

DIEN BIEN PROVINCIAL PEOPLE'S COMMITTEE
DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT

DIEN BIEN 2018 PRAP M&E REPORT

Dien Bien, April 2019

TABLE OF CONTENT

Contents

1. Introduction	1
2. Scope of M&E	2
3. Methodology.....	3
4. Results	1
4.1. Result framework	1
4.1.1. Monitoring results	1
4.1.2. Shortcomings and causes	7
4.2. Social and Environmental Benefit-Risk Assessment Framework.....	8
4.2.1. Monitoring results	8
4.2.2. Shortcomings and causes	17
5. Conclusions and recommendations.....	19
5.1. Conclusions	19
5.2. Recommendations	20
ANNEX	22

TABLE LIST

Table 01. Monitoring results of solution package 1 – Results framework.....	1
Table 02. Monitoring result of solution package 2 – Results framework	2
Table 03. Monitoring results of solution package 3 - Results framework	3
Table 04. Monitoring results of solution package 1 – Results framework.....	3
Table 05. Monitoring results of solution package 5 - Results framework	4
Table 06. Monitoring results of province wide cross-cutting solution package (1) - Results framework.....	5
Table 07. Monitoring results of province wide cross-cutting solution package (2) - Results framework.....	6
Bảng 08. Monitoring results of solution package 1- social and environmental benefit-risk assessment framework.....	8
Table 09. Monitoring results of solution package 2- social and environmental benefit-risk assessment framework.....	10
Table 10. Monitoring results of solution package 2- social and environmental benefit-risk assessment framework.....	12
Table 11. Monitoring results of solution package 5- social and environmental benefit-risk assessment framework.....	13
Table 12. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework.....	13
Table 13. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework.....	14
Table 14. Monitoring results of solution package 5 - social and environmental benefit-risk assessment framework.....	15
Table 15. Monitoring results of province-wide cross cutting solution package (2) - social and environmental benefit-risk assessment framework	16
Table 16. Monitoring results of Dien Bien 2018 PRAP solution package implementation	19

FIGURE LIST

Figure 01. Dien Bien PRAP M&E scope map	2
Figure 02. Steps of PRAP M&E.....	3
Figure 03. Data collection for M&E.....	4

ANNEX LIST

Annex 01. PRAP solution packages by target district.....	22
Annex 02. List of target communes for PRAP implementation in Dien Bien province	22
Annex 03. Dien Bien 2018 PRAP Monitoring and Evaluation Framework	23
(Result framework).....	23
Annex 04. Dien Bien 2018 PRAP Monitoring and Evaluation Framework – Social and Environmental risks and benefits assessment framework.....	25
Annex 05. Environmental risk classification by Cancun safeguard.....	26
Annex 06. Social risk classification by Cancun safeguard	26
Annex 07. Criteria for risk classification by district	27

1. Introduction

Implementing the Decision No. 419 of the Prime Minister, with support of the SNRM Project funded by JICA, Dien Bien province have developed its Provincial ERDD+ Action Plan 2017-2020 (toward 2030) (PRAP). The PRAP was approved by the PPC as stated in the Decision No. 732/QĐ-UBND dated August 21, 2017. As mentioned in chapter IV of the PRAP, the province is required to conduct Monitoring and Evaluation (M&E) of the PRAP and report the results to the Steering Committee for Target Program on Sustainable Forest Development. This includes annual monitoring for year 2018 and 2019, and evaluation in 2020.

To monitor the implementation status of PRAP, under the direction of DARD and in cooperation with the related departments/agencies, the Solution Packages defined in the PRAP were monitored based on the two aspects as follows:

1. The implementation process based on result framework (*Details are as in the item 3.1- Result framework*),

2. The implementation based on environmental and social benefits and risk framework (*details are as in the item 3.2 – Social and environmental benefits and risks framework*);

Based on the achievements and shortcomings identified in the PRAP implementation process in year 2018, a set of recommendations are provided to improve the PRAP implementation in year 2019, and toward the achievement of its overall objectives by 2020.

2. Scope of M&E

The scope of Dien Bien PRAP Monitoring 2018 is the 39 communes of Muong Nhe, Nam Po, Muong Cha, Tuan Giao, Muong Ang, Dien Bien Dong, Dien Bien, Muong Lay and Tua Chua District (*details are as in the annex 02*) highlighted in green color in the map below:

