



STAKEHOLDER ENGAGEMENT PLAN

VIETNAM REDD+ RESULTS-BASED PAYMENTS FOR THE PERIOD OF 2014

Hanoi, December 2025

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ACRONYMS AND ABBREVIATIONS

ACMA	Adaptive collaborative management approach
ADB	Asian Development Bank
AE	Accredited Entity
ANR	Assisted Natural Regeneration
AP	Affected People (also referred to as Displaced People)
BCC	Biodiversity Conservation Corridor (funded by GEF/ADB)
BMU	German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
BSM	Benefit Sharing Mechanism
BSP	Benefit Sharing Plan
CEMA	Committee for Ethnic Minority Affairs
CERDA	Centre for Research and Development in Upland areas
CF	Carbon Fund
CFM	Community Forest Management
CPC	Commune People's Committee
CPMU	Central Project Management Unit
CSF	Country Safeguards Framework
CSO	Civil Society Organizations
DAE	Department of Agriculture and Environment
DARD	Department of Agriculture and Rural Development (Provincial and District Level)
DOF	Department of Forestry
DONRE	Department of Natural Resources and Environment (Provincial and District Level)
DPC	District People's Committee
EM	Ethnic Minority people
ER	Emission Reduction
ER-P	Emission Reduction Program (area)
ERPA	Emission Reduction Payment Agreement
ESIA	Environmental and Social Impact Assessment

ESMF	Environmental Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Safeguards
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FGRM	Feedback and Grievance Redress Mechanism
FLEGT	Forest Law Enforcement, Governance and Trade
FMB	Forest Management Boards (collectively meaning a PFMB and SUFMB)
FORMIS	Forest Management Information System
FPD	Forest Protection Department
FPIC	Free, Prior and Informed Consent
FREL/FRL	Forest Reference Emission Level/ Forest Emission Level
FSDP	Forest Sector Development Project
GA/GAP	Gender Assessment/Gender Action Plan
GCF	Green Climate Fund
GESC	JICA Guidelines for Environmental and Social Considerations (January 2022)
GRM	Grievance Redress Mechanism
HCV	High conservation value forest
HHs	House holds
IEE	Initial Environmental Examination
IPP	Indigenous Peoples Plan
JICA	Japan International Cooperation Agency
JICA 2	Protection Forests Restoration and Sustainable Management Project
JICA 3	Sustainable Forest Management of Northwest region Project
MAE	Ministry of Agriculture and Environment
MB	Management Board
MBFP	Management Board for Forestry Projects
MOF	Ministry of Finance

MOI	Ministry of Industry
MOLISA	Ministry of Labor, Invalids and Social Affairs
MONRE	Ministry of Natural Resources and Environment
MPI	Ministry of Planning and Investment
NGOs	Non-Governmental Organizations
NRAP	National REDD+ Action Program
NTFP	Non-Timber Forest Products
OP	Operational Policy of the World Bank
PaMs	Policies and Measures
PanNature	People and Nature Reconciliation
PFES	Payment for Forest Environmental Services
PFMB	Protection Forest Management Board
PLR	Policy Laws and Regulations
PPC	Provincial People's Committee
PPMU	Provincial Project Management Unit
PRAP	Provincial REDD Action Plan
REDD+	Countries' efforts to reduce emissions from deforestation and forest degradation, and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks
RPF	Resettlement Policy Framework
SEP	Stakeholder engagement plan
SESA	Strategic Environmental and Social Assessment
SFC	State Forest Company
SIS	Safeguards Information System
SNV	Netherlands Development Organization
Sol	Summary of Information (on REDD+ Safeguards)
SRD	Sustainable Rural Development
SSCO	State Steering Committee office for the Target Program on Sustainable Forest Development for 2016-2020 and REDD+ implementation

STWG	Sub-Technical Working Group
SUF MB	Special Use Forest and Special Use Forest Management Board
UNDP	United Nation Development Program
UNEP	United Nation Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations REDD+ Programme
UoP	Use of Proceeds
USAID	United States Agency for International Development
VFD	Vietnam Forest and Delta Project (funded by USAID)
VNFF	Vietnam Forest Protection and Development Fund
VNFOREST	Vietnam Forestry Administration
VPA	Voluntary Partnership Agreement
VWU	Vietnam Women's Union
WB	World Bank

1.OBJECTIVES OF THE STAKEHOLDER ENGAGEMENT FRAMEWORK

Stakeholder engagement as a basic safeguard for human rights and sustainable development

The basic principle that all people or organization that have an interest, or “stake,” in development activities constitute stakeholders with rights to be respected has been accepted for many years. Stakeholder engagement is not only a basic human right, but moreover an essential element for ensuring the sustainability of development efforts.

The Vietnam and its development partners all have adopted safeguard policies to avoid and mitigate any possible negative impacts of development activities, i.e., to “do no harm,” and also to promote positive impacts, i.e., to “do good.”

Country Safeguards

Vietnam has its own Constitution and policies, laws and regulations concerning the rights of its citizens, guaranteeing equal rights for all ethnic groups¹, women and men. As discussed in the ESA, Viet Nam’s legal framework explicitly recognizes and protects several rights of ethnic minorities including the right of non-discrimination, the recognition and promotion of cultural rights and cultural inheritance of ethnic minorities’ cultural rights (implicitly recognizing a degree of self-determination). Ethnic minorities are recognized as vulnerable groups in Viet Nam and are given special treatments by the government in all development projects. The Constitution affirm their equality, while the existing Law on Cultural Heritage recognizes values and need to protect culture of the people following their wishes

Cancun Safeguards

With respect specifically to forestry and climate change, or the international efforts to Reduce Emissions from Deforestation and forest Degradation (REDD+), the United Nations Framework Convention on Climate Change (UNFCCC) affirmed a set of seven governance, social, and environmental safeguards at its meeting in Cancun, Mexico, in 2010. The fourth safeguard pertains to stakeholder engagement:

¹ It should be noted that within the context of Viet nam the term “ethnic minority” is used rather than Indigenous Peoples as the Government does not recognize any of its ethnic groups as being “Indigenous Peoples”. The Government has, however, in Vietnam the government has developed many policies/programs to support and prioritize the ethnic minorities groups. As such, the term ‘Ethnic Minority’ is consistently used in this document..

Safeguard d) Full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities

Safeguards of the Accredited Entity, JICA

For this Project, the Japan International Cooperation Agency (JICA) will serve as the Accredited Entity (AE) to manage the forthcoming Green Climate Fund grant to the Use of Proceeds project. JICA's own safeguard policies, Guidelines for Environmental and Social Considerations, were updated in 2022.

JICA safeguards build upon the most recent World Bank safeguards, or Environmental and Social Standards (ESS), which were adopted by the World Bank Board in 2016 and became effective for projects starting mid-2018 or later. ESS 10 concerns Stakeholder Engagement and Information Disclosure. Paragraph 18 notes that:

“In certain circumstances,⁷ depending on the level of information available about the project, the SEP will take the format of a framework approach, outlining general principals and a collaborative strategy to identify stakeholders and plan for an engagement process in accordance with this ESS that will be implemented once the location is known.

⁷ For example, where the exact location of the project is not known.”

Green Climate Fund Policies

The Green Climate Fund requires stakeholder engagement plans. In 2014, GCF adopted the International Finance Corporation (IFC)'s Performance Standards as GCF's interim safeguards. The first Performance Standard PS1, on the Assessment and Management of Environmental and Social Risks and Impacts, requires “effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them.” In May 2022, GCF adopted its Sustainability Guidance Note: Designing and ensuring meaningful stakeholder engagement on GCF-financed activities. This document supports other stakeholder requirements found in the GFC's 2021 Revised Environmental and Social Policy, 2019 Updated Gender Policy, and 2018 Indigenous Peoples' Policy.

According to the Guidance Note, stakeholder engagement plans should be “based on the principles of transparency, accountability, inclusiveness, non-discrimination, and “do no harm.” It goes on to state that:

“all stakeholder engagement plans ... should have:

- A detailed process for effective engagement with communities and individuals – including vulnerable and marginalized groups and individuals – who are affected or potentially affected by proposed GCF-funded activities;

- A description of how information will be disclosed; the process by which meaningful consultation and informed participation will occur in a culturally appropriate and gender responsive manner; and, under certain circumstances, the steps that will be taken to obtain the free, prior and informed consent of indigenous peoples; and
- A process for receiving and managing concerns and grievances at the project level that has been designed in consultation with stakeholders in a gender-responsive manner and complements the AE's grievance redress mechanism and GCF's Independent Redress Mechanism."

Documentation for this project – the Environmental and Social Assessment (ESA), the Environmental and Social Management Framework (ESMF), the Gender Assessment (GA), Gender Action Plan (GAP), the Indigenous Peoples Planning Framework (IPPF), and the Funding Proposal (FP) all mention different types of engagement with stakeholders as well as planned activities for information disclosure, dissemination, and communication with stakeholders. Multiple forms of Grievance Redress, both already existing mechanisms in use in Vietnam, and more project-specific Grievance Redress Mechanisms (GRMs) will be discussed and agreed with stakeholders.

