead to changes at the field level if the project cannot directly support change in local practices. P (4) x I (4) = Risk 16	The project has indeed limited resources to provide direct material support to households. However, the project is fundamentally oriented towards “productive approaches”, meaning that development of sustainable models is always bound to demonstrating clear socioeconomic and financial benefits to the household, so that eventually the interest to change practices can be high. Significant dissemination and training campaigns will be implemented. Experts (cash crops, NTFP, agroecology) will be deployed at local level to provide direct technical support to households. Leveraging effects (for investment but also for disseminating knowledge, for market-driven incentives to improved practices etc.) are also a core priority of the project as demonstrated by outcome 3. In summary, responding to this risk is a fundamental driver of the whole project design and implementation. The project will monitor not only the local impact of its own funding, but also the implementation of finance that it manages to leverage through outcome 3. Eventually, massive transition towards sustainable practices will have to be assessed on a longer term, beyond the project’s duration.	UNDP and responsible partners	Stable
3	Weak local governance including corruption results in funding not being channeled to the appropriate beneficiaries and	Project formulation	Corruption is a significant risk to the likelihood of achievement of the project objective. Analysis of corruption risks in similar programmes like UN-REDD in Vietnam (including channeling funds to the local level) revealed risks of fraud, embezzlement and manipulation of rights	Based on long UNDP history in Vietnam as well as other partners' experience, there has been demonstration of successful prevention and handling of this risk. The project will build on REDD+ safeguards (under outcome 4 and to be institutionalized throughout the jurisdiction sustainable landscape management framework under output 1.2) and associated mechanisms like the feedback grievance redress mechanism that are meant to be further deployed according to National REDD+ Action Programme. The project will carry out relevant	UNDP, and responsible partners to report to the steering committee members on any issues as they develop	Stable

#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
	generating expected impacts		to benefit influential stakeholders. Potential risk on project's impacts but also on notoriety and momentum for sustainable land use management approach at a larger scale is significant P (3) x I (4) = Risk 12	analysis and promote participatory governance of local activities, together with regular assessment by UNDP and independent organizations, and robust auditing		
4	Local stakeholders, Especially communities, decline to give their consent to sustainable land use management and deforestation free target	Project formulation	UNDP respects the right of local stakeholders, especially ethnic minorities and forest-dependent communities to withhold their consent to implement project's activities. If this consent is withheld, the project must halt activities in the concerned locality. P (2) x I (2) = Risk 4	Considering the broad support from provincial and district level authorities, it is expected that this risk is limited to some localities. Actions would be stopped there but would not impact the broader project. In addition, some targets like no conversion of natural forests are required by law so their implementation can go beyond the will of local people, to which the project can offer additional support for abiding by law. In response, the project will pay particular attention to communicating and disseminating information in a proactive and benefit-oriented way, and build close relationship through district coordinators and experts deployed at local level	UNDP and partners, with support from district authorities and communes	Stable
<b>Political risks</b>						
5	In project areas, public authorities at district and commune levels are not willing to cooperate with the project	Project formulation	Lack of political willingness to cooperate with the project at the level of local administration would limit the ability to deploy knowledge and assistance in these areas, and could facilitate some "grey areas" where sustainability principles are not implemented but also where conflicting practices including illegal deforestation can be indirectly fostered through leakage effect P (2) * I (3) = Risk 6	Provincial and district authorities will be supported by UNDP and international partners to actively communicate to the commune and village levels, to reduce the variability of awareness, understanding and willingness to join in the sustainability endeavor. The process for selecting pilot districts has paid attention to ensuring a good understanding and support from authorities. At sub-district level, some early activities supported by partners have demonstrated that willingness to collaborate is generally high. In addition, effective and transparent dialogue will be facilitated when discussing potential target areas for business modeling and for pilot deployment of practices and support. Eventually, if progress is slowed down in some areas, it will continue in other and expectedly demonstrate benefits to engage with other localities later on...	Provincial and district authorities to ensure close dialogue and mobilize UNDP and partners as relevant	Stable