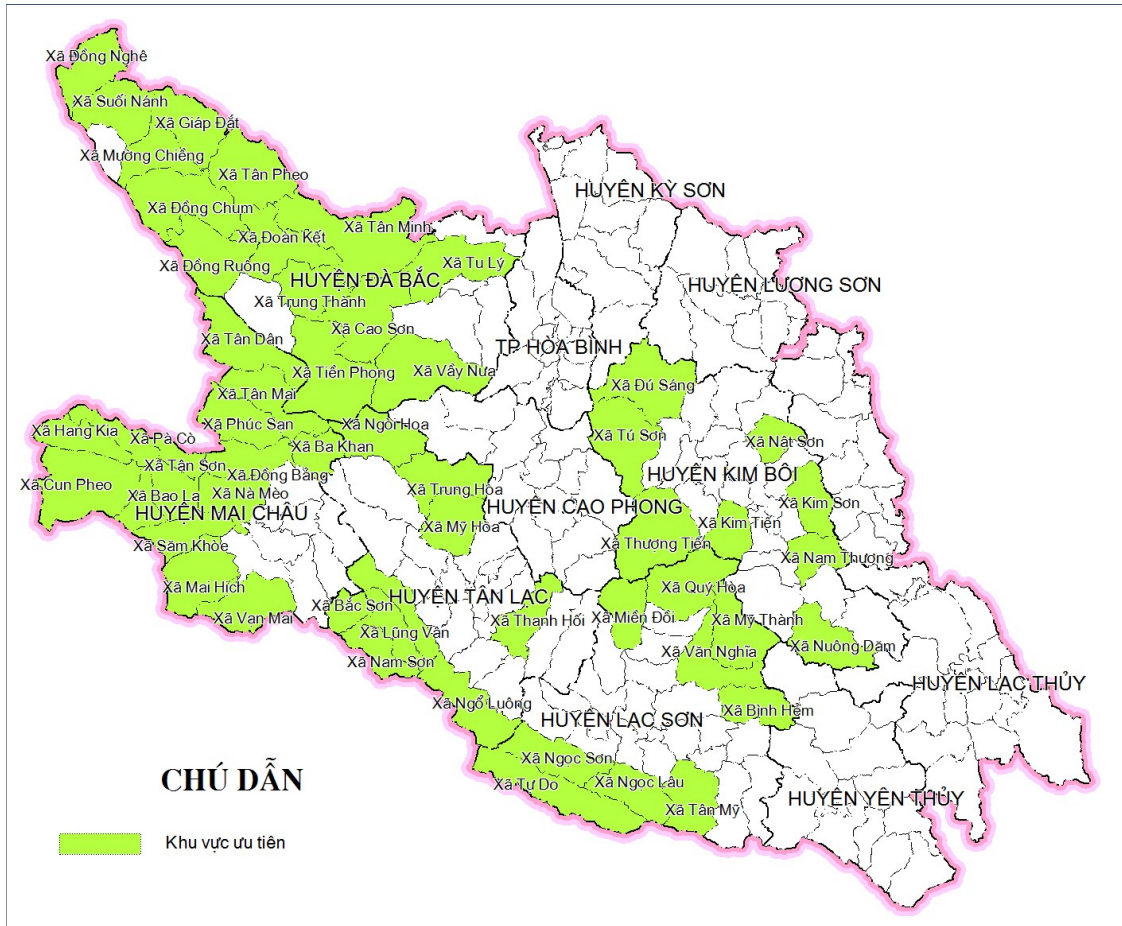


Figure 01. Dien Bien PRAP M&E scope map

3. Methodology

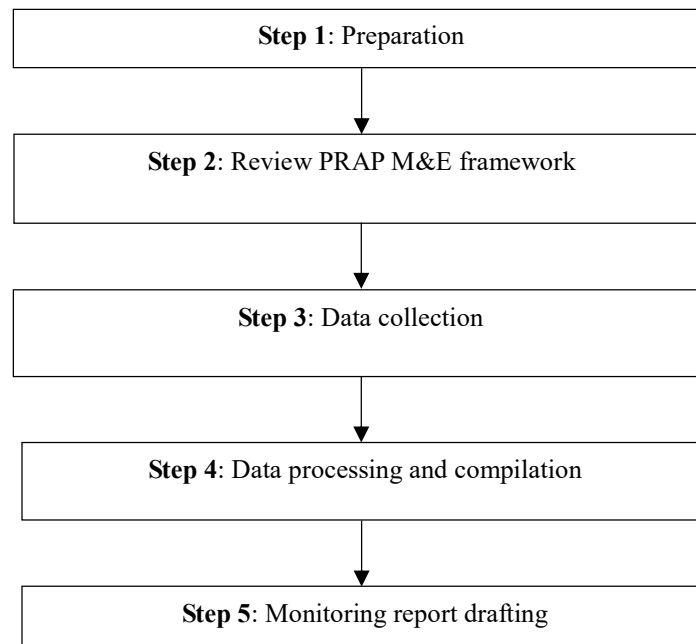


Figure 02. Steps of PRAP M&E

The PRAP M&E process consisted of 5 steps.

Step 1: Preparation

In this step, a PRAP M&E Working Group was established following Decision No. 01/QĐ-SNN issued by DARD on 4th January 2019. Majority of the members of the M&E Working Group were the members of the PRAP Technical Working Group who were involved in the development of PRAP. The report outline was formulated and agreed by the Working Group before deploying further steps.

Step 2: Reviewing content of the M&E framework

In order to ensure feasibility of the M&E work, especially, to which is related to inputs and accurate data collection based on current local conditions, it is necessary to review content of the M&E framework and make suitable changes. This is an important step to ensure that the PRAP monitoring is truly operational, captures the right information for the subsequent analysis, and be able to draw implications for improved implementation of the PRAP. The changes/revisions made need to be tracked.

Regarding the Social and environmental benefits and risks framework, risks are critical issues which may create instant negative impacts to the environment and society where PRAP is being implemented. On the other hand, ‘benefits’ are the long-term impacts which the PRAP wants to enhance and not necessarily suitable to be monitored in the short-term (annually). Considering its nature and importance, social and environmental monitoring of 2018 decided only to focus on the monitoring of the risks. (*Details on the revised SE framework are as in the annex 03*).

Step 3: Data collection.

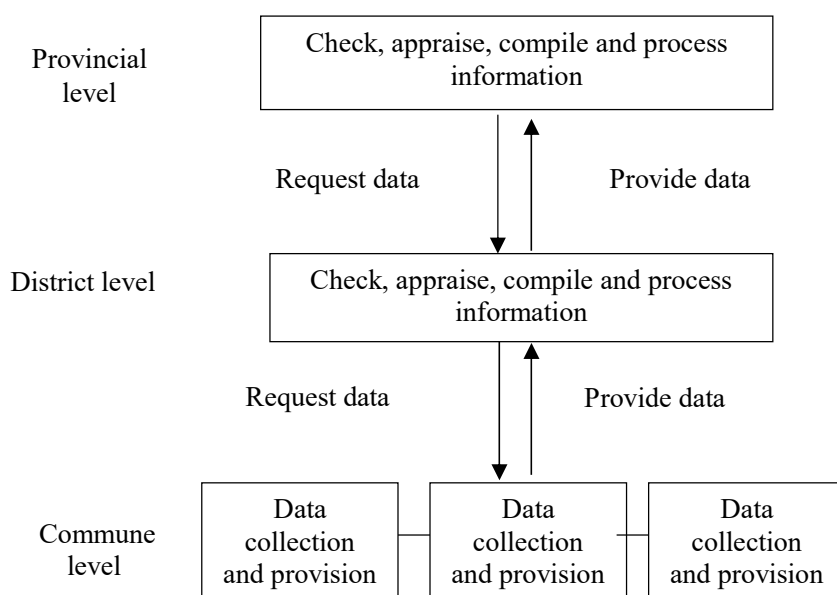


Figure 03. Data collection for M&E

The data were collected based on the revised M&E framework.

Data for the Results Framework were collected by Sub-FPD through the FRMS and related annual reports.

Data for the Environmental and Social Benefits and Risk Assessment Framework were collected by the district FPDs of the target districts (Muong Nhe, Nam Po, Muong Cha, Tuan Giao, Muong Ang, Dien Bien Dong, Dien Bien, Muong Lay, and Tua Chua District) through the local forest rangers assigned. The assigned local forest rangers were trained on data collection methods. Besides, a set of templates were prepared in order to facilitate collection of data by the forest rangers who interviewed the staff of the CPCs of the target communes (e.g. deputy chairman in charge of agriculture and forestry, land management staff and commune police) in consistent manner.

The Working Group was responsible for compiling the data provided by district agencies/departments. In addition, in order to check the quality of the collected data and also to conduct in-depth analysis, the M&E Working Group selected one sample commune/district to perform a field survey. Two criteria were set for the selection of communes subject to the field survey: 1) the pilot commune implementing REDD+ with the support from SNRM project; and, 2) communes which are targeted under the PRAP to implement Solution Packages. The quality of data provided by the district agencies/departments were additionally considered for the selection. In addition, priority were given to the communes where the provided data were insufficient or unsatisfactory. As a result, Pa Khoang and Muong Nha communes in Dien Bien district, Chung Chai commune (Muong Nhe district), Cha Cang commune Nam Po district, Muong Tung commune in Muong Cha district, Pu Si commune in Tuan Giao district, Phinh Giang commune Dien Bien Dong district, Lay Nua commune in Muong Lay district, Muong Dun commune in Tua Chua district, Muong Dang commune in Muong Ang district were selected.

Step 4: Data processing and compiling

The collected data were then processed and compiled.

For the Result framework, the data were cross-checked by the Sub-FPD using the Forest Resource Monitoring System (FRMS) before being compiled and assessed against the baseline of respective indicators.

For the Social and environmental benefits and risks framework, the risks were qualitatively and quantitatively assessed by looking at their potential of occurrence, locations and people to be impacted. Based on provincial characteristics, socio-economic conditions, and the contents of each solution package, the impact were assessed in 3 different levels: low, medium, and high (details are as in the annex 07).

Basically, the impact level thresholds are determined based on analysis of the field survey data of 2018 and the baseline data of 2016 and 2017 provided by sub-FPD. Accordingly, implementation of a solution package is considered as satisfactory in terms of its social and environmental impact if the negative impact was assessed as “low”. Any solution packages which were ranked high and medium in its social and environmental impact is considered as unsatisfactory.

Step 5: M&E report drafting.

The results from Step 4 were used for drafting the Monitoring report. Positive information indicates that whether we are on the right track to achieve PRAP objectives, negative information is used for analysis for recommended interventions. The outline and contents of the report were decided by following the requirements of the province as well as by aligning with international and national REDD+ practices.

4. Results

4.1. Result framework

Monitoring of the solution packages (outcome level) based on the result framework has been carried out in order to assess and ensure that PRAP implementation is on the right track for achieving its objectives. Intervention will be identified (if needed) based on the monitoring results.

Monitoring of the activities (output level) listed under each solution package has been implemented at the commune level to keep the status of REDD+ implementation up to date. These are not the subject of this monitoring report. Pa Khoang in Dien Bien district is the commune where REDD+ activities have been piloted with support from SNRM Project.