Stakeholder Engagement Principles

1. The Project will build upon years of experience, approaches and best practices for stakeholder engagement in the forestry and rural development sector in Vietnam, particular the ERPA in North Central Region funded by WB/FCPF.
2. Stakeholder engagement will be encouraged in all phases of the project, from project design through more detailed planning and implementation, monitoring, adaptive management, and final project close-out and evaluation. It should foster strong project-stakeholder relationships and acceptability at all levels, including at the village level.
3. The project will aim to promote the highest levels of stakeholder engagement in all its activities. Thus, the project will seek not only to inform and consult with stakeholders, but to go further – to collaborate with stakeholders as true partners, involving them in decision-making, monitoring and review, and adaptive management of project activities.
4. The project commits to engaging with stakeholders in culturally appropriate approaches, using language and formats accessible to all stakeholders, and addressing socio-economic barriers where relevant.
5. Transparency regarding the project, with information available, disseminated, and communicated to the general public as well as to specific stakeholder groups.

6. The POM will provide detailed information on grievance redress mechanisms available to stakeholders, both GRMs that are well established in Vietnam framework and also project-specific GRMs. The project will establish any additional culturally-appropriate mechanisms needed for filing complaints and grievances. For example, the project will establish a separate GRM for project staff and collaborators, as well as a confidential, survivor-focused GRM for dealing with any sexual exploitation, abuse, and harassment (SEAH) issues that may arise.

Objective of Stakeholder Engagement Plan (SEP)

The overall objective of this Stakeholder Engagement Plan (SEP) is to define a program for stakeholder engagement, including public information disclosure and consultation, throughout the entire project cycle, and to allocate budgetary and other resources in the project design, project implementation, and Monitoring and Evaluation (M&E) for stakeholder engagement and participation. This SEP is a living document and will be updated throughout the project lifecycle.

2. STAKEHOLDER ENGAGEMENT AND CONSULTATION DURING PROPOSAL PREPARATION

A wide range of stakeholders in the forest sector and REDD+ program (presented in ESA under Annex 2 of FP) in Vietnam, as well as prior experience with the sector and its stakeholders, has informed the design of the Project. For the conceptualization of the project, analysis and experiences that existed in Lao forestry sector were thoroughly consulted.

- An intensive REDD+ stakeholder assessment conducted by the REDD+ Readiness Project. The assessment supported these efforts with stakeholder mapping, a stakeholder engagement plan, and REDD+ communications strategy. This project also undertook a very detailed Strategic Environmental and Social Assessment (SESA, ESMF, GA, GAP, EMPF) for preparation of the National REDD+ Action Program and WB/FCPF Project and these stakeholder engagement events included:
 - Meetings with government representatives from different sectors and different levels;
 - Meetings with development partners, including donors, projects, non-profit associations (civil society) and private sector; and
 - Meetings with villagers .
- In parallel, as discussed in the ESA, experiences related to safeguards from major forestry projects in the past were reviewed in detail.

There are various reasons for engaging a wide range of stakeholders in the project proposal development stage:

- Stakeholder consultation to enhance ownership and improve project design: It is extremely important that national and sub-national stakeholders are involved at an early stage in the design of the project both to encourage and promote country and local ownership of the project, as well as to ensure that the project design is grounded in local realities and takes account of context, knowledge and interests.
- Part of environmental and social and gender assessments: It is necessary when developing a full project proposal to the GCF to conduct ESIA of the project's potential co-benefits and risks. As such, mitigation measures will then be proposed and included in ESIA or separate ESMP (if needed) in addition to GAP in order to maximize co-benefits and avoid, minimize or otherwise mitigate risks. Good practice indicates that stakeholder consultation should be central to the environmental and social assessment. Ultimately, one of the main purposes of stakeholder engagement is to establish and maintain a constructive relationship with a variety of external stakeholders over the life of the project.

For the design of the project, key stakeholders to be involved in the project include:

- Government staff, at national, provincial, district, and local levels, both in the forestry sector and related sectors
- Development partners, including donors, projects, and NGO, CSOs,
- Private sector
- Academic and research institutions
- Local communities (exact ones yet to be determined), and especially their more vulnerable members, including women and ethnic groups.

As such, in a process of the Project development, a number of consultative workshops were organized with different stakeholders at different levels. A total number of 441 participants participated in these meetings (22.9% are women and 20.6 % are ethnic minority people). Detail information is presented in belowed Table 1 and on the news in both central² and provincial levels³. These workshops focused on potential environmental and social impacts of the proposed UoP program and discussed mitigation measures that shall be implemented during the program implementation. Involved participants were from different ministries and NGOs at national level, and from different provinces or communes at regional

² <https://daln.gov.vn/hoi-thao-tham-van-quoc-gia-ve-cac-rui-ro-moi-truong-va-xa-hoi-lien-quan-den-viec-thuc-hien-chuong-trinh-thi-diem-chi-tra-redd-dua-vao-ket-qua-do-guy-khi-hau-xanh-tai-tro.27352.news>
<https://daln.gov.vn/hoi-thao-tham-van-quoc-gia-ve-cac-rui-ro-moi-truong-va-xa-hoi-lien-quan-den-viec-thuc-hien-chuong-trinh-thi-diem-chi-tra-redd-dua-vao-ket-qua-do-guy-khi-hau-xanh-tai-tro.27352.news>

³<https://baogialai.com.vn/hoi-thao-tham-van-cap-co-so-ve-cac-rui-ro-moi-truong-va-xa-hoi-post382718.html>

and local levels. Comments and feedbacks from these workshops were referred for the finalization of this report and recorded in the Annex 1 and Annex 2. While most of comments are similar to what discuss in the draft report, there are some suggestions that have been add to the reports as potential risk with proposed mitigation measures. They include crop's diseases, natural disasters, migration and the COVID- 19. Overall, it was widely agreed that scope of environmental and social impacts was not very significant during the implementation of REDD+ activities and existing policies have addressed adequately potential impacts and proposed feasible mitigation measures (Details described in Annex 1 and Annex 2).

Table 1. Summarizes key findings from these workshops

Workshop	Date	Location	Number of participants
1 st national workshop	27 Oct 2020	Hanoi	44
1 st regional workshop for the Northwest	21 Oct 2020	Dien Bien Phu city, Dien Bien province	42
1 st local workshop for the Northwest	21 Oct 2020	Dien Bien district, Dien Bien province	39
1 st regional workshop for the Northeast	10 Nov 2020	Viet Tri city, Phu Tho province	54
1 st local workshop for the Northeast	9 Nov 2020	Thanh Son district, Phu Tho province	65
2 nd national workshop	14 Jun 2022	Hanoi	61
2 nd regional workshop for the Northwest	1 Jun 2022	Son La city, Son La province	36
2 nd local workshop for the Northwest	2 Jun 2022	Thuan Chau district, Son La province	40
2 nd regional workshop for the Northeast	8 Jun 2022	Lao Cai city, Lao Cai province	36
2 nd local workshop for the Northeast	9 Jun 2022	Bat Xat district, Lao Cai province	24
TOTAL			441

Overall comments and recommendations from the participants were recorded and also incorporated into the project design as followings:

- All participants emphasized the need of the program for future sustainable forest management in their areas.
- Forest mapping and concise boundary identifications are very important for not only management, but also for local communities and will be taken into consideration under the UoP program.
- More detail guidelines and policy adjustment regarding the forest management and accessibility to NTFPs are needed (e.g., a community forest book should include a list of villagers who are permitted to harvest

NTFPs) will be supported by the project during the UoP program implementation.

- Enhancement of village-based forest management is necessary and will be focused during the UoP program.
- High dependency of local community on forest resources (lack of productive land; limited access to non-farm income; poor infrastructure; or cultural practices). As such, the UoP program will explore the livelihood activities to support those are vulnerable and forest dependent households.
- Participation of local people in forest protection is not always effective as expected (due to lack of resources, labor and facilities, complex topography, climate change, etc.).
- Benefit sharing for local people from forest protection shall be based on actual contribution.
- People's awareness about the value of forest protection is not always comprehensive and influenced by short term benefits. The UoP program will address this by the awareness raising program.
- Employment of appropriate communication channels for each particular community will be created.
- Further detail land survey and productive land allocation; where applicable, to assure people have sufficient land for their food security; or alternative livelihood elsewhere will be developed during the UoP program implementation.

3. STAKEHOLDER ENGAGEMENT PROCESS FOR PROJECT IMPLEMENTATION

3.1. KEY STAKEHOLDERS AND ENGAGEMENT STRATEGIES

Public sector

The proposed project is to be executed by the MAE, and there will be a range of primary stakeholders from the public sector at different levels, as indicated in the table below.

