

UN-REDD
PROGRAMME



Report

**Institution and Context
Analysis to inform the
PGA for REDD+ in Viet
Nam**

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Acknowledgements

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List of Acronyms

| | |
|-----------|--|
| BDS | Benefit Distribution System |
| CERDA | Centre of Research & Development in Upland Areas |
| CFM | Community Forest Management |
| COP | Conference of Parties |
| CPC | Commune People's Committee |
| CSDM | Centre for Sustainable Development in Mountainous Areas |
| CSO | Civil Society Organizations |
| DARD | Department of Agriculture and Rural Development |
| DOF | Department of Finance |
| DONRE | Department of Natural Resources and the Environment |
| DPI | Department of Planning and Investment |
| DPC | District People's Committee |
| FPD | Forest Protection Department |
| FPDF | (Provincial) Forest Protection and Development Fund |
| FPDP | Forest Protection and Development Master Plan |
| FPIC | Free, prior and informed consent |
| ICA | Institution and Context Analysis |
| MARD | Ministry of Agriculture and Rural Development |
| MRV | Measurement, Reporting and Verification |
| NGO | Non-governmental Organization |
| PanNature | Center for People and Nature Reconciliation |
| PFES | Payment for Forest Ecosystem Services |
| PFMB | Management Board for Protection Forest |
| PGA | Participatory Governance Assessment |
| PFES | Payment for Forest Ecosystem Services |
| PPC | Provincial People's Committee |
| REDD | Reducing Emissions from Deforestation and Forest Degradation |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation, Sustainable Forest Management, Forest Conservation, and Enhancement of Carbon stocks |
| SEDP | Socio-Economic Development Plan |
| UNDP | United Nations Development Programme |
| UNFCCC | United Nations Framework on Climate Change |
| UN-REDD | United Nations Programme to Reduce Emissions from Deforestation and Forest Degradation |
| VFF | Viet Nam Fatherland Front |
| VNFOREST | Viet Nam Administration of Forestry |

1. Introduction

This report documents the first step in implementing a Participatory Governance Assessment (PGA) for REDD+ in Lam Dong Province, Viet Nam. The step integrates an Institutional and Context Analysis (ICA) into this process. Firstly, this is done to provide an analysis of the key stakeholders and how to engage with them to make REDD+ successful in the province. Secondly, the ICA is a suitable methodology to identify major governance issues in the forestry sector and as a framework for developing governance indicators in the next steps of the PGA.

The PGA is an approach that aims to produce robust and credible governance data relevant to REDD+, through an inclusive process of consultations with and contributions from both government and civil society as joint developers and owners of the process. According to the national PGA National Kick-Off Workshop report¹ from March 2012, the PGA pilot in Viet Nam should be test-cased in one province. Based on a set of criteria² for selecting a pilot province, it was agreed by the national stakeholders that Lam Dong should become the pilot province. The proposal was approved by the Provincial People's Committee (PPC) of Lam Dong later in 2012. In order to develop a PGA, fundamental understanding of the province's forestry sector is required to identify the existing forest governance structure and issues as well as potential actors and decision-making processes that might significantly affect future implementation of REDD+. An Institution and Context Analysis (ICA) was applied to investigate and gain such understanding based on UNDP's ICA Guidance Note³.

The ICA will help the PGA to understand how different actors in society have different incentives to enable or block development interventions for REDD+. The purpose of the ICA is to examine the formal and informal rules, regulations, incentives and constraints that will impact the achievement of the PGA. The ICA focuses on political and institutional factors as well as the roles, responsibilities and interactions of stakeholders potentially involved in REDD+, and how these have an impact on the implementation of REDD+ in the near future. This research assesses who possesses power in forest management and who is excluded from this process at the provincial, district, commune and grassroots levels. The analysis is also aimed at identifying drivers of deforestation and institutional and political factors that promote or block forest conservation.

2. Methodology of the research

2.1 Research Approach

The team of consultants used political, institutional and social assessments in forestland planning and allocation; forest protection and development, and deforestation and forest degradation, to examine the formal and informal rules, regulations, incentives and constraints to REDD+. This process supports the development of relevant and measurable governance indicators for the PGA of REDD+ in Lam Dong. The examination follows a process as guided by common governance conceptual frameworks reflected through three pillars: 1) policy, legal, institutional and regulatory frameworks; 2) planning and decision-making processes; and 3) implementation enforcement and

¹ PGA National Kick-Off Report, Ha Noi 6 March 2012,

http://vietnam-redd.org/Upload/Download/File/PGA_kick_off_workshop_report_1824.pdf

² Commitment and interest from local stakeholders, especially local government; REDD+ activities or similar content already undertaken; Large forest area in which parts are exposed to high risk of being deforested; Presence of ethnic communities and vulnerable groups; Easily accessible given the pilot phase's short period.