4.1.1. Monitoring results

a) Solution package 1: Stop forest clearing for upland cultivation

Baseline data: 235 cases of illegal forest clearing for upland cultivation in 2016.

Result indicator: The average number of cases of forest clearing for cultivation per year decreased by 10% or more during the period 2017-2020

Monitoring duration: 01/01/2018 - 31/12/2018

Data sources: FRMS, violation records of Sub-FPD

Table 01. Monitoring results of solution package 1 – Results framework

District	Number of illegal forest clearing cases	Increase (+)/reduce (-) (%)	Compared to result indicator	
			Satisfactory	Unsatisfactory
Mường Nhé	32			
Nậm Pồ	15			
Mường Chà	20			
Tuần Giáo	0			
Mường Ảng	0			
Điện Biên Đông	19			
Điện Biên	18			
Tủa Chùa	2			
Total	107	- 54	x	

According to Table 01, a total of 107 cases of illegal forest clearing for upland cultivation were recorded in the target areas, reducing by 54% compared to the baseline. Therefore, the implementation of solution package 1 in 2018 has achieved the set result indicator.

The incentive policies effectively encouraged the local people to practice sedentary agricultural production on their lands through promotion of intensive cropping method and introduction of crop varieties with higher productivity and economic value; demand for agricultural lands also reduced as the younger generation moved out from agriculture sector to industrial sector for their job.

b) Solution package 2: Improve quality of forest development (af/reforestation and regeneration)

Baseline data: On average, 41% of the annual forest development target was achieved during the 2010 - 2016 period.

Result indicator: Achieve 80% of targets of forest development during the 2017 – 2020 period

Monitoring duration: 01/01/2018 - 31/12/2018.

Data source: Annual forest development report by provincial DOF

Table 02. Monitoring result of solution package 2 – Results framework

District	Completion rate (%)	Compared to result indicator	
		Satisfactory	Unsatisfactory
Mường Nhé	87		
Mường Chà	68		
Tuần Giáo	95		
Mường Ảng	93		
Điện Biên Đông	89		
Điện Biên	56.5		
TX. Mường Lay			
Tủa Chùa	68.5		
Total	70		x

Note: Mường Lay was not included in the 2018 forest development action plan

According to Table 02, the solution package 2 did not achieve the target defined for 2018 since only 70% of the forest development work was achieved compared to result indicator (80%).

The main cause of the unsatisfactory result is due to lack of available of lands for forest regeneration in 2018, especially, in Muong Cha, Dien Bien, and Tua Chua district.

In fact, although fund for forest regeneration were already allocated, implementation faced lack of land availability. Most of the bare lands with potential for forest regeneration (DT2) were fallow upland fields of ethnic groups. In theory, there are no land use certificates granted to the local people who are using the lands under the management of the local CPCs. However, some of them have been claiming customary land use rights while the local authorities are trying to convince them to return the lands. This remains as an obstacle for forest development in Dien Bien province in the past few years.

c) Solution package 3: Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture development)

Baseline data: The offset planting area achieved 80% of target set for 2010-2016
Result indicator: Complete offset planting on entire area set out for 2017-2020.
Monitoring duration: 01/01/2018 - 31/12/2018.
Data source: Offset planting report of Sub-FPD.

Table 03. Monitoring results of solution package 3 - Results framework

District	Offset planting area - plan (ha)	Offset planting area - actual (ha)	Completion rate (%)	Compared to result indicator	
				Satisfactory	Unsatisfactory
Mường Chà	0	0			
Tuần Giáo	0	0			
Nậm Pồ	6.23	6.23			
Điện Biên Đông	8.87	8.87			
Total	15.1	15.1	100	x	

The solution package 3 was satisfactory as 100% of the forest converted has completed offset planting.

According to Table 03, actually there were no forests conversion to other land use purposes in neither of the four target districts in 2018. Although there were no conversion of forests in the target communes of Nam Po and Dien Bien Dong district, due to land availability, 15.1ha of bare-lands in the two districts were planted in order to offset converted areas in other (non-targeted) communes.

d) Solution package 4: Reduce forest fire

Baseline data: The average number of forest fires over the 2010-2016 period was 35.6 times/year; the average area damaged by forest fire over the 2010-2016 period was 181.7 ha/year.

Result indicator: The annual average number of forest fires and areas damaged reduced by 10% or more over the 2017-2020 period.

Monitoring duration: 01/01/2018 - 31/12/2018.

Data sources: FRMS data and forest fire records of Sub-FPD.

Table 04. Monitoring results of solution package 1 – Results framework

District	Number of forest fire cases				Damaged area (ha)			
	Cases of fire	Increase (+)/reduce (-) compared to baseline	Compared to result indicator		Area (ha)	Increase (+)/reduce (-)	Compared to result indicator	
			Satisfactory	Unsatisfactory			Satisfactory	Unsatisfactory
Mường Nhé	14				2,7			
Nậm Pồ	0				0			
Mường Chà	0				0			
Tuần Giáo	0				0			

District	Number of forest fire cases				Damaged area (ha)			
	Cases of fire	Increase (+)/reduce (-)_ compared to baseline	Compared to result indicator		Area (ha)	Increase (+)/reduce (-)_	Compared to result indicator	
			Satisfactory	Unsatisfactory			Satisfactory	Unsatisfactory
Mường Ảng	1				0			
Điện Biên Đông	0				0			
Điện Biên	2				2			
TX Mường Lay	0				0			
Tủa Chùa	0				0			
Total	17	- 52.2 %	x		4.7	- 97.4%	x	

The solution package 4 achieved the target set for 2018 both in terms of reduction of cases of forest fires (-52.2%) and damaged areas (-97.4%).

According to Table 04, very few forest fires occurred in Dien Bien province in 2018. For example, in Muong Nhe and Dien Bien district forest fires occurred in small scale caused by the negligent use of fire by the farmers when they attempted to slash and burn the fields, or for collecting honey using fire and smoke, and accidentally spread the fires into forest.

e) Solution package 5: Stop illegal and unsustainable timber logging and harvesting of NTFPs

Baseline data: 167 cases of illegal logging in 2016

Result indicator: During 2017-2020, illegal logging reduced by 30% or more.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: FRMS data and violation records of Sub-FPD.

Table 05. Monitoring results of solution package 5 - Results framework

District	Number of cases of illegal logging	Increase (+)/reduce (-)_ compared to baseline	Compared to result indicator (%)	
			Satisfactory	Unsatisfactory
Mường Nhé	0	0		
Tuần Giáo	5	-66.7		
Điện Biên	2	-100		
Tủa Chùa	6	-100		
Total	13	- 92%	x	

According to Table 05, there were 31 cases of illegal harvesting in the target areas which is a reduction by 92% compared to the baseline. Therefore, implementation of the solution package 5 implementation was satisfactory.

The results owe to the local authorities who have effectively implemented the Directive No. 13-CT/TW dated 12 January 2017 of the Central Secretariat and the Notification Letter No. 511/TB-VPCP dated 1 November 2017 of the Office of Government since 2017; forest protection and development has been implemented

effectively to reduce illegal and unsustainable tree harvesting, i.e. forests and forestry lands with a total of 169,737.37 ha (89.6% of forested land) was allocated with land-use certificates as decided in the Plan No. 388/KH-UBND dated 20 March 2013 of Dien Bien PPC on reviewing and enhancing procedures for forest and forestry land allocation for 2013 – 2015; communication activities have been effectively carried out to raise awareness of the local people on forest protection and development; village forest patrolling teams were established and performing effectively; people are changing their mindset and improving their recognition on forest protection and development since they started receiving PFES.

g) Province-wide cross cutting solution package (1): Improvement of the FRMS

Baseline data: 10 district FPDs and 5 Management Boards for protection and special-use forests have been applying advanced 2016 FRMS.