Table 2. Public Sector Stakeholders

Stakeholder	Brief Description	Engagement Strategies
National-level Stakeholders		

Stakeholder		Brief Description	Engagement Strategies
1.	Ministry of Agriculture and Environment (MAE)	It is the national ministry responsible for agriculture, forestry, fisheries, rural development, and environment. It will be the EE.	<ul style="list-style-type: none"> MAE and VNFOREST will be consulted at key stages in project proposal development: <ul style="list-style-type: none"> National Inception workshop before starting the UoP program Final consultation workshop In addition, VNFOREST will be kept apprised of the proposal development process with informal meetings and consultations.
1a.	Department of Forestry and Forest Protection (VNFOREST)	It is the national agency responsible for forest protection and development and REDD+. It will be the GoV agency with the greatest interest and closest involvement in the project.	
2.	Ministry of Finance (MoF)	It is the national ministry responsible for state financial management (budget, taxes, other sources of revenue etc.) and socio-economic development planning and investment. It is a very powerful actor.	MoF will be consulted at the national inception workshops.
Subnational-level Stakeholders			
1.	Provincial Peoples' Committees (PPCs)	PPCs are the executive arms of the state at provincial level and are responsible for formulating and implementing policy.	<ul style="list-style-type: none"> PPCs will be consulted at inception workshop before starting the UoP program and during the implementation stage of the UoP program.
2.	Departments of Agriculture and Environment (DAEs)	Under PPCs and MAE, they are responsible for GoV programs related to agriculture, forestry, fisheries, rural development, and	<ul style="list-style-type: none"> They will be consulted at inception workshop before starting the UoP program and during the

Stakeholder		Brief Description	Engagement Strategies
		environment at provincial level.	implementation stage of the UoP program.
2a.	Sub-departments of Forestry and Forest Protection (Sub-DFFPs)	Under the PPCs and VNFOREST, they are responsible for forest protection and development at provincial level.	
2b.	Sub-departments of Plant Production and Protection (Sub-DPPPs)	They are responsible for developing agricultural production at provincial level.	
2c.	Agriculture Extension Centers (AECs)	They support farmers and cooperatives, improving capacities to implement activities.	
2d.	Sub-departments of Land Administration (Sub-DLAs)	They are responsible for land administration and land use planning.	
2e.	Sub-departments of Environmental Protection (Sub-DEPs)	They are responsible for EIAs, environmental protection plans, monitoring, and biodiversity conservation.	
3.	Departments of Finance (DoFs)	Under PPCs and MoF, they are responsible for provincial financial management (budget, financial planning, sources of revenue etc.) and socio-economic development planning and investment at provincial level.	<ul style="list-style-type: none"> They will be consulted at inception workshop before starting the UoP program and during the implementation stage of the UoP program.
4.	Boards of Ethnic Minority Affairs	They are responsible for delivering and monitoring government programs supporting ethnic minority groups and communities.	<ul style="list-style-type: none"> They will be consulted at inception workshop before starting the UoP program and during the implementation stage of the UoP program.

	Stakeholder	Brief Description	Engagement Strategies
5.	Forest Management Boards (FMBs)	They are the state management boards assigned for the management of production, protection, and special-use forests. They are responsible at the site-level forest management activities.	<ul style="list-style-type: none"> They will be consulted at inception workshop before starting the UoP program and during the implementation stage of the UoP program.
6	State Forestry Companies (SFCs)	They are the state-owned forestry companies assigned for the management of production and protection forests. They are responsible at the site-level forest management activities.	<ul style="list-style-type: none"> They will be consulted at inception workshop before starting the UoP program and during the implementation stage of the UoP program.
7	CPCs, communities, forest owners, forest rangers...	They are responsible for field-level land administration, land use planning, and forest management.	<ul style="list-style-type: none"> They will be consulted during the implementation stage of the UoP program.

Local Communities and Ethnic Groups

Local communities are clearly very important stakeholders in the UoP program at the site level. They are directly affected by the project's interventions as well as key entities involved in implementation of activities on the ground. Typically, these stakeholders including non-legal migrants/residents are the most vulnerable to the impacts of climate change and they are also often the stakeholders with least power and influence in decision-making processes related to land use and natural resource management. In particular, there are over 40 different ethnic minority groups residing in the Northwest and the Northeast, and many of them are amongst the poorest and most forest-dependent groups in the country.

In spite of the challenges, it will be extremely important to engage local communities and ethnic groups in the project proposal development process as much as possible. It will not be possible to consult with all affected communities during project proposal preparation. However, it will be required to consult with local communities and ethnic minority communities before starting any project activities in each provinces. The main opportunities for engaging local communities and ethnic groups are as follows:

- Consultations with representatives of local communities including non-legal migrants/residents and ethnic groups during consultation

workshops on project interventions and potential co-benefits and risks with these representatives and civil society.

- Field level consultations at selected sites as part of the ESIA process after the funding proposal accepted by GCF and before the project started. Sites will be selected based on criteria and to attempt to assess impacts across a range of the proposed interventions and in different geographical locations and socio-economic, cultural contexts.
- Consultations during the implementation of the UoP program is crucial, particular for M&E and independent monitoring to comply with the GCF safeguards.

Civil Society Stakeholders and private sector

Vietnam's civil society has a long and complex history and regulatory environment that has produced a sector which is difficult to define, with organizations varying widely in size and organizational structure referred to variously as unions, associations, clubs, funds, institutes, centers, committees, and volunteer groups. However, broadly speaking the table below captures the main constituent categories of civil society organizations (CSOs) in Vietnam, especially highlighting those that are key stakeholders for this project proposal development process.

Table 3. CSO stakeholders and private sector

	Stakeholder	Brief Description, Interest/Role	Engagement Strategies
Mass Organizations			
1.	Fatherland Front	Umbrella group of mass movements in Vietnam aligned with the Communist Party forming part of the Vietnamese government.	It is regulated to be engaged and actively participated d at selected site levels before starting any project activities in each provinces
2.	Farmers' Union	Established at national, provincial, and commune levels. Helps to raise awareness/interest of farmers in models, capacity building for cooperative development.	
3.	Women's Union	Established at national, provincial, and commune levels. Helps to raise awareness/interest of women and build their capacity to develop livelihoods, improve health etc.	
4.	Youth Union	Established at national, provincial, and commune levels. Helps to raise awareness/interest of youth to be engaged in civic life, participate in community development activities.	
Professional Associations			
1.	ISPAE	Scientific and research institute attached to MAE	Could participate in consultation workshops in later stages in the ESIA/ESMP process if required
2.	Universities	Major universities in the regions	
3.	Forest Science Institute of Vietnam	Forest research institute advising on forest sector issues	
Vietnamese NGOs			
1	To be determined (e.g. SRD, PanNature, CERDA and	There are a growing number of VNGOs in Vietnam. There may be a number of competent VNGOs that are either involved in thematic areas relevant to the project (e.g. FLEGT-	VNGOs will be consulted: <ul style="list-style-type: none"> • At the National workshops

	Stakeholder	Brief Description, Interest/Role	Engagement Strategies
	others involved in relevant sectors in three regions)	VPA, REDD+, ethnic minority issues) and/or directly working in the three region on these issues. CERDA is officially an observer organization for the GCF in Vietnam.	<ul style="list-style-type: none"> • Consultation will be done during ESIA after the Funding Proposal accepted by GCF and before the UoP program started • Final consultation workshop
2	To be determined	There are thousands of NGOs in Vietnam based around rural collaboration, livelihoods, faiths, recreational activities, family clans etc. At local levels some of these may be consulted (depending on sites selected)	<ul style="list-style-type: none"> • Consultation with community cooperatives on coffee, NTFPs by team members during the UoP program • Consultation during ESIA at selected field sites after the Funding Proposal accepted by GCF and before the UoP program started
Private sector			
1	Private companies working under the forestry sector	There are thousands of private companies working under the value chain of forestry sector playing the increasing role to promote the sustainability development, particularly in FLEGT/VPA process. At local levels some of these may be consulted (depending on sites selected).	<ul style="list-style-type: none"> • Consultation with private companies during the UoP program

Stakeholder Engagement Strategies/Approaches in Forest sector

The UoP program will have to take different strategies/approaches for stakeholder engagement depending on the forest allocation status and actual forest users. In general, the following are the typologies of forest allocation and actual forest users and corresponding stakeholder engagement strategies/approach.

Table 4. CSO stakeholders and private sector

Forest Allocated to:	Actual Forest Users:	SE Strategy/Approach:
Organization	None	Type 01
Organization	HHs/individuals	Type 02
HHs/individuals	HHs/individuals	Type 03
None (unallocated)	None	Type 01
None (unallocated)	HHs/individuals	Type 02

Type 01

- Sole stakeholder in the AOI is the forest owner as organization such as forest management boards, state forestry companies, private forest companies, etc.
- Stakeholder engagement solely focused on the organization forest owner without a particular consideration for gender and indigenous peoples.

Type 02

- The forest owner is an organization, but all or a part of the forestland is actually used by local people (HHs/individuals) OR the forestland/forest is unallocated, i.e., under the temporary management of commune peoples' committees (CPCs), but all or a part of the forestland is actually used by local people (HHs/individuals)
- In this case, the forest owner or CPCs might, depending on the situation, have to sign a forest protection contract with actual forest users (HHs/individuals) in order to engage them in forest management.