6	Public authorities in surrounding districts, provinces and relevant sectors at national level do not share interest for sustainable land use management and don't want to build on project's findings and achievements	Project formulation	Lack of political willingness to cooperate with the project may limit uptake of lessons in other jurisdictions and scaling up at regional and national levels P (1) * I (2) = Risk 2	UNDP, other international partners and obviously provincial and national partners to the project can exert influence to cooperate, which already allow for significant chances to disseminate and scale up	UNDP and public partners at national and provincial levels	Stable
7	Influential stakeholders who benefit from the current unsustainable situation including forest conversion,	Project formulation	Some stakeholders may not be supportive of transition towards sustainable land use and management, especially those who benefit from unfair trading system, polluting and poor-quality product trading, illegal timber trade or land grabbing... The motivation for this opposition is, in some	Several countermeasures have already been integrated into the project based on the detailed study of drivers of deforestation and barriers to sustainable land use management, as carried out by the coalition of partners in 2018 and supported by other processes including REDD+ action planning in the two provinces. In addition, further studies and development of business models will lead to direct interaction with potential opponents and better understanding of their motives and interests, and subsequent responses including incentive to join	UNDP and all responsible partners and authorities to share regular update on identification and engagement of	Stable

#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
	crop expansion and ineffective farming practices undermine the project and overall objective towards sustainability transition		cases, the lack of effective penalties for illegal activities in forests, and in other cases a narrow vision of increased revenues from agricultural products through area expansion of low-value products. If these stakeholders hinder the implementation of the project, benefits could be compromised. P (4) x I (3) = Risk 12	through collaborative activities, or containment measures including through active awareness and communication campaign. Enforcement of local governance of forest and land, including through output 1.5, will also strengthen the pressure on negatively minded stakeholders.	opposing stakeholders	
8	Commitment of national and provincial authorities to addressing unsustainable land management does not remain firm.	Project formulation	If high-level support is lacking, project implementation and subsequent scaling up and sustainability would be slow and threatened, and the viability of integrated and deforestation-free land use management as an approach to sustainable development, climate mitigation and adaptation, food production, livelihood improvement and ecosystem protection and restoration would be undermined P (1) x I (5) = Risk 5	This risk did not materialize in previous collaborations with public authorities and is unlikely to occur. The actual risk might not relate to a complete shift in public priorities and commitment, particularly considering that impacts from climate change and other environmental shocks are likely to intensify and put administration under growing pressure. The risk might be more localized to sometimes costly trade-offs associated with specific cases, like the ability of public authorities to keep with sustainable directions when conflicting investment opportunities emerge, or when powerful interests push for significant adjustments or outstanding decisions (infrastructures, army...). Continued awareness raising on importance and opportunities offered by integrated landscape management will be provided at national and provincial levels, and links to core government initiatives like Master Planning and National Target Programmes will be strengthened to build a robust and systemic convergence of forces towards the innovative approach supported by the project. Leaders will be supported to participate in this advocacy campaign, including through networking activities, and be increasingly held accountable for inappropriate decisions.	UNDP to monitor	Stable
9	Commitment of authorities to secure specific attention and support to most vulnerable groups including women and ethnic minorities declines	Project formulation	Failure to effectively include vulnerable groups in representation at provincial and district levels could make gender and ethnic minorities mainstreaming activities harder to implement and lower specific support to these groups P (3) x I (3) = Risk 9	Awareness raising at all levels will be implemented, on the gains to sustainable landscape management of taking a gender and ethnic minority mainstreaming perspective and secure their active role in selecting and informing business models and sites for targeted support. In addition, specific targets on poorest groups and gender-specific indicators have been included in the project design, and will be tracked through project implementation, including as part of implementing safeguards (outputs 4.1 and 1.2). Eventually, gender consideration is mandatory by Vietnamese Law and recourse options exist.	Public authorities from provincial and commune levels, with support from UNDP and partners	Stable