Result indicator: 100% district FPDs and Management Boards for protection and special-use forests will be applying advanced FRMS during 2017-2020.

Monitoring duration: 01/01/2018 - 31/12/2018.

Source of data: Report on forest change monitoring of Sub-FPD.

Table 06. Monitoring results of province wide cross-cutting solution package (1) - Results framework

District	Application of the FRMS (operational / not operational)	Increase (+)/reduce (-) _compared to baseline	Compared to result indicator	
			Satisfactory	Unsatisfactory
Mường Nhé	Operational	+ 100%		
Nậm Pồ	Operational	+ 100%		
Mường Chà	Operational	+ 100%		
Tuần Giáo	Operational	+ 100%		
Mường Ảng	Operational	+ 100%		
Điện Biên Đông	Operational	+ 100%		
Điện Biên	Operational	+ 100%		
TX Mường Lay	Operational	+ 100%		
Tùa Chùa	Operational	+ 100%		
Total	Operational	+ 100%	x	

Currently, every district FPDs, management boards of SUFs and Protection Forests have been using the tablet PCs with FRMS mobile application installed to monitor forest and forest area changes. Thus, in 2018, the province-wide cross cutting solution package (1) has achieved the defined indicator. Dien Bien province is one of the four provinces which is receiving support from SNRM project funded by JICA, on monitoring forest and forest area changes in forestry land. In 2017-2018, SNRM Project collaborated with Sub-FPD to receive 135 tablet PCs and handed them over to the local forest rangers after the trainings.

Monitoring results show that the use of tablets PCs with FRMS mobile application installed for local-level monitoring has been effectively progressing. In 2018, field data recorded by using the tablet PCs and mobile application reached a

total of 2,100 records, accounting for 65% of the total data updated in the FRMS database.

g) Province-wide cross cutting solution package (2): Awareness raising and training on REDD+ implementation

Baseline data: 129 related officials participated in 3 provincial workshops on PRAP development organized in 2016 and 2017, and 1 REDD+ awareness raising workshop organized in Pa Khoang commune.

Result indicator: During period of 2017- 2020, 600 provincial and target districts officials will have attended training courses and workshops on awareness raising on REDD+ and PRAP implementation sharing; 9 REDD+ awareness raising activities carried out in the target district during 2017 - 2020.

Monitoring duration: 01/01/2018 - 31/12/2018;

Source of data: SNRM Project report and other related information.

Table 07. Monitoring results of province wide cross-cutting solution package (2) - Results framework

District	Workshop on REDD +				REDD+ Awareness raising			
	Number of participants	Increase (+)/reduce (-) compared to baseline data	Compared to result indicator		Activity	Increase (+)/reduce (-) compared to baseline	Compared to result indicator	
			Satisfactory	Unsatisfactory			Satisfactory	Unsatisfactory
Mường Nhé	0				1			
Nậm Pồ	0				1			
Mường Chà	0				1			
Tuần Giáo	0				1			
Mường Ảng	0				1			
Điện Biên Đông	0				1			
Điện Biên	9				1			
Mường Lay	0				1			
Tủa Chùa	0				1			
Provincial participants	8							
Total	17				1			

According to Table 07: 17 people participated in REDD+ workshops (reaching 2.8% of the result indicator); only 1 type of awareness raising activity, i.e. forest fire prevention and fighting (reaching 11% of the result indicator), was conducted with a total of 24,422 participants. Thus, the results of the province-wide cross cutting solution package (2) in 2018 were far below the target of the result indicator. This means that significant amount of work is left for the remaining 2 years (REDD+ workshops should be organized for 585 people and 8 different types of REDD+ awareness raising activities should be carried out within the two years). If there will be no improvement in the implementation of this solution package in 2019 and 2020,

likelihood of achieving the indicator by the end of 2020 may not be high. Lack of funding is the main cause of the low progress in its implementation.

Although the indicator of the province-wide cross cutting solution package (2) was set for the entire period and subject to the assessment in 2020, interim result in 2018 was regarded as unsatisfactory.

4.1.2. Shortcomings and causes

a) Shortcomings

- Solution package 2 (*Improve quality of forest development (af/reforestation and regeneration)*): the achieved result (70%) of this solution package was lower than the result indicator (80%).

- Province-wide cross cutting solution package (2) (*Awareness raising and training on REDD+ implementation*): Implementation results in 2018 were unsatisfactory and may lead to failure in achieving the target set for the entire period.

a) Causes

Implementation of the solution package 2 and the province-wide cross cutting solution package (2) were unsatisfactory due to the reasons as already analyzed in section 3.1.1. Those are summarized as below:

- For the solution package 2 (*Improve quality of forest development (af/reforestation and regeneration)*): implementation was unsatisfactory due to ineffective forest regeneration in 2018, particularly because of the lack of land available for forest development and regeneration.

- For province-wide cross cutting solution package (2) (*Awareness raising and training on REDD+ implementation*): Lack of funding to organize workshops and carry out REDD+ awareness raising activities.

Besides, there are reasons that affect the implementation of all solution packages:

- The results of the solution package level largely depended on the degree of implementation of associated activities. In fact, implementation and monitoring of PRAP activities (described as “Component 2: Additional activities” in the PRAP) were carried out in all targeted communes, but the results of other communes were not as good as that of the Pa Khoang commune supported by SNRM project due to the different intensity of implementation.

- Lack of funding is another cause of unsatisfactory implementation. The total budget planned for PRAP implementation (component II) is VND 181,394 million in which the local budget shares the largest proportion with VND 138,860 million (88%), however, allocation from this source remain insufficient so far. In addition, ODA support through JICA 3 Project with a planned budget of VND 15,936 million (9%) has not materialized yet. Dien Bien is a poor Northwest province which relies largely on state budget, therefore, funding for REDD+ implementation is still limited.

- Although the PRAP was approved by Decision 732 / QD-UBND dated August 21, 2017 by the PPC, its implementation still faces a number of difficulties. For example, some localities do not know their role in implementing the PRAP; and many of them still lack good understanding on REDD+ which lead to inefficient coordination among the communes, districts and provincial agencies.

4.2. Social and Environmental Benefit-Risk Assessment Framework

Monitoring against the social and environmental benefit-risk assessment framework was carried in order to ensure the REDD+ safeguards following the principles of the seven Cancun Safeguards are met. The monitoring particularly focused on the risks that have occurred or may occur during the PRAP implementation in order to avoid and mitigate negative impacts to the society and environment. Categorization of the social and environmental risks and the seven Cancun Safeguards are shown in Annex 05 and 06. Criteria for the assessment results (i.e. ‘low’ ‘medium’ ‘high’ impacts) were defined by the PRAP monitoring team of the province as shown in Annex 07.

4.2.1. Monitoring results

a) Solution package 1: Stop forest clearing for upland cultivation.

Social risk: Land and resource use resource use conflicts; equity between the supported and not supported communities; loss of traditional knowledge, culture and livelihoods.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Bảng 08. Monitoring results of solution package 1- social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Impact level
Mường Nhé	Land and resource use resource use conflicts	None	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	5,540 people	
Nậm Pồ	Land and resource use resource use conflicts	11 cases	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	3,859 people	
Mường Chà	Land and resource use resource use conflicts	6 cases	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	1,800 people	
Tuần Giáo	Land and resource use resource use conflicts	None	

District	Risk	Number of affected people/cases	Impact level
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	98 people	
Mường Ảng	Land and resource use conflicts	None	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	None	
Điện Biên Đông	Land and resource use conflicts	None	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	2,380 people	
Điện Biên	Land and resource use conflicts	None	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	4,720 people	
Tủa Chùa	Land and resource use conflicts	None	
	Equity between the supported and not supported communities	None	
	Loss of traditional knowledge, culture and livelihoods	None	
Total	Land and resource use conflicts	17 cases	Low
	Equity between the supported and not supported communities	None	Low
	Loss of traditional knowledge, culture and livelihoods	18,397 people	High

According to Table 08, the risk of "equity between the supported and not supported communities" and "land and resource use conflicts" occurred at a low impact level, while the risk of "loss of traditional knowledge, culture and livelihoods" occurred at a high level of impact in the target areas. Therefore, implementation of the solution package 2 in 2018 was unsatisfactory as it has created certain social concerns.