³ Institutional and Context Analysis Guidance Note:

http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/oslo_governance_centre/Institutional_and_Context_Analysis_Guidance_Note/

compliance. Based on this framework, the team of consultants made an institutional analysis to identify the functions of and institutional relations between different institutions and actors in Lam Dong. The analysis also includes power of decision-making and influence of different stakeholders in the forestry sector at different levels (both state and non-state, formal and informal ones at province, district and commune). This helped the team of consultants determining and mapping out main governance issues and key actors, whose interests, incentives or constraints would affect the future implementation of REDD+ in Lam Dong in important ways, as well as identifying entry-points and bottlenecks for initiating a PGA in the province.

2.2 ICA Methods

Collection of data and analysis for this ICA was mainly based on the following methods (i) literature review of provincial policies in the forestry sector as well as reports and other studies done in Lam Dong; (ii) Multi-stakeholder consultation workshops and focus-group discussions at province, district and commune level; and (iii) selected key informant interviews at the provincial level.

a) Literature review

The team of consultants focused on reviewing local policies related to forestland planning and allocation, forest protection and management as well as compliance to national policies related to forests and REDD+. A number of legal documents and technical reports related to the Lam Dong Forest Protection and Development Master Plan (FPDP) for 2011-2020, rubber plantation strategy, and the implementation of the UN-REDD Programme and Payment for Forest Ecosystem Services (PFES) policies were reviewed. Official databases and information addressing quality of forest protection and management in Lam Dong issued by MARD were also utilized for this report.

b) Provincial multi-stakeholder consultation workshop

With support from UNDP, the team of consultants worked in cooperation with Lam Dong DARD to organize and facilitate an introduction and consultation workshop in Da Lat on 18 December 2012. This workshop aimed at introducing the PGA initiative, implications for REDD+ development and implementation, and discussing with provincial stakeholders to identify potential key governance issues on REDD+ implementation and sustainable forest protection and management. 31 participants representing provincial departments (DARD, DONRE, DPI, DOF, FPDP, and Newspaper agency), Provincial Farmers Association and private sector (hydropower and rubber plantation companies) attended. The participants were introduced to the concepts of the PGA and the Prime Minister's Decision 799/QD-TTg on establishing the REDD+ National Action Programme. Thereafter the team of consultants introduced the ICA, followed by group discussions to brainstorm and identify key governance issues related to forest protection, management and development. The team of consultants facilitated this group work by dividing into three separate themes (i) Forestland planning; investment and finance for forest sector (Group 1); (ii) Forest protection and law enforcement; Communication, awareness and capacity building; Information and reporting (Group 2); and (iii) Forestland allocation and forest development; People's rights to land and forests; and Establishment and operation of provincial REDD+ Steering Committee (Group 3).

c) Focus group discussion at district and commune

Two consultation workshops were held at district level in Di Linh (a pilot site of the UN-REDD Programme) and Lac Duong (no former REDD+ piloting activities) on 20 and 21 December 2012,

respectively. These workshops gathered a wide range of stakeholders⁴. At each workshop, participants were randomly divided into two groups to brainstorm and map out stakeholders and their functions, power of decision-making, institutional relations among district agencies and respective provincial and communal agencies. These group discussions described how each actor had been involved in the processes of forest law enforcement and compliance at district level, and the constraints they were facing to handle their functions. 25 officials in Di Linh and 20 officials in Lac Duong attended these discussions.

Following this, four group-discussions were separately organized in Da Sar and Da Chay communes in Lac Duong district, and Bao Thuan and Gung Re in Di Linh district. Participants in these meetings were mainly leaders and staff of Communal People’s Committee (CPC), including Women’s Union, Youth Union, Farmer’s Union and village chiefs. At the meeting, they were first introduced to REDD+ and its perspectives. They were encouraged to speak out about the situation of forestland allocation and their rights to forests in their communes as well as resource conflicts between local villagers, local authorities, private sector and state-owned forest organizations⁵. These discussions gave a good insight into the drivers of deforestation and forest degradation and roles of local villagers and authority in the processes of decision-making and law enforcement, including PFES compliance. Based on such findings, all stakeholders related to forests at grassroots level were identified and mapped out.

Table 1. Commune participants of consultation workshop in Lam Dong

| Commune | Participants | No. of Attendants | Women Attendant |
|----------------|--|--------------------------|------------------------|
| Da Sar | Commune staff, village chiefs, local peoples | 14 | 3 |
| Da Chay | Commune staff, village chiefs | 16 | 4 |
| Bao Thuan | Commune staff, village chiefs, local peoples | 28 | 2 |
| Gung Re | Commune staff, village chiefs | 11 | 0 |

d) Semi-structure interview of (provincial) key informants

Not all expected interviews were made, particularly with those from social mass-organizations of the province such as Farmer’s Union, Union of Science and Technology Association and the Ethnic Minority Committee, but the team of consultants did interview 12 key informants⁶. Each interview took about two hours and focused on reflections and analysis on institutional relations and decision-making related to forestland allocation and forest management. By addressing sensitive issues, particularly related to illegal logging, forest lease and allocation and forest conversion for agro-business, the informants provided a wide range of thoughtful analysis on political, legal and economic factors they believed influenced provincial leaders’ decision-making. Private sector had become increasingly engaged with forestland possession, resulting in various conflicts with local

⁴ District People’s Committee and divisions of forest protection, agriculture and rural development, natural resources and environment, police, military, culture and information, justice, industry and infrastructure, TV and radio, and representatives from mass organizations (women union, farmer association, youth union) and state-owned forest management organizations (such as Di Linh forestry company; Hoa Bac, Hoa Nam, Tan Thuong and Da Nhim PFMBs).