<b>Organizational risks</b>						
10	Government agencies do not cooperate and coordinate activities effectively	Project formulation	Failure of government agencies to cooperate across various sectors and administrative levels would slow implementation of the project. Institutional competition would reduce commitment to sustainable and integrated land use management. There are existing institutional arrangements, forces and customary practices that makes cross-sector collaboration challenging.	The process to prepare the project is consultative and has been designed and led to create broad ownership and engagement. Sectors like forest, agriculture, land use, planning, investments have been involved and have shown willingness to collaborate. Awareness rising for government agencies will continue. The project steering committee will have the mandate and responsibility to facilitate cooperation, and project's personnel will be spread across administrative layers and departments to facilitate linkages on a daily basis. The project is also expected to support the State Steering Committee Office for Sustainable Forest Management and REDD+, with clear mandate and capacities for cross-sector dialogue and collaboration.	UNDP to monitor, with responsibility from project staff and authorities to alert and discuss problems as soon as they emerge	Stable

#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
11	Coordination among the international partners of the project is ineffective and cumbersome	Project formulation	<p>P (4) x I (4) = Risk 16</p> <p>Lack of coordination would result in the project being less cost effective due to some overlaps, potential gaps emerging, and lack of mutualization of resources.</p> <p>P (1) x I (4) = Risk 4</p>	<p>The probability of the risk is very low, considering the history of the group of partners to collaborate, including on a voluntary and self-supported way throughout the development of the deforestation-free jurisdiction approach since late 2017. Particular attention will be paid to ensuring cross-agencies operational work and activities, including joint meetings and consultations, data collection, specifying in technical experts' terms of reference their broad role in support to public authorities and all responsible partners etc.</p>	UNDP to ensure concrete integration of partners action and resources in terms of reference and implementation	Stable
12	Coordination with other partners and programmes outside the project is not effective	Project formulation	<p>Lack of coordination would result in the project failing to spread a shared vision for sustainable landscape management and securing collaborative momentum among partners to support public authorities in this bold endeavor. It would also directly lead to a project failure in relation to its targets on outcome 3 (financial mobilization) and outcome 2 (transitioning to sustainable practices)</p> <p>P (1) x I (5) = Risk 5</p>	<p>Collaboration and leveraging other partners resources, including ODA-supported projects and programmes as well as business sector and public programmes, is a core objective of this project, and outcome 3 in particular (and to a lesser extent output 4.2 for instance) are precisely designed to deliver on this collaboration, mainstreaming, alignment and leveraging. In addition, there is also an history of collaborative spirit and collective endeavor on related issues in the region, for instance the collaboration with SNV-IKI on coffee project in Lac Duong, and the support to Green Growth and Master Planning in Lam Dong together with IDH, UNDP, UNE, CIAT as well as GIZ and ICRAF.</p> <p>Probability for occurrence is very low, but impacts would be significant and UNDP will monitor this risk carefully, and raise it to public authorities including national authorities at highest level through its support to State Steering Committee in case national leadership was necessary in last recourse to request all partners for converging efforts.</p>	UNDP to monitor	Stable
13	Delays caused by slow official processes	Project formulation	<p>Given the ambitious implementation targets, delays in official processes could significantly affect the impact attained through the project</p> <p>P (3) x I (3) = Risk 9</p>	<p>At design and endorsement stage, UNDP and partners will lead the formulation of the full project documentation as required by UNDP and the Vietnam Government, to ensure smooth and fast signatures as soon as green light is received from the EU.</p> <p>The arrangements of the project through steering committee and possible alert to the State Steering Committee under Deputy prime Minister's chairmanship allow to ensure that official processes are kept under time constraint during the implementation of the project. Arrangements have been made to facilitate official processes, including streamlining UNDP-agencies fund transfer and reporting, and direct support to sub-national administrations.</p>	UNDP to monitor and secure through continuous dialogue with public authorities	Stable