The risk of "loss of traditional knowledge, culture and livelihoods" mainly occurred in Leng Su Sìn, Chung Chải, Mường Nhé commune of Mường Nhé district, Pa Tần, Chà Cang commune Nậm Pồ district, Mường Nhà, Na Tông, Nà Tấu commune of Dien Bien district where 14,119 people were affected (accounted for 77% of the total affected people). In those communes, local people have been cultivating the lands inherited from their ancestors. Some of those lands had regenerated into forest during fallow period and already re-categorized as lands for protection by the local authorities when the local people returned for next cultivation cycle – then the local people tend to lose traditional livelihoods. However, it should be noted that this is also an issue of land use conflict.

It is suggested that the next monitoring cycle will try to further clarify the impacts arising from this solution package.

b) Solution package 2: Improve quality of forest development (af/reforestation and regeneration)

Environmental risk: Land and resource use conflicts; take advantage of market for plantation wood availability to log natural forests; equity between the supported and not supported communities; marginalization of particular groups

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 09. Monitoring results of solution package 2- social and environmental benefit-risk assessment framework

District	Risk	Number of affected people	Impact level
Mường Nhé	Land and resource use conflicts	5 cases	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	350 people	
	Marginalization of particular groups	2,830 people	
Mường Chà	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	894 people	
Tuần Giáo	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	None	
Mường Ảng	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	75 people	
Điện Biên Đông	Land and resource use conflicts	2 cases	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	1,278 people	
Điện Biên	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability	None	

District	Risk	Number of affected people	Impact level
	to log natural forests		
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	None	
TX. Mường Lay	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability to log natural forests	471 people	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	872 people	
Tủa Chùa	Land and resource use conflicts	None	
	Take advantage of market for plantation wood availability to log natural forests	None	
	Equity between the supported and not supported communities	None	
	Marginalization of particular groups	200 people	
Total	Land and resource use conflicts	7 cases	Low
	Take advantage of market for plantation wood availability to log natural forests	471 people	Low
	Equity between the supported and not supported communities	350 people	Low
	Marginalization of particular groups	6,149 people	High

According to Table 09, in the target areas, the risks of “*land and resource use conflicts*”, “*take advantage of market for plantation wood availability to log natural forests*” and “*equity between the supported and not supported communities*” occurred with low impact level, while the risk of “*marginalization of particular groups*” occurred with high impact level. Therefore, in 2018, the solution package 2 was not satisfactory in terms of managing social concerns.

The risk of “*marginalization of particular groups*” occurred and impacted 6,149 people who graze cattle in forests, mainly in communes such as Sin Thầu, Nậm kè, Leng Su Sìn, Chung Chải, Mường Nhé (all in Mường Nhé district), Mường Tùng, Huổi Mí (all in Mường Chà district), Mường Luân, Luân Giới (all in Điện Biên Đông district) and Lay Nưa, Na Lay, Sông Đă (all in Mường Lay town) with a total of 5,874 people were affected (accounted for 95% of total affected people). Lack of clear planning of cattle grazing fields were identified as the cause. There are overlaps between the land for forest development and for grazing in many areas, and those practicing cattle grazing tend to be marginalized. However, it should be noted that this is also an issue of land use conflict.

It is suggested that the next monitoring cycle will try to further clarify the impacts arising from this solution package.

c) Solution package 2: Improve quality of forest development (afforestation and regeneration)

Environmental risk: Deforestation near the silviculture facility development areas.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 10. Monitoring results of solution package 2- social and environmental benefit-risk assessment framework

District	Risk	Name of silviculture work	Deforested area (ha)	Impact level
Mường Nhé	Deforestation near the silviculture facility development areas	None	0	
Mường Chà	Deforestation near the silviculture facility development areas	None	0	
Tuần Giáo	Deforestation near the silviculture facility development areas	None	0	
Mường Ảng	Deforestation near the silviculture facility development areas	None	0	
Điện Biên Đông	Deforestation near the silviculture facility development areas	None	0	
Điện Biên	Deforestation near the silviculture facility development areas	None	0	
TX. Mường Lay	Deforestation near the silviculture facility development areas	None	0	
Tủa Chùa	Deforestation near the silviculture facility development areas	None	0	
Total	Deforestation near the silviculture facility development areas	None	0	Low

According to Table 10, there were no deforestation related to the silviculture infrastructure development in the target areas observed. Therefore, the solution package 2 has not created serious environmental concerns in 2018.

In fact, there were no silviculture infrastructures newly developed in 2018 which converted forests. A network of forestry roads, forest protection stations, forest guard stations, etc., was built in previous years and there were no signs of serious negative impacts to the surrounding forests: maintenance and repair of such infrastructures did not affect the existing forests.

c) Solution package 3: Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture development)

Social risk: Land and resource use conflicts

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 11. Monitoring results of solution package 5- social and environmental benefit-risk assessment framework

District	Risk	Number of cases	Impact level
Mường Nhé	Land and resource use conflicts	None	
Nậm Pồ	Land and resource use conflicts	None	
Mường Chà	Land and resource use conflicts	None	
Điện Biên Đông	Land and resource use conflicts	None	
Tủa Chùa	Land and resource use conflicts	None	
Total	Land and resource use conflicts	3 cases	Low

According to Table 15, there were 3 cases of “*land and resource use conflicts*”, and the impact is determined at low level. Therefore, the implementation of the solution package 3 has not created any serious social concerns in 2018.

This is understandable since there were no new forest conversions in 2018 for infrastructure development and mining in the target areas while the projects in the previous years generated low social impacts. Following the Directive No. 13-CT / TW by the Secretariat of the Central Committee of the Communist Party dated 12 January 2017, Dien Bien province has actively reviewed all infrastructure projects in the pipeline to mitigate impacts to forest resource.

e) Solution package 4: Reduce forest fire

Social risk: Loss of traditional knowledge, culture and livelihoods; and land and resource use conflicts.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 12. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Impact level
Mường Nhé	Loss of traditional knowledge, culture and livelihoods	2,637 people	
	Land and resource use conflicts.	None	
Nậm Pồ	Loss of traditional knowledge, culture and livelihoods	540 people	
	Land and resource use conflicts.	7 cases	
Mường Chà	Loss of traditional knowledge, culture and livelihoods	172 people	
	Land and resource use conflicts.	None	
Tuần Giáo	Loss of traditional knowledge, culture and livelihoods	1,590 people	
	Land and resource use conflicts.	5 cases	
Mường Ảng	Loss of traditional knowledge, culture and livelihoods	446 people	
	Land and resource use conflicts.	None	
Điện Biên Đông	Loss of traditional knowledge, culture and livelihoods	1,385 people	

District	Risk	Number of affected people/cases	Impact level
	Land and resource use conflicts.	2 cases	
Điện Biên	Loss of traditional knowledge, culture and livelihoods	4,225 people	
	Land and resource use conflicts.	None	
TX. Mường Lay	Loss of traditional knowledge, culture and livelihoods	5,304 people	
	Land and resource use conflicts.	None	
Tủa Chùa	Loss of traditional knowledge, culture and livelihoods	160 people	
	Land and resource use conflicts.	None	
Total	Loss of traditional knowledge, culture and livelihoods	16,459 people	High
	Land and resource use conflicts.	14 cases	Low