⁵ Bidoup Nui Ba National Park (special use forest), Da Nhim PFMB and Di Linh state-owned forest management organization

⁶ Leaders and senior officials from DARD, Department of Forestry, FPDF, DONRE, Bidoup Nui Ba National Park, Don Duong State-owned Forestry Company, FLITCH project management board, Da Lat University, Women Union, Dran Protection Forest Management Board, Dai Ninh Hydropower Company and Da Teh Rubber Plantation Private Company.

communities that in some cases had ruined their livelihoods. These interviews also helped obtain comments on policy interventions in Lam Dong such as PFES, FPIC for REDD+ or conversion of poor natural forests to other purposes. A questionnaire used for this semi-structure interview is annexed to this report.

3. An overview on the forestry sector and forest management in Lam Dong

Lam Dong’s PPC approved its FPDP for the period 2011-2020 in December 2012, committing to maintaining the forest coverage by 61%. This would ensure a significant conservation of forest resources in the Socio-Economic Development Plan (SEDP), with agreed proportions of special use forest, protection forest and production forest. This highlighted that Lam Dong would continue its efforts to socialize its forestry sector by improving forest and forestland allocation, contracting local communities, ensuring benefits from forests, explore potential revenues from forest services and implement PFES. Measures to realize the FPDP included improving forest management systems at all levels, and attracting investments to forestry development, production and business.

The FPDP likely created new opportunities for local villagers and communities in the province, particularly for the 300,000 ethnic minority people (estimated to 25% of the provincial population), who traditionally have been fully dependent on the forest, but not yet been prioritized for forestland allocation. A statistical record provided by DARD showed that by 2010 less than 2000 households, of which 400 belonging to ethnic minorities, and 10 village communities had been granted Land-use Certificated. The 12,000 ha allocated were located in Cat Tien, Da Teh, Bao Lam and Dam Rong districts. In comparison, 18,000 households have been awarded forest protection contracts since 2000, receiving annual payments for protecting about 340,000 ha. As shown in Figure 3.1 about 85 % of the forestland in Lam Dong is managed by state-owned forest organizations, and less than 2 % by households. This is far less than the nearly 12% allocated to hundreds of private companies and local authorities.

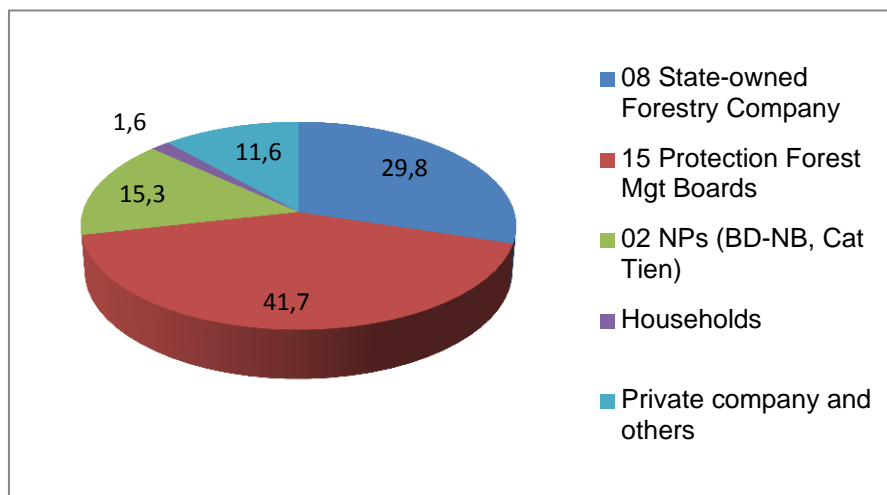


Figure 3.1. Status of Forest allocation in Lam Dong

Inequality and disparity in access to forest resources, and weak law enforcement have caused various conflicts at the grassroots level. Results have been in illegal logging, forest encroachment, deforestation and forest degradation. According to statistics reported by MARD’s Forest Protection Department (on FPD website)⁷, over 2000 violations on average of forest misuse had been recorded and processed over the last 5 years (2008-2012) in Lam Dong. The violations mainly related to illegal

⁷ <http://www.kieklam.org.vn/Desktop.aspx/List/Hanh-vi-vi-pham-Luat-BV-va-PT-rung/>

logging, forest clearance for cultivation, forest exploitation, transportation and trade of forest products. This caused a significant natural forest loss from 2002-2009 (Figures 3.2 and 3.3), although the loss had a decreasing trend.