#### Operational risks

14	The project depends on external processes that are strongly bureaucratic and politically complex	Project formulation	<p>Delays in implementation of the Master Planning at provincial level, unclear guidelines to improve and operate the district land use planning, lack of core public resources to forest reconversion, rigid interpretation of regulations on PFES or natural forest management can impact negatively the project, delaying its actions and targets, and generating significant additional costs to navigate the complex bureaucracy and politics to deliver on</p>	<p>As a technical assistance project working on innovative ways to improve public and private responses to unsustainable land use management, this risk is inherent to the project. The project must work with public processes and instruments to generate scalable and sustainable impacts, and so depend on their respective progress. However, UNDP as the lead organization of the project has credible track record in managing this type of complex project in the context of Vietnam at both national and sub-national level. It offers the ability to connect with various sectors and departments, including at high level, to navigate this risk. In addition, the project is designed to allow adaptive management throughout its implementation, and adjust to opportunities, delays and technical and political complexities.</p>	UNDP to monitor and facilitate across the full project, including mobilizing the support from the EU and national public authorities when relevant	Stable
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#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
15	Recruitments of qualified personnel are difficult	Project formulation	<p>expected conditions for project's implementation</p> <p>P (3) x I (5) = Risk 15</p> <p>Recruitment of personnel with low capacities and motivation would undermine the capacity of the project to effectively implement activities and deliver impacts</p> <p>P (3) x I (5) = Risk 15</p>	Recruitment of qualified personnel could be a problem considering that most positions are to be located or imply various missions in districts, and the project engage on various innovative issues. UNDP and partners will pay particular attention in actively publicizing recruitment process to attract suitable candidates	UNDP, including support to recruiting partners	Stable
16	Qualified personnel cannot be retained at the end of the project	Project formulation	<p>Operational recruitment of personnel with programme funds who are not subsequently retained under public or private partners budget will undermine sustainability</p> <p>P (2) x I (4) = Risk 12</p>	Retention of qualified personnel with demonstrated contribution to the project can usually be an issue for ODA-supported projects. In this case, the innovative nature of the project, its expected capacity to be sustained and scaled up beyond the project lifetime, as well as the broad number of partners including the private sector is likely to offer major opportunities for recruitment by the end of the programme	UNDP	Stable
17	Project inputs (funds, human resources, etc.) are not mobilized in a timely and coordinated fashion	Project formulation	<p>Many of the outputs in the programme log frame are inter-connected, so slow mobilization of inputs to one part may slow down the whole programme.</p> <p>P (3) x I (4) = Risk 12</p>	Despite the multiplicity of partners and administrative layers, the design of the project has been agreed to mitigate this risk, including (i) public administrations will only receive, administer and report on funding from one agency (UNDP) so reducing the burden of multiple processes and rules, (ii) UNDP will transfer funding directly to the subnational level to avoid risks of delay at national level, and (iii) international partners will implement technical assistance and rely on coordinated management of supportive actions (consultations, missions, logistics...) under the supervision of UNDP.	UNDP to monitor smooth operation and raise issues to the steering committee if they arise	Stable
18	Engagement with women and ethnic minorities, including consultation, awareness raising and support to sustainable practices does not adequately address cultural norms and differences	Project formulation	<p>Failure to recognize and respond to cultural differences and norms would result in sub-optimal engagement process and undermine local support for the project and for the transition to sustainable and deforestation-free landscape</p> <p>P (2) x I (3) = Risk 6</p>	UNDP and other partners have gained robust experiences in working with diverse ethnic groups and engaging women, which will be incorporated into processes of engagement, consultation and awareness raising, technical and material support as well as collaborative and bottom-up monitoring.	UNDP in support and supervision for responsible partners	Stable