According to Table 12, the risk of "equity between the supported and not supported communities" and "land and resource use conflicts" both occurred but with low impact level, while the risk of "loss of traditional knowledge, culture and livelihoods" occurred with high level of impact in the target areas. Therefore, in 2018, implementation of the solution package 4 was unsatisfactory in terms of affecting people in their traditional knowledge, culture and livelihoods to 16,495 people. The risk of "Loss of traditional knowledge, culture and livelihoods" impacted mostly Mông and Thái ethnic groups mainly in communes such as Chung Chải, Mường Nhé, Nậm Kè (Mường Nhé district), Pa Tần, Cha Cang, Chà Nưa (Nậm Pồ district), Phình Sáng, Ta Ma, Tỏa Tinh, Pú Xi (Tuần Giáo district), Nà Tầu, Nà Nhạn, Na Tông, Mường Nhà (Điện Biên district), Lay Nưa (Mường Lay town), Mường Tùng, Hứa Ngải, Mường Mươn, Huổi Mí (Mường Chà district), Kem Lôm, Phình Giàng (Điện Biên Đông district), Mường Đẳng Ngồi Cáy, Ảng Tở (Mường Ảng district) and Mường Đun, Tủa Thàng (Tủa Chùa district) affecting 16,459 people (accounts for 92% of total affected people). Their traditional livelihoods depend on using fire, for example, honey collection using fire and smoke, and slash and burn practice in the upland fields, etc. Limiting their use of fire have created certain impacts to their livelihoods.

e) Solution package 4: Reduce forest fires

Environmental risk: Create flammable material that is potential for forest fire

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 13. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework

District	Risk	Area (ha)	Impact level
Mường Nhé	Create flammable material that is potential for forest fire	3	
Nậm Pồ	Create flammable material that is potential for forest fire	0	
Mường Chà	Create flammable material that is potential for forest fire	29	

District	Risk	Area (ha)	Impact level
Tuần Giáo	Create flammable material that is potential for forest fire	0	
Mường Ảng	Create flammable material that is potential for forest fire	47	
Điện Biên Đông	Create flammable material that is potential for forest fire	1	
Điện Biên	Create flammable material that is potential for forest fire	0	
TX. Mường Lay	Create flammable material that is potential for forest fire	26	
Tủa Chùa	Create flammable material that is potential for forest fire	0	
Total	Create flammable material that is potential for forest fire	106	Low

According to Table 13, the risk of creating flammable material as a potential for forest fire was observed in 5 out of 9 target districts, threatening a total area of 106 ha and determined as medium in its impact level. Therefore, the implementation of solution package 3 was unsatisfactory in terms of managing environmental concerns.

The most concerned hotspot is the forests in Ang To commune, Muong Ang district (accounting for 44% of the total forest area high fire risk). Flammable materials (e.g. dry branches and leaves) were accumulating under pine forest canopies (10 years old) which are often prone to fires.

In addition, some forest areas with thick forest floor biomass (e.g. dry branches and leaves) located far from residential areas, but close to cultivation fields are also at high forest fire risks, as fires being used by farmers for slashing and burning upland fields can easily spread into forests: for example, 29 ha of forests in Muong Tung commune, Muong Cha district.

f) Solution package 5: Reduce unsustainable use of forest resources

Social risk: Land and resource use conflicts; and loss of traditional knowledge, culture and livelihoods.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 14. Monitoring results of solution package 5 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Impact level
Mường Nhé	Land and resource use conflicts	4 cases	
	Loss of traditional knowledge, culture and livelihoods	5,490 people	
Tuần Giáo	Land and resource use conflicts	1 case	
	Loss of traditional knowledge, culture and livelihoods	2,117 people	
Điện Biên	Land and resource use conflicts	None	
	Loss of traditional knowledge, culture and livelihoods	4,120 people	

District	Risk	Number of affected people/cases	Impact level
Tủa Chùa	Land and resource use conflicts	None	
	Loss of traditional knowledge, culture and livelihoods	3,800 people	
Total	Land and resource use conflicts	5 cases	Low
	Loss of traditional knowledge, culture and livelihoods	15,617 people	High

According to Table 14, the risk of "land and resource use conflicts" occurred at low impact level, while the risk of "loss of traditional knowledge, culture and livelihoods" occurred at high level of social impact in the target areas.

Monitoring results show that the risk of "loss of traditional knowledge, culture and livelihoods" occurred and affected 15,617 people, mainly the ethnic groups living around the forests in Chung Chải, Mường Nhé, Nậm Kè (*Mường Nhé district*), Nà Tấu, Nà Nhạn, Na Tông, Mường Nhà (*Điện Biên district*), Mường Đun, Tủa Thành (*Tủa Chùa district*), and Phình Sáng, Ta Ma, Tỏa Tình, Pú Xi (*Tuần Giáo district*). These groups have long tradition associated with forests and forest products, such as using wood for build houses and cooking. In addition, they harvest forest products, such as honey, bamboo shoots and medicinal herbs to serve their needs. However, harmonization of forest protection and preservation of tradition, culture, and livelihoods of the local people have not been sufficiently paid attention.

f) Province-wide cross cutting solution package (2)

Social risk: People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.

Monitoring duration: 01/01/2018 – 31/12/2018.

Data source: Field data collected at target areas by the district FPDs.

Table 15. Monitoring results of province-wide cross cutting solution package (2) - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people	Impact levels
Mường Nhé	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Nậm Pồ	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Mường Chà	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Tuần Giáo	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Mường Ảng	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	

District	Risk	Number of affected people	Impact levels
Điện Biên Đông	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Điện Biên	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
TX. Mường Lay	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Tủa Chùa	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	
Total	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	0	Low

According to Table 16, concerned misunderstandings about REDD+ were not observed during the course of implementation of the solution package 7 in the target areas in 2018. In fact, REDD + is still a new concept to the local people, thus they do not have specific expectations. Therefore, impact assessment in 2018 should be regarded as a reference only, and there would be more adequate analysis in the following years (2019, 2020) when people have enhanced the understanding about REDD+. While REDD+ should be careful on creating unsuitable expectation among the local communities, this also implies the shortage of communication/awareness raising activities.

4.2.2. Shortcomings and causes

a) Shortcomings

- Solution package 1 (*Stop forest clearing for upland cultivation*): Implementation of the solution package 1 in 2018 was unsatisfactory since the risk of “loss of traditional knowledge, culture and livelihood” has occurred with high impact level.

- Solution package 2 (*Improve quality of forest development (af/reforestation and regeneration)*): Implementation of the solution package 2 in 2018 was unsatisfactory since the risk of “marginalization of particular groups” has occurred with high impact level.

- Solution package 4 (*Reduce forest fire*): Implementation of the solution package 4 in 2018 was unsatisfactory since the risk of “loss of traditional knowledge, culture and livelihood” and the risk of “creating flammable material that is potential for forest fire” have occurred with high impact level.

- Solution package 5 (*Stop illegal and unsustainable timber logging and harvesting of NTFPs*): Implementation of the solution package 5 in 2018 was unsatisfactory since the risk of “loss of traditional knowledge” has occurred with medium impact level.

b) Causes

The causes leading to the shortcomings of solution packages are already analyzed in part 4.2.1 and as summarized below:

- Solution package 1 (*Stop forest clearing for upland cultivation*): social concerns related to shifting cultivation practices were observed when the farmers returned to their fallow lands in the upland areas which have already regenerated into forests and thereby zoned for protection by the local authorities.

- Solution package 2 (*Improve quality of forest development (af/reforestation and regeneration)*): lack of clear planning of cattle grazing fields were identified as the cause. There are overlaps between the land for forest development and for grazing in many areas: people practicing cattle grazing tended to be marginalized.

- Solution package 4 (*Reduce forest fire*):

- + Controlling the use of fire in/near forest areas affects traditional livelihoods of the local people since they need to burn vegetation to prepare upland fields for agriculture, and use fire and smoke to collect honey.