Stakeholder engagement should then focus on both gender and indigenous peoples.

3.2 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE PROCESS DURING THE PROJECT IMPLEMENTATION

Public consultation via mass media namely radio, TV and local loudspeakers ...is also a compulsory process in Vietnam, defined by various existing policies of Vietnam government including the Grassroots Ordinance which was approved in 2013. Full and effective participations of relevant stakeholders including vulnerable groups such as ethnic minority peoples and women are especially emphasized and in aligned with the Cancun Safeguards. This section describes procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements, linked to the use of RBP proceeds.

At the early stage of the UoP program, MAE will organize an inception workshop at national level involving key stakeholders. The inception workshop is crucial to build ownership of the program, results and to formulate the first-year annual work plan. The inception workshop will address several key issues including:

- To assist all partners to fully understand and take ownership of the project
- To discuss about the roles, functions and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms
- To finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks
- To provide a detailed overview of reporting, M&E requirements. The M&E work plan and budget will be agreed and scheduled

Meanwhile, all information related to the UoP program will be disclosed to ensure that project stakeholders have access to relevant information, especially the followings:

- SEP and summary reports of stakeholder consultations
- Social and environmental screening reports with project documentation (45 days prior to approval)
- Draft social and environmental assessments including any draft management plans (45 days prior to finalization)
- Final social and environmental assessments and associated management plans
- Any required social and environmental monitoring reports

Disclosed information must be in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

- Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be consulted to local communities through local workshops with

participations of ethnic minority peoples, women from all project areas before finalization and implementation.

- **Accessible:** Appropriate means of dissemination will need to be considered in consultation with stakeholders taking local conditions into consideration. This could include posting on websites, public meetings, local councils or organizations, newsprint, and radio reporting, flyers, or direct mail.
- **Appropriate form and language:** Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group. Kinh language may be used due to its popularity in Vietnam nationwide, however, the local ethnic minorities languages could be also used if needed.

To mitigate the recognized constraints of time poverty and overloaded duties identified in the GA/GAP, consultation and training activities must be specifically adapted to women's schedules:

- **Timing and Duration:** Consultations and training sessions must be scheduled for periods that minimize conflict with women's peak agricultural or domestic responsibilities. This may mean avoiding peak farming seasons or arranging meetings at times of day when domestic demands (e.g., meal preparation, childcare) are lower. Training events should be organized during off-farm seasons or when farm work is low.
- **Location and Accessibility:** Activities should be conducted in accessible locations, preferably within the community or village, to reduce travel time and costs associated with women's mobility constraints. This is particularly crucial for Ethnic Minority women who may face restricted mobility.
- **Separate Sessions and Facilitation:** Where social norms or cultural barriers limit women's ability to speak in mixed-gender public forums, the project must ensure that separate consultation/meetings with women are organized. These sessions will be facilitated by project staff, ideally by female Gender/Social Specialists or collaborators from the Vietnam Women's Union (VWU), to ensure women feel comfortable sharing their views and concerns.
- **Culturally Appropriate Communication:** Given the issues of illiteracy and language barriers among Ethnic Minority women, information must be disclosed in an appropriate form and language. This includes using simple formats, local Ethnic Minority languages, and visual aids in extension and awareness campaigns. Communication materials must emphasize women's roles and potential contributions.
- **Mandatory Inclusion:** All project planning activities, workshops, and trainings must promote women's participation through a minimum participation target of at least 40% female participation.

To directly address the logistical and financial burdens associated with attending training and consultations, the UoP must take into consideration:

- **Childcare/Domestic Support:** The GAP recognizes that encouraging men to share more domestic works (e.g., household chores) is necessary to free up women's time for project participation. The UoP project should implement awareness campaigns and training programs (e.g., through the VWU) to promote husband's chore sharing with his wife.
- **Travel Support:** The UoP project must address socio-economic barriers and provide practical assistance to facilitate women's mobility for training and consultation events, especially in remote areas where transportation is difficult or unsafe.
- **Targeted Training Content:** Training offered to women must align with their interests and capabilities (e.g., finance, business development, niche products like NTFP or beekeeping). Training should explicitly address the reduction of women's work burden through exploring and promoting labor-saving technologies and mechanization.

To ensure participation is genuinely meaningful—meaning women's feedback directly influences UoP activities—the documentation procedures must be conducted:

- **Systematic Recording:** All consultation records, including those from separate women's sessions, must clearly document female participants' feedback and interventions. This documentation should ensure that concerns related to women's livelihoods, security of tenure, and access to resources are specifically captured.
- **Integration into Planning:** The captured gender-specific feedback and priorities (during the screening procedure) will inform the subsequent preparation and refinement of site-specific Indigenous Peoples Plans (IPPs or EMDP), the Environmental and Social Management Plan (ESMP).
- **Review and Accountability:** mechanisms (e.g., social monitoring by the safeguards team) will be established to regularly review how women's feedback has been integrated into implementation decisions, thus fostering accountability for achieving gender-responsive outcomes.

These activities will have to align with the consultation protocols that strengthen rights of ethnic minority peoples and vulnerable groups such as the poor, women or the handicapped through free, prior and informed consent and consultation. These protocols are designed by experts and consulted with local communities as well as with related organization before finalization.

4. GRIEVANCE REDRESS MECHANISM

Grievance Redress Mechanisms (GRM) in this project will be in line with existing Vietnam Government mechanisms and both national and international

safeguards. The range of options has been reviewed and discussed in the ESA. The Central Project Management Unit (CPMU) will develop a detailed guidelines for GRM which shall be applied in the project.

The developed GRM must first provide detail guidelines for people to raise their grievances in different categories such as land boundaries, access to NTFPs, payment for provided service, etc. It must start with guidelines for addressing general grievances that could potentially occur during stages of EIA, land use planning or project design. Full participant of local communities and full public consultation during these stages must be enhanced for instant grievance, if any. People could address their concern or grievance orally or under written form. Either way, there must be written records for each individual case with detail descriptions of how such grievance is solved.

The developed GRM shall follow the Law on Complaint and Law on Denunciation which were approved by Vietnam National Assembly in 2011 and revised in 2018 respectively. These are legal platforms that provide an accessible, rapid, fair and effective response to concerned stakeholders. However, to assure vulnerable groups who often lack access to formal legal regimes, the Project must provide necessary supports as they will be able to be treated fairly and their complaints may be resolved immediately. This GRM might be revised and updated if necessary, depending on the actual situation of the project. It must be delivered to local communities and other interested stakeholders so as they will fully understand and will be able to raise a grievance/complaint regarding social and environmental issues at all times to local People's Committees for consideration.

The GRM must be gender- and age-inclusive and responsive and address potential access barriers to ethnic minority peoples, women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial and will be readily accessible to all stakeholders at no cost. Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at appropriate places for the information of the key stakeholders.

MAE need to continue cooperation with related stakeholders to update and to monitor the a GRM for this project

The GRM set out in this ESMF encourages mutually acceptable resolution of issues as they arise. It has been designed to:

- Be a legitimate process that assures that stakeholders' concerns will be assessed in a timely, fair and transparent manner;
- Provide adequate assistance for those that may face barriers in raising their concerns;
- Provide clear and concise procedures for each stage of the GRM process; and

- Ensure equitable treatment to all individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances.

The general GRM structure follows the existing system of GRM of the Vietnamese authority starting from the commune level (CPCs), then the provincial level (PPCs), and the Court. Complaints and grievances related to any aspect of the UoP program will be first handled through negotiation aimed at achieving consensus. They should pass through two levels before they are taken to a court of law as a last step. People will be free from any fees for complaints. The three levels include:

- **First level** - At Commune People's Committees (CPCs), people may bring his/her complaint to any member of the CPC, in writing or verbally. It is incumbent upon said member of CPC to notify the CPC about the complaint. The CPC will meet personally with the aggrieved person and will have 15 days following the lodging of the complaint to resolve it. The CPC secretariat is responsible for documenting and keeping file of all complaints awaiting at the CPC for settlement.
- **Second Level** - At the Provincial People's Committees (PPCs), if the aggrieved person does not hear from the CPC, or if s/he is not satisfied with the decision taken on his/her complaint, s/he may bring the case, either in writing or verbally, to any member of the PPC. The PPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The PPC is also responsible for documenting and keeping file of all complaints that it handles.
- **Final Stage** - Court of Law If after 45 days following the lodging of the complaint with the PPC, the aggrieved person does not hear from the PPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law. The judgment of the Court is the final results that the concerned parties have to comply with. In this project, legal judgment may refer to the Law on Complaint 2011, the Law on Biodiversity 2008, Land Laws 2013, the Law on Environmental Protection 2014, or the Forest Law 2017 as legal base for their decision.