19	The project cannot easily access data, or this data raises quality issues that make them hard to use	Project formulation	<p>Lack of quality and accessibility of data can generate serious political risks and eventually delays. The project requires active cooperation from data owners, but also credible data production processes that are supported by innovative data production instruments like satellite imagery, otherwise conflict over data interpretation can delay the project and impact confidence among partners</p> <p>P (4) x I (3) = Risk 12</p>	<p>The project significantly depends on the production and collection of robust data, which raises two potential risks related to (i) the cooperation of data owners – which is addressed as part of the risk related to collaboration between the various relevant sectors and stakeholder; and (ii) the inconsistency between official data and data produced by innovative monitoring instruments supported by the project, for instance Terra-I on real-time alerts of deforestation, and further cash crop and land use mapping using high resolution satellite imageries. There is a risk that official statistical data does not match reality-check through satellite imagery or field control and bottom-up data production, then leading to potential conflict to interpret figures, to support decisions, and to report on actions and targets if baselines are debated.</p> <p>The project targets are set based on official data provided by the authority, and</p>	UNDP to proactively engage with public authorities to handle risks as they emerge	Stable

#	Risk description	Date identified	Probability & impact	Management response	Owner	Status
20	Land use conflicts and land allocation processes undermine effective sustainable landscape planning and transition to sustainable practices	Project formulation	Various studies undertaken by partner organizations and public administrations indicate a high level of dissatisfaction among local stakeholders concerning land allocation. These include failure to proceed with land allocation and inequity in land allocation decisions. If not addressed, such dissatisfaction could lead to more conflicts and a lack of willingness to participate in sustainable land use management. P (3) x I (3) = Risk 9	once the project starts, it will actively work on data production to check initial assumptions and possible adjustments will be proposed if needed. An active and close dialogue will be established between UNDP and relevant authorities on data interpretation and gap handling as they emerge.  The problem is particularly serious in the pilot districts where immigration flows have put land under increasing pressure. However, the project has no capacity to engage comprehensively and frontally on land security. However, the problem is fully considered in the design of the project and addressed indirectly through outcome 2. All business modeling will consider land tenure as a key factor of success or failure of the transition to sustainability, and targeted support provided at field level is also likely to engage of land security depending on the actual needs in a given situation (including supporting land allocation to support investments into NTFP&S...). So the project will address gaps as they arise at field level to ensure effective deployment of supported activities, and will generate knowledge on how broader responses can be formulated to address this fundamental risk.	UNDP in close coordination with PPCs and DPCs	Stable
21	Underlying and emerging conflicts related to access to land, livelihoods and resources between new in-migrants and existing ethnic and non-ethnic minorities communities.	Project formulation	The expected improved standard of living and access to more livelihood assets will likely attract in-migrants, thus putting additional pressure on remaining and limited land and resources. Ethnic minority communities may be disproportionately affected as securitization of traditional lands and resources is a time-consuming process. The pressure from community displacement on remaining lands may exacerbate existing and implicate new land-related conflicts and agitate current concerns around poverty levels among ethnic minority communities. P (4) x I (4) = Risk 16	While the issue of in-migration itself is not addressed directly in the project, because of budget constraints, it is considered that the proposed combination of project activities will help lessen the impact of in-migration by providing the conditions for realizing the land-sparing theory, in particular through (i) improvement of agricultural practices (incl. sustainable intensification) and diversification, enabling using less land for higher production/income, while preventing extension of land conversion through (ii) land-use planning, in conjunction with improved (near real-time) land use and forest monitoring and related enforcement. Tenure will also be mainstreamed in other activities, among others, such as land use planning process, ensuring authentic representation in consultations, as well as consideration of tenure issues from marginalized people.  UNDP, partners and relevant authorities will ensure that the national level safeguards, including grievance redress mechanisms, are enhanced, implemented at district and provincial levels with data collected and monitored through the implementation of the national safeguard information system.	UNDP in close coordination with PPCs and DPCs	Stable

## Annex 5 – Project budget distribution

<b>Organisations</b>	<b>Budget allocation (USD)</b>
UNDP	2,683,287
MARD	501,194
Lam Dong	538,631
Dak Nong	538,631
CIAT	540,190
EFI	280,690
IDH	314,734
UNEP	560,143