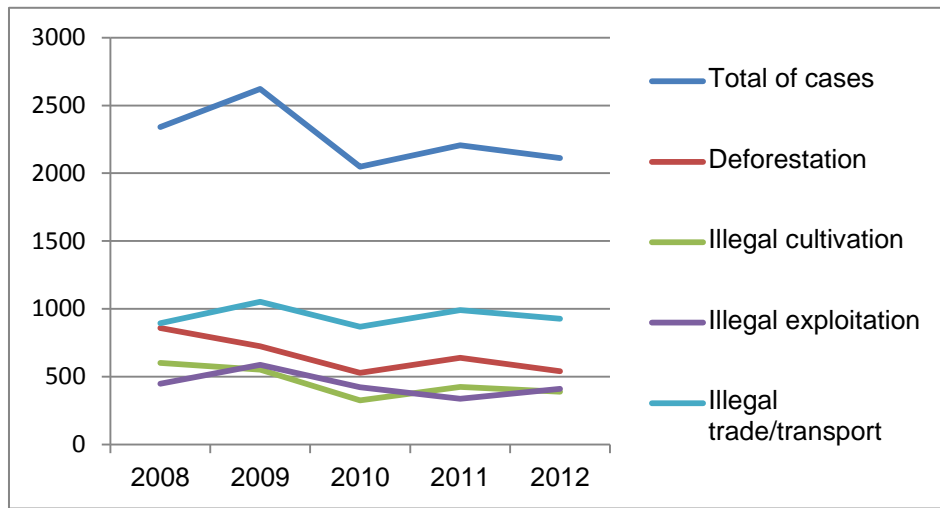


Figure 3.2: Number of violations to forests in Lam Dong, 2008-2012 (FPD, 2013)

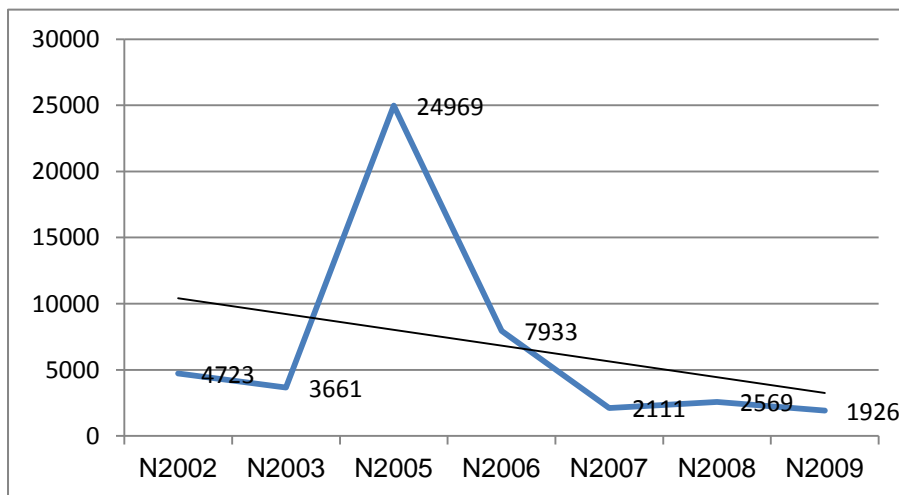


Figure 3.3. Loss in natural forests in Lam Dong 2002-2009 reported by FPD (2013)⁸

As one of five richest provinces in forest resources, Lam Dong has been greatly challenged by illegal logging and to promote forest conservation and sustainable utilization. The issuance of provincial policies to facilitate a better investment climate and spur economic growth, has converted thousands of hectares of natural forests into coffee, rubber, export flower and vegetable plantations. For instance, according to Mr. Tran Thanh Binh, Director of Lam Dong Provincial FPD, Lam Dong will have to convert more natural forests into rubber plantations to reach the goal of 150,000 ha by 2020⁹. For example, in 2005 almost 25,000 ha of forests were cleared to build hydropower plants.

⁸ Blue line: Loss in natural forest in Lam Dong 2002 – 2009

Grey line: trend of loss in natural forest in Lam Dong 2002 – 2009

⁹ Decision No. 750/2009/QĐ-TTg dated June 3, 2009 of the Prime Minister approving the planning on development of rubber tree up to 2015, with a vision toward 2020 stated “the Central Highlands: to continue planting new rubber trees on around 95,000 – 100,000 hectares of land areas under inefficient agricultural

However, since 2010 Lam Dong has been a leading province to pilot and implement PFES, generating substantive financing for forest protection. By the end of 2012, 12-14 hydropower plants (as Da Nhim, Dai Ninh, Ham Thuan) and 4 clean water-supply companies (as Dong Nai Sawaco) had been contracted and transferred 154 billion¹⁰ VND to Lam Dong FPDF (2011: 56 billion VND). Over 16,000 households that had been contracted to protect more than 330,000 ha of watershed forests, benefitted. The revenue has helped participating households to increase their income with 300,000-400,000 VND¹¹ per ha per year, a significant average increase of 10.5 to 12 million VND to annual income. That gives an annual income that is 3 to 4 times higher than before the PFES was introduced. According to DARD, the PFES has initially proved a good instrument to enhance the effectiveness of forest protection in Lam Dong. They want to see other forest ecosystem services such as biodiversity and carbon resources added in the future.