Apart from the above existing Vietnam 's GRM, The project will also develop the GRM at project level but not replace existing Vietnam's GRM. There will be a designated officers specialized in charge of safeguard and gender at CPMU. At the provincial level, a designated officers (safeguard and gender Officers) will be included in the PPMU. These designated officers will be also the GRM focal point of the GRM project level. The GRM focal point will be responsible for documenting all grievance received and follow up with agency responsible for grievance resolution. She/he will maintain a database of complaints received

related to the UoP program, which will contain the following information: nature of the complaint, source and date of receiving complaints, name, gender, ethnicity and address of complainant, actions and current status. All written record must be confidentially stored to assure personal privacy will be strictly protected. The project management boards at all levels must cooperate with related stakeholders to provide all necessary supports to people/organization so as they could deliver their complaints/grievance to responsible authorities at no cost, in time and under appropriate manner as defined by existing regulations. The CPMU and Project Management Units (PMUs) in cooperation with PPCs, DAEs, FMBs, and SFCs and will provide the necessary trainings to introduce grievance procedures and strategy for related stakeholders including local communities. All costs associated with the grievance handling process related to settlement of complainant's complaint are covered by the project.

More specifically:

- Project's GRM will be disclosed in public domains (e.g. website of PMU, notice board at commune People's Committee...), and will be provided in hard copy (leaflet) to all community members and people who are interested in the project area. Contact details of PMU are also included in project's GRM and information leaflet.
- Complaint can be lodged in written or verbal⁴, and through different channels, including direct submission (handing), courier, mail, email, and telephone, or through authorized representative. Verbal complaint is acceptable, which is useful to those who have difficulties writing formal complaint letter (the elderly, people with disabilities...). These people are assisted by governmental staff at commune and provincial Peoples' Committee when making verbal complaints.
- Complainant can delegate a representative. People raising a concern/grievance can ask assistance from their family or those whom they trust to transcribe their complaint, and act as their representative to present or submit their complaint.
- Anonymous complaints are accepted through all project channels receiving grievances. Anonymous complaints will be filed and will be processed if sufficient information are provided to allow investigation.
- Complaint will be registered in logbook by parties receiving the complaints. Complaint resolution will be monitored by the parties in charge of complaint resolution. A grievance database will be

⁴ If verbal complaint are made at one-stop shop of Peoples Committee at commune, district, or provincial levels, the personal who receive the complainant at the one-stop shop will guide the complainant to fill in complaint form. If complainant does not know how to write, the person receiving the complainant will help the complainant write down his/her complaints and ask the complainant for their signature or fingerprint to the form completed (Article 8, Law on Complaints 2011).

established and maintained by PPMU (through PPMU GRM focal point).

- Timeframe for grievance resolution is specified for each step/level, including prescriptive period. All grievances will be registered and acknowledged within 10 working days and responded to complainant within (i) 30 working days of receiving the grievance for the first level (45 working days for complicated case or remote area); (ii) 45 working days of receiving the grievance for the second level (60 working days for complicated case or remote area); (iii) 04 months of receiving the grievance for the administrative court.
- A grievance resolution decision will be issued in written and sent to the complainant, and the relevant parties within 3 and 7 working days following the date of issuing decisions for the first and second levels, respectively. Decision of the court is final decision that both defendant and complainant have to execute.
- Affected parties bear no costs associated with the entire complaint resolution process. Costs related to grievances arising as a result of project's impact will be borne by the project.
- Public disclosure of complaint resolution decisions will be made after removing identifying information on complainants to protect their identities.

5. MONITORING AND EVALUATION, REPORTING, AND BUDGET

Monitoring and Evaluation

The project will establish a monitoring and evaluation (M&E) system, which will monitor key indicators on project performance and compliance with the GCF, JICA, and country environmental, social and governance safeguards (policies, laws and regulations).

The project will report data to the National Safeguards Information System (SIS) for REDD+ regarding compliance with the UN Framework Convention on Climate Change (UNFCCC)'s "Cancun safeguards" for REDD+, especially the fourth Cancun safeguard: *Full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities*.

All data on stakeholder participation will be disaggregated by gender and ethnicity, and any other relevant social characteristics.

In addition to quantitative data on project indicators, including assessments of stakeholder perceptions and satisfaction. The project will also seek to incorporate qualitative methods to assess the effectiveness of engagement. Such methods might include, for example, preparation of case studies and lessons learned from project activities with different stakeholder groups.

Reporting

This stakeholder engagement information will be, as necessary, reported to the Green Climate Fund through Annual Performance Reports (APRs). JICA and the Government of Lao PDR will receive semi-annual reports, undertake a mid-term evaluation and terminal evaluation, and prepare a final project report.

Budget

These activities to promote stakeholder engagement in compliance with the safeguard and gender policies are all integrated into other project activities and covered in the budget.

The summary budget estimates for the safeguards and gender management work at the village level are shown in Table 5 below. Other work on stakeholder engagement, safeguards, and gender issues will occur with at the national level and with various different development partners.

It needs to be understood that stakeholder engagement at the village level (primarily Output 2 and 3 activities) will involve working with both ethnic minorities and working with both women and men. Some activities will be done together (with all villagers), whereas others will be done separately (with different

stakeholder groups). The engagement will be highly localized, to respond to the priority issues in the area.

The largest proportion of the overall project budget will go to Output 2 and 3 activities that will be conducted in the field, working in close collaboration with local villagers. Such activities will include, for example, undertaking consultations, work on village boundary demarcation, participatory land use planning, forest management and agreements, promotion deforestation-free agriculture and agroforestry in deforestation and forest degradation hotspots or other needs, and securing FPIC (consent).

Given that the ethnic composition of the prospective project villages is not yet known, it is difficult to estimate the proportion of the budget for SEP that will go to ethnic minority groups. The project will ensure that field teams include members who can speak the local languages. Ethnic groups may vary in their priorities for addressing land and forest issues and their preferences for alternative livelihood activities. The screening process to understand with field visit and consultation should be conducted before any livelihood activities implemented.

The budget will proportionately support engagement and activities with women as well as men. It will work closely with the Women's Union (WU) and the Ministry for Ethnicities and Religions (formerly Committee for Ethnic Minority Affairs-CEMA) in both central and provincial levels.

Table 5. Estimated budget for safeguards (including gender issues in stakeholder engagement at the village level)

Item	Cost
Technical assistance (international and national consultants over 6 years) (Safeguard and Gender Specialist under the CPMU)	
- International Safeguard and Gender Advisor	\$198,000
- Safeguard Specialist	\$216,000
- Gender (Social and Ethnic Minority) Specialist	\$216,000
- Provincial Safeguard and Gender officers in 06 Provinces	\$432,000
SIS operation	\$100,000
M&E consultant 4 months per year	\$72,000
ESMF third party monitoring expected to occur twice in six years	\$140,000
Stakeholder Engagement and Ethnic Groups Workshops	\$100,000
Grievance Redress Mechanism dispute mechanism funding	\$100,000
SG training, including training workshops, provide requirements on the ESMF, SGs (Gender, EM, EPIC, ESMP, SEAH) and monitoring for the six provinces (iterative and over six years)	\$100,000
Other SG research, guidelines, reports (gender, EM, GRM, FPIC, ESMP, EMDP) development	\$250,000
Contingency	\$200,000

Total Implementation Cost of safeguard safeguards (including gender issues in stakeholder engagement at the village level)	\$2,224,000
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ANNEXES

ANNEX 1: MINUTES FROM THE SAFEGUARD CONSULTATIVE WORKSHOPS

I. Background

At its eighteenth meeting, the GCF Board announced the pilot program for REDD+ results-based payments (RBP) through Decision GCF/B.18/23 dated 2 November 2017. In response to the call for proposals by GCF for the REDD+ RBP, Vietnam is in a process of preparing a funding proposal to be submitted to GCF. As a part of the funding proposal, Vietnam is requested by GCF to prepare and submit a set of safeguard related reports in order to show how safeguard requirements have been addressed and respected for the programs in the past (Environmental and Social Assessment report, or ESA report) as well as how the country is going to ensure these requirements will be addressed and respected (Environmental and Social Management Framework, or ESMF) for the use of proceeds. In addition to these two reports, Vietnam is also requested to prepare Gender Assessment (GA) and Gender Action Plan (GAP). In order to prepare these reports, a consultant team is hired to organize a number of consultation workshops at central, regional and local levels.

This minute summarizes key findings from 2 central level meetings at Hanoi: 4 regional meetings and 4 local meetings from two different regions including the northwest and northeast.

II. Objectives of the workshops

In order to gain voices from local people and authorities for the finalization of this ESMF, public consultation meetings were organized through 8 consultative workshops at national level (2 meetings in Hanoi), regional level (2 meetings in each of following regions: Northwest and Northeast), and local level (1 meeting in each of following provinces: Dien Bien, Phu Tho, Lao Cai, and Son La). A total number of 441 participants participated in these meetings (22.9% are women and 20.6 % are ethnic minority people). They were from not only local government and forest management sector, but also women union, ethnic minority affairs and individual forest owners. Participants were provided detail information about the proposed project including project design and more intensively about potential environmental social impacts that the proposed project might bring to. Each meeting last for about three hour and a half. Within this, one hour was for project introduction and safeguard related issues, while the rest was for comments, discussions and questions from participants.

III. General feedback

Overall comments and recommendations from the participants include:

- All participants emphasized the need of the project for future sustainable forest management in their areas.