- + Controlling of forest fires in return promoted accumulation of flammable material under pine forest canopies, for example in Ang To commune, Muong Ang district. Moreover, some forest areas with thick forest floor biomass (e.g. dry branches and leaves) located far from residential areas, but close to cultivation fields are also at high forest fire risks as fires can spread into forest, such as in Muong Tung commune, Muong Cha district.

- Solution package 5 (*Stop illegal and unsustainable timber logging and harvesting of NTFPs*): controlling wood collection and enforcing hard measures to stop illegal forest use have created impacts to the local people's traditional practices, such as using wood for building houses and cooking. The local authorities have not yet paid due attention to harmonize forest protection and preservation of tradition, culture and knowledge of the local people.

Besides, there are general drivers that cause the unsatisfactory implementation of the solution packages as follows:

- In order to mitigate the negative impact, implementation of mitigation measures in a timely manner is critical. However, mitigation measures were often not implemented except for the cases where such measures are already incorporated in the PRAP activities. As a result, impact tend to increase. Although the SNRM project provided financial support for monitoring PRAP implementation, fund sources for implementation of mitigation measures are not clearly identified.

- Despite the active involvement of the authorities in the target districts, data collection for social & environmental impact assessment was relatively new task for them, thus requires more time to learn and comprehend. This may have partly affected the quality of the collected information, thereby affecting the accuracy of impact assessment.

5. Conclusions and recommendations

5.1. Conclusions

Implementation of solution packages are assessed as successful when the targets are met, through achievement of the indicators of the result framework, and by ensuring that the social and environmental impact related to the seven Cancun safeguards are sufficiently managed as ‘none’ or ‘low’.

Table 16. Monitoring results of Dien Bien 2018 PRAP solution package implementation

S: Satisfactory US: Unsatisfactory

No	Solution package	Result		Social & environmental impact		Overall assessment	
		S	US	S	US	S	US
1	Stop forest clearing for upland cultivation	x			x		x
2	Improve quality of forest development (af/reforestation and regeneration)		x		x		x
3	Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture development)	x		x		x	
4	Reduce forest fire	x			x		x
5	Stop illegal and unsustainable timber logging and harvesting of NTFPs	x			x		x
6	Province-wide cross-cutting solution package						
6.1	<i>Improve Forest Resource Monitoring System (FRMS)</i>	x				x	
6.2	<i>REDD+ awareness raising and capacity building</i>	x			x	x	

According to Table 16, results of PRAP implementation in Dien Bien province in 2018 can be concluded as follows:

- Solution package 3, and the province-wide cross cutting solution package (1) were satisfactory in its implementation with no serious social and environmental concerns been created.

- Implementation of the solution package 2 was unsatisfactory. It has created no serious environmental concerns, however high level of impact to the society was observed.

- The solution package 1, 4, and 5 were unsatisfactory in their implementation. It achieved the result indicators but have generated serious social and environmental concerns.

- The progress of the province-wide cross cutting solution package (2) seemed below expectation. Although the result indicators are set for the entire period, the slow progress may lead to failure in achieving the target.

5.2. Recommendations

As a result of the monitoring of PRAP implementation in 2018, a list of recommendations are derived in order to promote achievement of the outcomes and address the shortcomings during the implementation of the PRAP in the following years:

- Solution package 2:

+ In order to achieve the target of forest development and regeneration, adequate resource allocation and designing of achievable targets based on the capacity of each locality are necessary. On the other hand, it is important to encourage people to actively participate in regenerating their lands into forests, along with Decision No. 45/QD/UBND dated 24 December 2018 by the PPC which supports agriculture and forestry production. This policy will subsidize 2.5 million VND/ha/year for a 6-year period to the local people who agreed to undertake forest regeneration.

+ There were 6,149 people being affected on their cattle grazing practices due to the implementation of this solution package. There are several countermeasures being suggested, such as: support applying caged farming combined with fodder grass cultivation instead of free grazing; re-zone areas for cattle grazing, forest development and other purposes in order to avoid overlaps in land-use; and monitor the community's compliance with forest protection regulations.

- Solution package 1, 4, and 5:

+ In order to mitigate negative impacts on the traditional culture, knowledge and livelihoods of the people as commonly seen in the three solution packages, it is necessary to continue promoting replication of good practices of REDD+ implementation in Pa Khoang commune, Dien Bien district and other areas such as provision of fuel-saving cooking stoves, biogas plant construction, and bee keeping.

+ In order to mitigate impact of creating flammable material which increases the risks of forest fires (solution package 4), it is important to pay due attention to the forest fire hotspot areas, and clear flammable materials in forests, particularly in areas close to the upland fields used by the local people.

- Province-wide cross cutting solution package (2): It is essential to mobilize fund for the implementation of this solution package and mainstream into the annual communication activity on fire prevention and fighting by the Sub-FPD in order to save cost and time.

Apart from the recommendations to specific solution packages, general recommendations are derived as follows:

- Along with further refinement and operationalization of social and environmental impact monitoring, Feedback Grievance Redress Mechanism (FGRM: a mechanism to accept, assess, and resolve stakeholder feedback or complaints related to the implementation of REDD+) needs to be put into practice, building on existing institutions, regulatory frameworks, mechanisms and capacity. This shall promote the role of local communities, transparency and safeguarding the people's rights when implementing REDD+. However, further elaboration of the principles at the national level is required for the provincial level to operationalize FGRM in their own province.

- For PRAP monitoring in 2019 and the following years, it is important to organize trainings for staff in district-level agencies and FPD in order to improve efficiency and effectiveness of the information to be collected - especially the information related to social impact monitoring.

- Finally, the financial and technical support of the SNRM project for implementing PRAP monitoring is critical and should be considered for the following years.

ANNEX

Annex 01. PRAP solution packages by target district

No.	Solution package	District								
		Mường Nhé	Nậm Pồ	Mường Chà	Tuần Giáo	Mường Ảng	Điện Biên Đông	Điện Biên	Mường Lay	Tủa Chùa
1	Stop forest clearing for upland cultivation	x	x	x	x	x	x	x		x
2	Improve quality of forest development (af/reforestation and regeneration)	x		x	x	x	x	x	x	x
3	Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture)	x	x	x			x			x
4	Reduce forest fire	x	x	x	x	x	x	x	x	x
5	Stop illegal and unsustainable timber logging and harvesting of NTFPs	x			x			x		x
6	Province-wide cross-cutting solution package	x	x	x	x	x	x	x	x	x

Annex 02. List of target communes for PRAP implementation in Dien Bien province

No.	District	Commune	Selection criteria		
			Reduce deforestation	Reduce forest degradation	Enhance forest carbon stock
1	Mường Nhé (5 communes)	Sín Thầu			x
2		Leng Su Sìn	x	x	x
3		Chung Chải	x	x	x
4		Mường Nhé	x	x	x
5		Nậm Kè			x
6	Nậm Pồ (5 communes)	Pa Tần	x		
7		Chà Cang	x		
8		Chà Nưa	x		

No.	District	Commune	Selection criteria		
			Reduce deforestation	Reduce forest degradation	Enhance forest carbon stock
9		Nâm Khăn	x	x	
10		Chà Tờ	x	x	
11		Mường Tùng	x		x
12		Hừa Ngài	x	x	
13	Mường Chà (4 communes)	Huổi Mí	x		
14		Mường Mươn	x		x
15		Phình Sáng	x	x	x
16		Ta Ma	x	x	x
17	Tuần Giáo (5 communes)	Tỏa Tinh	x	x	x
18		Pú Xi	x	x	x
19		Tênh Phong	x		
20		Mường Đăng	x		x
21	Mường Ảng (3 communes)	Ngồi Cáy	x		
22		Ảng Tở	x		x
23		Mường Luân			x
24	Điện Biên Đông (4 communes)	Keo Lôm	x		
25		Luân Giới			x
26		Phình Giàng	x		
27		Mường Phăng		x	
28	Điện Biên (7 communes)	Pá Khoang		x	
29		Nà Tấu	x	x	
30		Nà Nhan	x		x
31		Na Tông	x		x
32		Mường Nhà	x	x	x
33		Phu Luông	x		x
34		Mường Lay (3 communes)	Lay Nưa	x	
35	Phường Sông Đà				x
36	Phường Na Lay				x
37	Tủa Chùa (3 communes)	Mường Đụn	x	x	x
38		Xá Nhè		x	x
39		Tủa Thàng	x	x	
Total	9 districts	39 communes	30	17	24