4. Analysis on the institutional structure for forest management in Lam Dong

4.1 Institutions at a Glance

Figure 4.1 presents the institutional structure for forestry management in Lam Dong, which is set up in accordance to the Forest Protection and Development Law from 2004 and other regulations¹². The figure explains the relationships among and between decision-making bodies and professional institutions. The institutions included in the figure are (i) Government decision-making bodies, such as People's Committees; (ii) Planning and implementing agencies, such as DARD and sub-DARD, which are responsible for overseeing policy compliance and law enforcement, and for advising People's Committees; and (iii) Cooperatives, boards, companies and joint task forces, dealing with regular or ad-hoc demands for forest management and protection, such as management boards. Vertical relationships in the figure visualize the hierarchy between decision-making bodies from national to communal level, such as between PPC, DPC and CPC. Horizontally, from left to right, the figure shows the lines of authority between professional institutions, whose responsibilities are provided by national and provincial legal regulations.

production, left unused or under poor natural forests suitable to rubber trees, in order to stabilize the total area under rubber tree in this region at 280,000 hectares.”

¹⁰ <http://baolamdong.vn/kinhte/201210/Hon-16-ngan-ho-dan-duoc-huong-loi-tu-chuong-trinh-chi-tra-dich-vu-moi-truong-rung-2197756/>

¹¹ <http://baolamdong.vn/kinhte/201207/Qua-hai-nam-thuc-hien-chi-tra-dich-vu-moi-truong-rung-2176932/>