- Forest mapping and concise boundary identifications are very important for not only management, but also for local communities.
- More detail guidelines and policy adjustment regarding to role taking in forest management or accessibility to NTFPs (ex: community forest book should include a list of villagers so as all villagers could harvest NTFPs).
- Enhancement of village-based forest management is necessary.
- High dependency of local community on forest resources (lack of productive land; limited access to non-farm income; poor infrastructure; or cultural practices).
- Participation of local people in forest protection is not as effective and expected (lack of resources; labor; facilities; or complex topography, climate change, etc.).
- Benefit sharing for local people from forest protection shall be based on actual contribution.
- People's awareness about the value of forest protection is not comprehensive; influenced by short term benefits.
- Employment of appropriate communication channels for each particular communities.
- Further detail land survey and productive land allocation; where applicable, to assure people have sufficient land for their food security; or alternative livelihood elsewhere.

IV. Specific comments from various groups

The following table summarizes key questions and comments from the consultative workshops.

Organizations	Comments/questions	Answer/suggestions
National workshop (in Hanoi)		
Forestry association	Need to identify detail impacts for each province	This depends on detail design of the project in next stage
MONRE	Forest data are not consistent sometimes	MARD and MONRE will make agreement in November
Phu Tho MARD	Cost for the restoration of natural forest is very high, please inform about this cost	This will be decided and shared in next stage once the project is approved
Institute for sustainable forest management and for forest certificate	The protection of Community forest should be assigned to individual households	This is flexible, depending actual situation in each locality
	Crop diseases could be a potential threat when smart agriculture is implemented	Careful selection of new crop varieties, taking use of local knowledge in crop diseases control
Regional workshop for the Northwest Region (in Dien Bien Province)		
Dien Bien DARD	Forest mapping may face disputes between forest owners	Full participation of local people representatives during this process

Organizations	Comments/questions	Answer/suggestions
	and local people because of long history of encroaching and unclear boundaries.	needs to be compulsory with priorities given to women and ethnic minority peoples
Lai Chau DARD	Increased participation of local people in forest protection may lead to illegal logging or overexploitation of non-timber forest product Public consultation is still symbolic at some places and voices of women and ethnic minority people are still weak	Provide necessary forest protection skill training; increase payment for people's service. Separate consultation/meeting with women and ethnic minority people should be compulsory;
Regional workshop for the Northwest Region (in Son La Province)		
Son La DARD	Migration may increase with all young people move to cities or industrial zones. Only the old and the sick stay in the village and this may prevent the implementation of community-based management	Provide supports for local people to seek non-farm income so as more people could sustain their livelihood without outmigration
Lai Chau forest rangers	Forest boundaries are unclear, while forest rangers force are weak with poor instruments	Forest investigation with identification of concrete boundaries is crucial; provide supports to increase staffs for local forest rangers
Local workshop (in Dien Bien District, Dien Bien Province)		
Muong Nha commune	Forest protection where applicable should be handed over to household level. Issue penalty guidelines for each type of forest	There must be negotiation and discussion among forest owners, local authorities and local people Provincial government is responsible for this
Sam Mun commune	Some traditional cultural practices might lead to illegal logging such as housing, cooking or farming	Forest mapping and forest planning should take local cultural into consideration; for instance, reserve sufficient areas for production forest areas; introduce new cooking method to reduce firewood consumption.
Thanh An commune	Satellite forest mapping does not fit actual situation and this creates disputes between forest owners and local peoples	Where dispute arises, it is required to re-investigate with participation of all related stakeholders
Phu Luong commune	Complicated payment procedure for forest protection service may dis-encourage local people's involvement	Local authorities, local people, forest owner and provincial government need to organize meetings to revise existing policies

Organizations	Comments/questions	Answer/suggestions
Muong Pon commune	Poor infrastructure may prevent development of cash crop; harsh climate is challenge for smart agriculture	Support to livelihood development need to be specific to each village or commune taking local conditions into consideration
Regional workshop for the Northeast Region (in Phu Tho Province)		
Lao Cai DARD	It is difficult to develop big timber forest or extend harvest cycle of production forest due to people's high poverty and their high dependence on forest. Involvement of commune authorities in forest protection is weak	Provide loans/skill training for local people to seek alternative income; priorities given to those living near forest with high dependency. Provincial government should regulate and define role of commune level in forest protection
Yen Bai DARD	Development of cash crop such as cinnamon is a big threat to forest development	Limit development of cash crops by imposing a certain rate for each district/commune
Phu Tho DARD	Poverty is the key driver to deforestation; people have to practice illegal logging and farming for their lives	Supports to alternative livelihood development is crucial
Cao Bang DARD	Development of big tree forest is difficult as it needs large investment and will be accepted on barren land only according to existing policy	Follow-up discussion with Cao bang provincial authorities will be organized once the project is approved
Local workshop (in Thanh Son District, Phu Tho Province)		
Agricultural promotion association	Forest boundaries are not clear at some places, and this is obstacle for sustainable forest management	Collaborative forest mapping with participations of all stakeholders is required
Yen Son Commune	Forest encroaching still occurs at some places Enhancement of forest protection will need more budget for involved people	Forest mapping with clear boundaries; call for participation of community-based monitoring system.
Van Mieu commune	Lack of capital will challenge the mission of extending planted forest cycle	Supports for additional income is significant; career skill training shall be an alternative
Kha Cuu commune	Protective forest is allocated to local community without legal decision. This makes people feel they do not have full responsibility.	Ownership Certificate should be provided
Thanh Son forest ranger	Low diversity of forest as there are mainly bushes	Planting indigenous plants is necessary. Local people shall be provided supports to plant different species on these areas

**ANNEX 2. STAKEHOLDER CONSULTATION RECORD
OF WORKSHOP ON ENVIRONMENTAL AND SOCIAL SAFEGUARDS**

I. CENTRAL CONSULTATION WORKSHOP

1.1. General information

Title:	Central consultation workshop on safeguards for the GCF results-based payment
Date:	June 14, 2022
Place:	Hanoi
Participants:	61 people including: Female: 20; Male: 41 persons Kinh: 51; Japanese: 9, English: 1 MARD: 20; other ministries: 2; provinces: 6; NGOs and international organizations: 10; JICA:5; JICA/SNRM2: 7

1.2. Stakeholder Consultation Record

No	Contents
1	<p>Mr. Nguyễn Hữu Dũng from Project SLM-UNREDD Program</p> <p>The proposed project is in line with the current policies and strategy of Vietnam on environmental protection and climate change commitment. In particular, the Decision No 419 on REDD+ Programme cover the period of 2017-2020 and the period 2020-2030 is still yet to identify.</p> <p>The forest conversion should not only be mentioned on the rubber tree, but the forest conversion should also be focused on other land use types of namely macadamia or plantation.</p> <p>The benefit sharing plan should be clearly identified to comply with the international and Vietnam context.</p>
2	<p>Mr. Hoàn from PanNature</p> <p>Currently, some province has expressed interest to participate in the voluntary carbon market like Quang Nam province.</p> <p>The project should update some more new policies of government and MARD.</p>
3	<p>Mr. Nguyễn Việt Hưng from Management Board of Forestry Project</p> <p>The FCPF2 project has complied with the international requirement. This project should be complied with the requirement of GCF. However, some activities should be re-designed when GCF approve the Funding Proposal.</p> <p>It should have the activities in line with the revision of the Decree No 156. The cash flow should be applied the existing PFES payment, with the last ten-year experience and modalities.</p>
4	<p>Ms. Phạm Thanh Hằng, Department of Inspection and Legal, VNFOREST</p> <p>What results based payment? The asset should be returned to the forest owners.</p> <p>With the carbon storage service, Item 3, Article 6 of Forest Law has mentioned on that. We are going to revise the Decree 156 to be in line with the PFES.</p> <p>It should have the policies and measure to asset management and how the payment will be implemented.</p>

No	Contents
5	<p>Ms. Nguyen Thi Hien, CERDA</p> <p>Currently, the owner of 3 million ha forest area is unknown in which 2 million ha of natural forest. The project should have measures to allocate the natural forest.</p> <p>Environmental impact: it should focus on management of herbicides, which have more environmental impact than pesticides--> must have a strict and thorough management policy. For example, the people from commune in Lang Son has been, receiving herbicides from China.</p> <p>Knowledge of ethnic minorities: if people understand the law, they will comply very well.</p> <p>Full and effective participation should be emphasized.</p> <p>Indigenous knowledge: should be supplemented, because people have experience in forest management and protection.</p> <p>It is necessary to clarify who depends on the forest and near the forest: it is necessary to disseminate information and knowledge to them.</p> <p>The approach needs to be cautious. Should reach out to many classes, not just to the leadership class, or not the village head. Cooperative tools should be used. Establishing cooperatives according to new regulations, the participation of ethnic minorities is very sustainable.</p> <p>Smart agriculture: should use organic agriculture, which is more feasible.</p>