Annex 03. Dien Bien 2018 PRAP Monitoring and Evaluation Framework

(Result framework)

No.	Solution package/activity	Baseline data	Result indicator	Input	Source	Duration
1	Stop forest clearing for upland cultivation	235 cases of illegal forest clearing for upland cultivation in 2016.	The average number of cases of forest clearing for cultivation per year decreased by 10% or more during the period 2017-2020	Number of forest clearing for upland field cases	FRMS, and violation records	1/1/2018 – 31/12/2018

No.	Solution package/activity	Baseline data	Result indicator	Input	Source	Duration
2	Improve quality of forest development (af/reforestation and regeneration)	On average, 41% of the annual forest development target was achieved during the 2010 - 2016 period.	Achieve 80% of targets of forest development during the 2017 – 2020 period	Completion rate (%) in 2018	Annual forest development report by provincial DOF	1/1/2018 – 31/12/2018
3	Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture development)	80% of offset planting target achieved during 2010-2016 period	100% of offset planting target will have been achieved during 2017-2020 period	Offset planting area in 2018 Offset planted area in 2018	Report on offset planting of the Sub-FPD	1/1/2018 – 31/12/2018
4	Reduce forest fire	Average forest fires happened during 2010-2016 was 35.6 times/year Average burned forest area during 2010-2016 was 181.7/year	Forest fire cases/areas reduced at least by 10% during 2017-2020	Number of forest fires in 2018 Burned forest area in 2018	FRMS, and records of Sub-FPD	1/1/2018 – 31/12/2018
5	Stop illegal and unsustainable timber logging and harvesting of NTFPs	167 illegal forest loggings in 2016	Illegal forest logging cases reduced at least by 30% during 2017-2020	Number of illegal forest logging in 2018	Violation record of sub-FPD	1/1/2018 – 31/12/2018
6	Province-wide cross-cutting solution package	NA	NA	NA	NA	NA
6.1	Improve Forest Resource Monitoring System (FRMS)	10 FPU and 5 Forest Management Boards are applying the improved FRMS in 2016.	During 2017-2020, the FRMS will have been applied in all target districts of the Province	FPU and 5 Forest Management Boards adopt the FRMS	2018 forest change monitoring report of Sub-FPD.	1/1/2018 – 31/12/2018
6.2	REDD+ awareness raising and capacity building	129 related officials participated in 3 provincial workshops on PRAP development organized in 2016 and 2017.	During 2017 - 2020, 600 provincial and target districts officials will have attended training courses and workshops on awareness raising on climate change and REDD +	Number of participants attending REDD+ and CC workshops.	: SNRM Project report and other related information	1/1/2018 – 31/12/2018

No.	Solution package/activity	Baseline data	Result indicator	Input	Source	Duration
		1 REDD+ awareness raising activity carried out in Pa Khoang commune	9 awareness raising activities will have been carried out in the target districts during the period of 2017 – 2020.	Volume of awareness raising work performed in the target districts		1/1/2018 – 31/12/2018

Annex 04. Dien Bien 2018 PRAP Monitoring and Evaluation Framework – Social and Environmental risks and benefits assessment framework

No.	Solution Packages	Risk	Input data	Data source	Duration
1	Stop forest clearing for upland cultivation	(1). Land and resource-use conflicts (2). Equity between the supported and not supported communities (3). Loss of traditional knowledge, culture and livelihood	(1). Number of cases (2,3). Number of affected people / communes	Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018
2	Improve quality of forest development (af/reforestation and regeneration)	(1). Land and resource-use conflicts (2). Take advantage of market for plantation wood availability to log natural forests (3). Equity between the supported and not supported communities (4). Marginalization of particular groups (5). Development of silviculture facilities may lead to deforestation.	(1). Number of cases (2,3,4). Number of affected people / communes (5). Title of silviculture facilities and affected forest area (ha)	Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018
3	Mitigate negative impacts generated from forest conversion into other land use (e.g. infrastructure/facilities or commercial agriculture development)	(1). Land and resource-use conflicts	(1). Number of cases	Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018

No.	Solution Packages	Risk	Input data	Data source	Duration
4	Reduce forest fire	(1). Loss of traditional knowledge, culture and livelihood (2). Land and resource-use conflicts (3). Creating flammable material that is potential for forest fires	(1). Number of affected people (2). Number of cases (3). Hotspot of forest fire	- Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018
5	Stop illegal and unsustainable timber logging and harvesting of NTFPs	(1). Land and resource-use conflicts (2). Loss of traditional knowledge, culture and livelihood	(1). Number of cases (2). Number of affected people	Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018
6	Province-wide cross-cutting solution package	NA	NA	NA	NA
6.1	Improve Forest Resource Monitoring System (FRMS)	NA	NA	NA	NA
6.2	REDD+ awareness raising and capacity building	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	Number of affected people	Field survey results collected by target district FPDs	1/1/2018 – 31/12/2018

Annex 05. Environmental risk classification by Cancun safeguard

No.	Environmental risk	Cancun safeguard
1	Displacement of forest encroachment	Cancun safeguard g) – displacement of emissions
2	Replacement of natural forest by plantations	Cancun safeguard (e) – conservation of natural forests and biological diversity

Annex 06. Social risk classification by Cancun safeguard

No.	Social risk	Cancun safeguard
1	Land and resource-use conflicts	Safeguard (b) – transparent and effective national forest governance Safeguard (d) – full and effective participation of relevant stakeholders
2	Marginalization of particular groups	Safeguard (c) – indigenous peoples’ and local communities’ rights Safeguard (d) – full and effective participation of relevant stakeholders
3	Equity between the supported and not supported communities	Safeguard (b) – transparent and effective national forest governance Safeguard (d) – full and effective participation of relevant stakeholders
4	Loss of traditional knowledge, culture and livelihood	Safeguard (c) – indigenous peoples’ and local communities’ rights

Annex 07. Criteria for risk classification by district

No.	Classification	Criteria	Remarks
1	Low	Deforested area (ha) around the silviculture facilities (0 - <1)	- Applicable to the risk of deforestation around silviculture facilities: (solution package 2).
		Forest plantation area (ha) at high fire risk due to flammable material (0 - <100)	Applicable to the risk of creating flammable material that is potential for forest fires (solution package 4).
		Number of cases (0 - < 20)	Applicable to the land and resource use conflicts risk (solution package 1, 2, 3, 5).
		Number of affected people (0 - <500)	Applicable to other risks: Equity between the supported and not supported communities; Marginalization of particular groups (solution package 1, 2, 5 and province-wide cross cutting solution package)
2	Medium	Deforested area (ha) around the silviculture facilities (1 - <3,0)	ditto
		Forest plantation area (ha) at high fire risk due to flammable material (100 - 200)	ditto
		Number of cases (20 - 40)	ditto
		Number of affected people (500 - 1000)	ditto
3	High	Deforested area (ha) around the silviculture facilities (> 3,0)	ditto
		Forest plantation area (ha) at high fire risk due to flammable material (> 200)	ditto
		Number of cases (> 40)	ditto
		Number of affected people (> 1000)	ditto