¹² Decree 119/2006/ND-CP and 117/2010/ND-CP

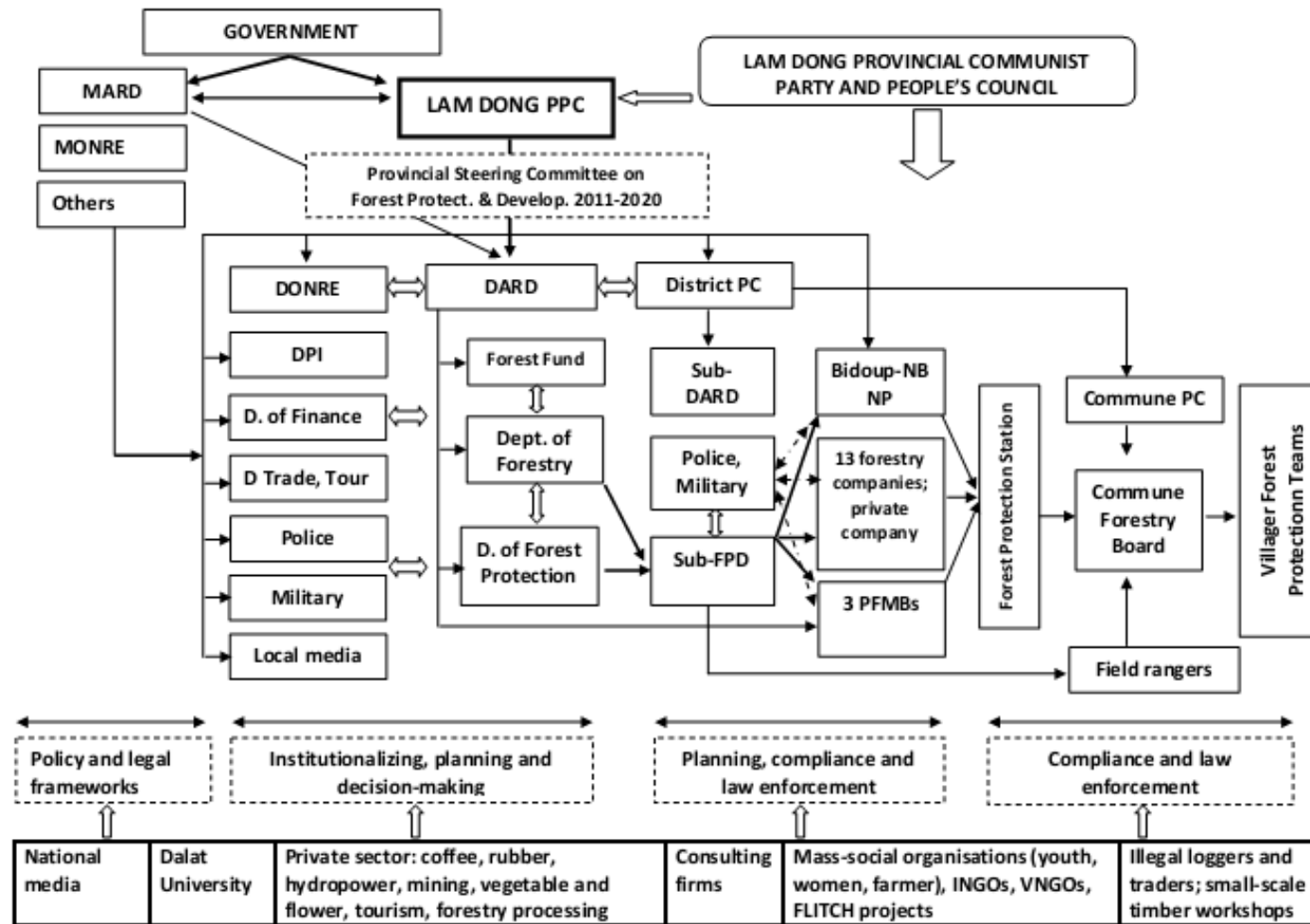


Figure 4.1 Institutional structure of forestry management in Lam Dong¹³

¹³ Based on the official regulations but with research from the consultant to develop this detail institutional structure of forestry management in Lam Dong

Provincial level

Following Figure 4.1, the PPC is the most powerful provincial decision-maker in the forestry sector, directly administrating DARD, DONRE, DPCs, Bidoup Nui Ba National Park and 13 State-owned Forest Companies. DARD is the focal point for all forestry planning and activities in the province. FPD, DoF and the FPDF assist DARD to perform these tasks. All state-owned forest organizations and private forest companies have to operate under the professional guidance and management of DARD. The PPC has established a multi-stakeholder institution known as the Provincial Steering Committee to implement the FPDP for 2011-2020. The Steering Committee is headed by the PPC's Vice-chairman and includes members from a wide range of agencies under the control of the PPC¹⁴. The Steering Committee does not include representatives from any mass-organization or from civil society. DARD has also developed an inter-agency body with the provincial police and military particularly for forest patrolling to fight illegal logging, forest fire and encroachment. The body reports to the PPC, MARD and the Steering Committee.

District level

At district level, the district FPD acts as focal point to advise the DPC in planning, operation and enforcement of forest protection and forestland allocation. This is different from other provinces where these tasks belong to sub-DARDs. District FPDs have the authority to manage, check and monitor laws related to forest holders, including households, communities, state-owned forest organizations and private companies. Each district has an inter-sectoral cooperation institution set up by the DPC focusing on forest patrolling and prevention of illegal logging, forest fire and encroachment. This body includes district FPD, the police and the military, and forest management boards of special use forest and protection forest in the district area. Representatives of mass-organizations, broadcasting and TV are also invited to join the platform.

Commune level

The Commune's People Committee (CPC) is the heart of formal power at lower level as they are legally authorized and responsible for natural forest management within their communal territory. They are, however, not able to interfere and have no real power to influence forest land-use planning and forest use in those areas that are being managed by national parks, state-owned forestry companies or private companies. In order to support those forest holders in contracting and allocating forest to local households, the CPC has set up a joint communal forestry board, chaired by a CPC leader.¹⁵ This multi-stakeholder body focuses on regular exchange of information, dialogue and ad-hoc cooperation (to deal with specific cases) rather than acting as a decision-making body. Groups of local households that have been contracted by State-owned Forestry Companies, PFMBs or national parks for forest protection, contribute to forest management at village level, like in Di Linh and Lac Duong districts. This kind of informal community institution (15-20 households per group on average) and has recently been replicated to villages engaged with PFES.

The mandates of the three above-mentioned layers are influenced by other stakeholders, both formal and informal. The team of consultants found that state-owned enterprises and private investors are the most influential, whereas the mass-organizations are the least:

¹⁴ DARD, FPD, DoF, Lam Dong Broadcasting and TV agency, Police Department, Military, DOF, DPI, People's Procuracy, Department of Health, Ethnic Minority Committee, Department of Culture, Sport and Tourism, DOIT, DONRE, Fatherland Front, and Inspection Agency.

¹⁵ Members of this board include communal forestry staff, police, military staff, village chiefs, field ranger(s) of the district FPD in charge of that commune, and representatives of related forest management organisations situated in the commune.

- In recent years state-owned and private hydropower companies and rubber plantations have emerged as key drivers of deforestation of natural forests in Lam Dong, overtaking coffee, flower and vegetable plantations, timber processing, mining and tourism;
- News and critics related to violations in forest protection and management in Lam Dong province are usually disclosed to public on national newspapers like Lao Dong (Labour), Thanh Nien (The Youth), Tien Phong (The Pioneer) or Tuoi Tre, but not on local newspapers;
- Da Lat University and international NGOs have facilitated and provided technical inputs into the provincial policy-making process, conducted capacity building and provided other consultancy services for provincial, district and communal authorities in community forestry, PFES and REDD+.
- Hundreds of small-scale timber processing (household-based) companies with operational permission legally granted by district authorities are considered as threats to natural forests due to their potential engagement with illegal timber logged and traded by local villagers.;
- The team of consultants found no clear evidence that local mass-organizations have made real contributions to good protection and management of forests at grassroots level, even though they claim to play a key role in raising awareness of and mobilizing local communities.