2. REGIONAL STAKEHOLDER CONSULTATION WORKSHOP (NORTHWEST)

2.1. General information

Title:	Regional stakeholder consultation workshop for the Northwest
Date:	June 1, 2022
Place:	Sơn La city, Sơn La province
Participants:	36 people including: Female 9; Male 27 Kinh: 31; Thai: 3; Hmong: 1 MARD: 2; provinces: 17; districts: 12; JICA/SNRM2: 5

2.2. Stakeholder Consultation Record

No	Contents
1	<p>Group 1 Environmental Issues</p> <p>CFM→ forest loss→ regulation for forest protection. Enhancement carbon stock→ take advantage to forest exploitation→ develop suitable support. Forest enrichment→ deforestation→ monitoring and provide livelihood for local people. Forest restoration→ forest fire, waste generation, pollution (chemical usage) and deforestation → technical support, suitable planning, controlled forest fire.</p>
2	<p>Group 2 Social Issues</p> <p>Forest demarcation→ land use conflict→ awareness raising; policy support; participatory demarcation in the field. Collaboration forest management→ interest conflict (PFES payment)→ transparency; more meeting with local people. Carbon enhancement→ shortage of land→ impact on livelihood→ livelihood diversification; job training. Forest restoration→ unequally participation among different group on forest protection; discourage people to participate due to not allowed to exploitation forest fire, waste generation, pollution (chemical usage) and deforestation → policy to support the restoration; strengthen the cooperation among different group.</p>
3	<p>Group 3 Social Issues</p> <p>Component 1: Law advocacy and dissemination. Reforestation to compensate for the converted area. Improper amendment of forestry law. Establishment of village forest protection management team. Better implementation of coordination regulations. Promoting the participation of village elders, village chiefs and reputable people\.</p> <p>Component 3:</p>

No	Contents
	<p>Promote smart agriculture, lack of capital, lack of knowledge, science and technology, have policies to support capital; open training courses to improve knowledge and skills.</p> <p>Diversification of livelihoods: Livelihood models are not suitable for the locality</p> <ul style="list-style-type: none"><input type="checkbox"/> Orientation for people to develop livelihoods in accordance with the level of customs, habits and strengths of the local.

3. LOCAL STAKEHOLDER CONSULTATION WORKSHOP (NORTHWEST)

3.1. General information/

Title:	Local stakeholder consultation workshop in one of the provinces in the Northwest
Date:	June 2, 2022
Place:	Thuan Chau town, Thuan Chau district, Son La province
Participants:	40 people including: Female 10; Male: 30 Thai: 17; Hmong: 8; Kinh: 15, Japanese: 01 MARD: 2; province: 1; districts: 13; communes:20; JICA-SNRM: 4

3.2. Stakeholder Consultation Record/Kết quả tham vấn

No	Contents
1	Key Result of Group 1 Environmental Issue Forest protection: infrastructure development may result in forest loss. Large timber plantation: natural forest conversion. Forest restoration: reduce biodiversity → native species development.
2	Key Result of Group 2 on Social Issue Clear boundaries: there may be disputes between forest owners; → determining boundaries in the field. Promoting cooperative management: setting up a forest protection management team. CFM: time consuming and low operating cost additional funding for forest protection and management teams and village conventions. Strengthening carbon stocks → takes time, costs must have supportive policies from the beginning. Rehabilitation of natural forests → costly, requiring high technical skills □ training and allocating funds.
3	Key Result of Group 3 on Social Issue Rural agriculture → large investment capital while limited application of science and technology; difficult consumption market → strengthen linkages to attract investors; strengthen training and technology transfer; development of linkage chains, trade promotion seminars; strengthen leadership; product diversification.

4. REGIONAL STAKEHOLDER CONSULTATION WORKSHOP (NORTHEAST)

4.1. General information

Title:	Regional stakeholder consultation workshop for the Northeast
Date:	June 8, 2022
Place:	Lao Cai city, Lao Cai province
Participants:	36 people including: Female 10; Male 26 Kinh: 35; Japanese: 01 MARD: 4; provinces: 21; districts: 7; JICA/SNRM2: 4

4.2. Stakeholder Consultation Record

No	Contents
1	<p>Key Result of Group 1 Environmental Issues</p> <p>Boundary clarification: will be high risk if no support.</p> <p>Cooperation in natural resource management: the risk is high due to the unclear responsibility and benefit.</p> <p>Community Forest Management: In Cao Bang, the CFM model is still not good, but in Lao Cai is rather good. CFM is quite difficult, because the common responsibility that make difficult to handle when losing forests → sanctions to handle.</p> <p>Forest management at the Management Board: quite good in Lao Cai, the project should provide support to other provinces.</p> <p>Transfer small timber to large timber plantation: should be high risk due to take more than 10-year large timber, quite a long cycle → that resulting in economic difficulties → the project should have policy to support from small to large timber.</p> <p>Natural Generation: would be good for the environment however, this will make difficult to people who need cultivated land.</p> <p>Enrichment of forests: Natural Forest is currently owned by the state, but it is easy to convert and cause deforestation, so this activity should not be used.</p> <p>Planting special-use and protection forests: biodiversity is not equal to natural forests. Lao Cai has cost norm of planting 73 million Vietnamese dong per ha of natural forest but dare not to plant: it is difficult because people do not want to participate. If the protection forests cannot regenerate, we should not plant protective forests.</p>
2	<p>Key Result of Group 2 on Social Issues</p> <p>Protection of existing natural forest: This activity will cause a shortage of high productive land → the project should have subsidized policies for the local communities who are heavily dependent on forest natural resources.</p> <p>CFM activity may raise the conflict over land use → the project should support community on developing the patrol regulations and technical support. It is easy to be encroached in the natural forest.</p>

No	Contents
	<p>This activity may not benefit to the local people given the support rate for forest protection is low.</p> <p>Cycle transformation to large timber plantation: may reduce the income given it will require long time investment → it may have more risk like natural disasters, diseases.</p> <p>Planting special-use forests: causing land shortage, bringing low income, not encouraging. Lao Cai province does not have a policy to benefit from planting natural forest (only benefits when investing, not in protection).</p>
3	<p>Key Result of Group 3 on Social Issues</p> <p>Rural agriculture: requires high knowledge, is not suitable for ethnic minority people, whose intellectual level is not high, production is fragmented and small; fish prices, the output market, natural disasters, extreme climate.</p> <p>We should raise people's awareness; Before production must consult the market to ensure output, strengthen the survey.</p> <p>We need deep processing production.</p>

5. LOCAL STAKEHOLDER CONSULTATION WORKSHOP (NORTHEAST)

5.1. General information

Title:	Local stakeholder consultation workshop in one of the provinces in the Northeast
Date:	June 9, 2022
Place:	Bat Xat town, Bat Xat district, Lao Cai province
Participants:	24 people including: Female 4; Male 20 Kinh: 15; Hmông: 4; Dao: 2; Dáy: 1; Nùng: 1, Japaneses: 1 Province: 1; Districts: 7; communes: 12; JICA/SNRM2: 4

5.2. Stakeholder Consultation Record

No	Contents
1	<p>Key Result of Group 1 Environmental Issues</p> <p>Forest encroaching still occurs at some places in the Bat Xát district. Enhancement of forest protection will need more budget for involved more people.</p> <p>Forest mapping with clear boundaries; call for participation of community-based monitoring system.</p> <p>Clarifying forest boundaries: if not clearly defined, conflicts will arise→strengthening the regulation on forestry.</p> <p>Promote cooperation in forest management: there are 3 large forest owners, Bat Xat Nature Reserve (14,000ha) and 21 CPCs→Building a coordination mechanism between forest owners between FPD and Forest Owners.</p> <p>CFM: Bat Xat has several models of CFM. Community consensus is required if not the forest will be lost→ We need the mechanism to ensure equality and social justice among households and communities→ The project may help to develop village forest protection code (hương ước) that include the regulations (for example 2-3 times/year to collect firewood, dry trees.</p> <p>There is a forest offering ceremony in spring→ it is good to propagating people about the value of forests. In addition, the project should develop livelihood to support people.</p> <p>Sustainable forest management: if there is no close monitoring by FPD, forest owners are easy to convert. Currently, FPD and the Commune People's Committee is monitoring and reporting the forest changes according to Circular 33 due to natural disasters. The FPD has also function of handing the violation of forest owners according to Decree 35. It is good if the project will strengthen this mechanism.</p> <p>Planting large timber trees could be done in Bat Xat.</p> <p>Extending the harvest cycle: FPD has propagated to people for a longer time harvest cycle and to increase income.</p> <p>We should develop the processing facilities to take the large timber in the district.</p>