4.2 Institutions and their roles

a) Lam Dong PPC

As regulated by the Forest Law (2004), Lam Dong PPC is responsible for management of all forests and forestry operations in the province under the supervision of Lam Dong Provincial Communist Party and the People's Council. The PPC has to ensure that all objectives of provincial forestry development will be performed and achieved as stated by political resolutions and commitments. They have the right and responsibility for developing provincial forest management, investment and development policies and strategies, forest land-use plans and allocation plans. Other tasks include institutionalizing national forestry policies and programmes issued by MARD and other line-ministries, setting up provincial institutional structures for forestry operation, and ensuring forest law enforcement.

To implement Decision No. 57/QD-TTg¹⁶ issued by the Prime Minister, the PPC developed the provincial FPDP for 2011-2020, which was approved by the Provincial People's Council in December 2012. The FPDP acknowledges the application of forest carbon finance mechanisms like REDD+ in the province. The approval of the National REDD+ Action Programme by Decision No.799/QD-TTg (2012) also requires the PPC to develop a REDD+ action plan for Lam Dong up to 2020.

The PPC's responsibilities in state management of forests and forestland are implemented through DARD and DONRE in cooperation with DPCs and other provincial departments such as DPI, DoF, the military and the police. The PPC has the authority to make decisions on annual operational budgets and plans for land-use changes prepared by these forest management organizations. The decisions are often signed by either the PPC chairman or the vice-chairman in charge of agriculture and rural development sector.

The PPC established the Lam Dong Forest Protection and Development Fund (FPDF) in 2009. The fund is derived from a participating multi-stakeholder financial institution belonging to DARD, controlling annual revenues of several hundred billion VND. The fund has been suggested, as one of

¹⁶ Decision No. 57/2012/QD-TTg dated January 09, 2012 of the Prime Minister approving the forest protection and development plan during 2011 – 2020.

the options, to manage and channel revenues from REDD+ payment to forest holders, but a decision has not been made.

Recent policies and decisions by the PPC have posed some problems, such as prioritizing forest allocation to private sector instead of local households and communities, or supporting forestland conversion for coffee, rubber and export flowers plantation, mining and hydropower development. These decisions allow deforestation and forest degradation in the province to be tolerated. Furthermore, these decisions will slow down efforts to fight poverty as local villagers become prohibited from participating in and benefiting from the forest sector in a sustainable manner, creating conflicts over forest and land-use between local villagers, companies and local authorities.

Local villagers in Da Chay, Da Sar, Gung Re and Bao Thuan stated that they had not been informed or consulted when the PPC had made decisions to allocate forests in their communes to companies, which prevented them from accessing traditionally used areas. This reality has raised a significant problem as local villagers or even district and communal authority officials do not trust PPC's decision-making process because of its non-transparent, non-participatory and non-inclusive nature, especially regarding the lack of attention paid to local communities' voice.

b) DARD, including FPD, Department of Forestry (DoF) and FPDF

DARD, through its supporting offices such as the FPD, DoF and FPDF, are considered key bodies for managing, protecting and developing forest resources in the province, including recently implemented REDD+ initiatives and the PFES policy. DARD is also a key adviser to the PPC. Annual plans and proposals for forestland allocation, as well as forest contracting, must be either prepared or reviewed by DARD before submission to the PPC for approval. However, in the past ten years, forestland allocation to households and local communities has not been prioritized. As a consequence, cooperation between DARD and DONRE for forestland allocation has not been optimal. No specific collaborative mechanisms have been officially formulated, relying instead on personal relations between officials.

In 2011, DoF in cooperation with FPD were assigned to work with 17 local state-owned forest organisations to draft the FPDP for 2011-2020. An informant from DoF claimed this plan was solely developed by DARD and its allies, without broader consultation with other departments and district agencies, including DONRE. Lessons from a participatory and bottom-up planning approach for forest management and development, effectively tested by a DARD-coordinated FLITCH project in Lam Dong, were not taken into consideration by DARD. The FPDP was considered to meet MARD's requirement of institutionalizing the prime minister's decision No.57/QD-TTg, but not to be a practical policy instrument of the province. This was explained by referring to the fact that the province would not be able to adequately finance the implementation of the FPDP and to achieve its results.

The FPD is in charge of state management and enforcement of forest protection, prevention of illegal logging and forest encroachment, and in control of forest products originating from protection and special use forests. Besides its headquarter office in Da Lat, the FPD manages 13 district FPDs in charge of forest management and protection at district level, including one branch belonging to Bidoup Nui Ba National Park. Local forest rangers are located in the province, district and in every commune (also called field rangers), enabling them to access and oversee forest activities by local forest management entities (individuals, households, communities, and organizations).

Cooperation between FPD, the military and the police has been set up at district level through joint forest patrolling to prevent illegal logging and forestland encroachment at identified hot-spots. The

hot-spots are usually under the management of management boards of special-use forests and protection forest, and forest companies, especially in remote border areas between Lam Dong, Ninh Thuan and Khanh Hoa. To encourage such cooperation, the military and police are contracted and get paid to protect thousands hectares of forests. However, this kind of contracting has raised questions on the political and financial legality of the institutional relations between local rangers, the military and the police. The contracts were not publically disclosed, and informally considered by the local FPD as an internal and locally adopted affair to generate income or pay for patrolling expenses. But, no evidence was provided to reflect how well the forest protection was handled by the local military and police agencies.