No	Contents
	<p>In Bat Xat, the RNA area could be: 400ha, Afforestation: 500,000 cinnamon trees, and could develop other medicinal plants: <i>Ligusticum striatum</i> (xuyên khung), cardamom, <i>Amomum longiligulare</i>.</p> <p>We need regulations on coordination between ministries and branches to avoid conflicts. For example, hydropower development, roads can cause landslide risk in the rainy season.</p>
	<p>Key Result of Group 2 on Social Issues</p> <p>Transfer from short to long cycle: may result in low income and make difficult to people. The people may not have enough finance to implement long-term plantation. The period of 8-10 years is too long, people do not have enough money to invest→Currently, there is a model of planting short-term trees intercropping with large trees.</p> <p>ARN: may lead to loss of production land. Because productive land in mountainous areas is limited and economically difficult, there is a survey and research in the area before zoning for farming.</p> <p>Enrichment of poor farmers: natural forest has planted a number of medicinal plants (cardamom...). If we promote plantation, we will clear medicinal plants→ should research, survey and plant suitable trees under the forest canopy.</p> <p>Forests have a great benefit on protecting the living environment→Training to raise awareness of tourism protection.</p>
	<p>Key Result of Group 3 on Social Issues</p> <p>Rural agriculture: requires high knowledge, is not suitable for ethnic minority people, whose intellectual level is not high, production is fragmented and small; fish prices, the output market, natural disasters, extreme climate.</p> <p>We should raise people's awareness; Before production must consult the market to ensure output, strengthen the survey.</p> <p>We need deep processing production.</p>

No.	Full name	Position	Affiliation	Sex	Ethnicity
5.					
JICA HEADQUATER					
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10					
JICA/SNRM2					
11					
12					
13					
14					
15					
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17					
INTERNATIONAL ORGANIZATIONs					
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22					
NGOs					
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25					
26					
27					
OTHERS					
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No.	Full name	Position	Affiliation	Sex	Ethnicity
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PROVINCIAL					
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41					
42					
43					
44					

Regional Consultation Workshop for the Northwest in Sơn La city, Sơn La province

No	Full Name	Position	Affiliation	Sex	Ethnicity
CENTRAL					
MARD					
1					
2					
JICA/SNRM2					
3					
4					
5					
6					
7					
PROVINCIAL					
Điện Biên					
8					
9					
10					
Hoà Bình					
11					
12					
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14					
Sơn La					
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21					
22					
23					
Lai Châu					
24					

No	Full Name	Position	Affiliation	Sex	Ethnicity
DISTRICTS					
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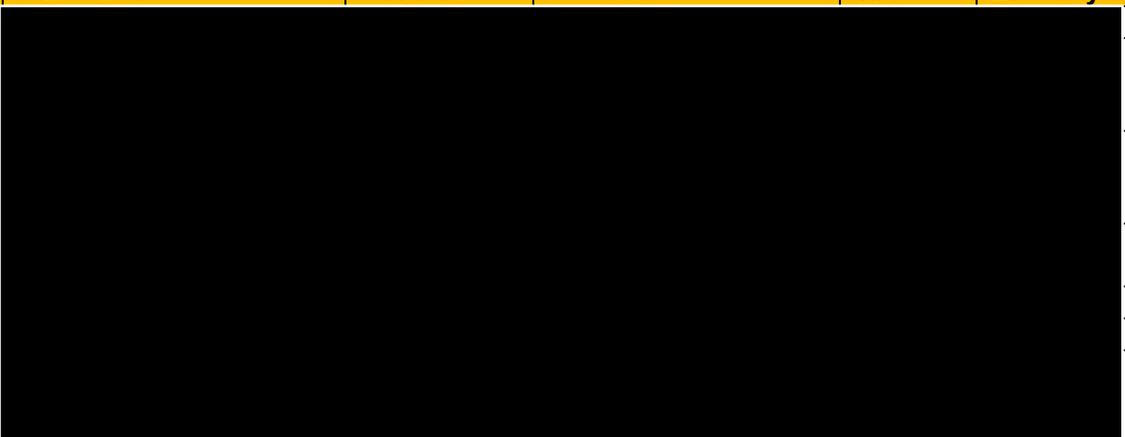
Local Consultation Workshop for the Northwest in Thuan Chau town, Thuan Chau district, Son La province

No	Full Name	Position	Affiliation	Sex	Ethnicity
CENTRAL					
MARD					
	[REDACTED]				
JICA/SNRM2					
	[REDACTED]				
PROVINCIAL					
Son La					
	[REDACTED]				
DISTRICT					
Thuận Châu					
	[REDACTED]				
COMMUNES					
	[REDACTED]				

No	Full Name	Position	Affiliation	Sex	Ethnicity

Regional Consultation Workshop for the Northeast in Lao Cai city, Lao Cai province

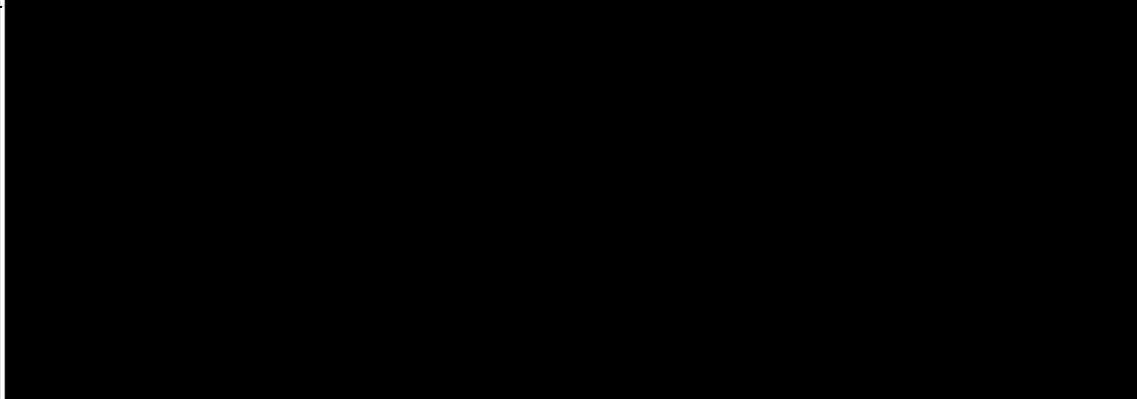
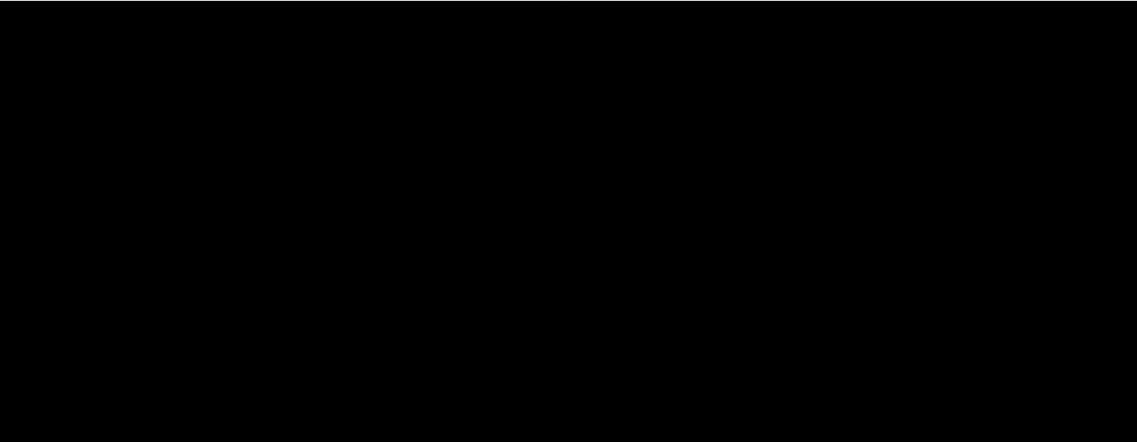
No	Full Name	Position	Affiliation	Sex	Ethnicity
CENTRAL					
MARD					
JICA/SNRM2					
PROVINCIAL					
Lao Cai					
Bắc Kạn					
Cao Bang					
Ha Giang					
Tuyên Quang					
Lạng Sơn					
Thái Nguyên					
Yên Bái					
DISTRICTS					

No	Full Name	Position	Affiliation	Sex	Ethnicity
					

Local Consultation Workshop for the Northeast in Bat Xat town, Bat Xat district, Lao Cai province /

No	Full Name	Position	Affiliation	Sex	Ethnicity
CENTRAL					
JICA/SNRM2					
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4.					
PROVINCIAL					
5.					
DISTRICT					
Bat Xat					
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COMMUNES					
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Annex 2. Pictures during the Consultation

	
Central consultation in Hanoi	Central consultation in Hanoi
	
Central consultation in Hanoi	Central consultation in Hanoi
	
Regional-level stakeholder consultation workshop for the Northwest in Sơn La city, Sơn La province	Regional-level stakeholder consultation workshop for the Northwest in Sơn La city, Sơn La province

<p>Local-level stakeholder consultation workshop for the Northwest in Thuan Chau town, Thuan Chau district, Son La province</p>	<p>Local-level stakeholder consultation workshop for the Northwest in Thuan Chau town, Thuan Chau district, Son La province</p>
<p>Regional-level stakeholder consultation workshop for the Northeast in Lao Cai city, Lao Cai province</p>	<p>Regional-level stakeholder consultation workshop for the Northeast in Lao Cai city, Lao Cai province</p>
<p>Regional-level stakeholder consultation workshop for the Northeast in Bat Xat town, Lao Cai province</p>	