Informants from districts and communes were suspicious that district FPDs and local rangers sometimes engaged in illegal logging, transport and trade with local private companies, timber traders and even with some local leaders. On the other hand, one local ranger unofficially said that they did not always have the power and right to properly and effectively enforce the law. For instance, they have had to release confiscated timber and captured illegal loggers after having received informal phone calls from district and provincial leaders. Moreover, the rangers have little power to process prosecution over arrested illegal loggers and traders, which is the role of the police agencies. With many stakeholders and agencies involved in forest protection tasks, local FPDs try to shift the blame of deforestation and forest degradation directly on forest holders, especially on local villagers.

The DoF is in charge of supporting DARD in forestland planning and allocation, forest planting and silviculture techniques, focusing on production forests and enrichment of protection forest. They usually work with DONRE, district PCs, state-owned forestry companies and protected areas management boards. With a total of only 14 working staff, the DoF is challenged to handle these tasks well. Unlike the FPD, the DoF does not have branches at district and commune level. They usually have to conduct their tasks through district FPDs, whose expertise is more with forest protection and forestry product management than forest plantation and afforestation. According to a staff from the DoF, the province does not want to allocate land-use certificates (“Red Books”) to households and village communities, as they fear the forests will be cleared off similarly to in Dak Lak Province. Therefore, through the 661 and 30A Programmes, Lam Dong has since 2000 mainly concentrated on contracting households for forest protection, with an estimated 18,000 households contracted. Avoiding forestland allocation to households could become a challenge later when forest owners, carbon rights and benefit sharing systems must be determined in preparation for international trade on carbon.

Informants from DARD, FPD and DoF saw REDD+ as a future opportunity to generate additional financial sources for forest protection in Lam Dong. But, they also expressed their concerns with regards to the certainty and feasibility of REDD+ performance and payments, since national legal frameworks and guidelines are not yet available. They questioned if the province would lose their authority of managing and utilizing the local forests once the forests are included in long-term carbon trading contracts with foreign investors bound by international regulations. It is clear that as long local stakeholders are not well informed about REDD+, it might affect their attitude and interest in REDD+.

Past experience with piloting UN-REDD activities in Lam Dong also raised arguments as to which local agency would be selected as focal point for REDD+. DARD’s Planning Division was eventually assigned the task in 2009, leaving the DoF mainly on the outside. The consensus is that DARD, under the administration of the PPC, should be acting as focal institution for REDD+ in the province, with

FPD and DoF as implementing agencies. FPD would be in charge of first two objectives of REDD+ (mitigating deforestation and forest degradation), and Department of Forestry in charge of the remaining three duties (sustainable forest management, carbon storage and carbon enhancement).

The FPDF, established by the PPC and directly administered by DARD, is a fund responsible for mobilizing financial resources for forest protection and management. Currently, the majority of the FPDF revenues in Lam Dong come from hydropower and water supply companies through the PFES regulations. In close collaboration with state-owned forestry companies, district FPDs and communal authorities, the FPDF delivers direct cash payment to forest holders on a quarterly basis. The recipients are mainly households, who have been contracted by state-owned forest organizations for forest protection. Local officials are proud that Lam Dong is the leading province in Viet Nam on PFES, and believe the FPDF could be used for administering and distributing future REDD+ payments to local forest holders. However, some of the state-owned forest organizations, such as Bidoup Nui Ba National Park, forestry companies and protection forest management boards, want the PPC to reconsider FPDF's decision-making power over payments. They argue they need to play a stronger role themselves as service providers and managers. Though these state-owned forest organizations manage almost all natural forests in Lam Dong, none of them serve in the FPDF Management Council¹⁷.

c) DONRE

Similar to DARD, DONRE is regarded as an advisory body to the PPC on state management of environmental and natural resources. In the forestry sector, DONRE is a key actor, responsible for decision-making processes related to the province's land-use planning, forestland allocation to forest companies, PFMBs, national parks and private companies through forest lease. DONRE does not directly involve itself in forestland allocation to local households and communities, because this is mainly handled by DPCs. As regulated by the law, DONRE is responsible for state-management of biodiversity and other natural resources, including water, soil and minerals. Protection of biodiversity is also under the responsibility of Bidoup Nui Ba national park, Cat Tien national park and PFMBs, though these state-owned forest organizations are managed by DARD. According to the Biodiversity Law (2008), DONRE has to be updated by local conservation bodies annually on the status of biodiversity in the province. In addition, as a key institution in charge of managing, screening and guarding the quality of environmental impact assessment, DONRE is in a position to help mitigate and control impacts of deforestation and forest degradation from hydropower development, mining, road construction and industrial plantation.

There are different implementing agencies within DONRE to assist its leaders to execute its responsibilities¹⁸. At the district level, each DPC has a Division of Natural Resources and Environment, which professionally works under the supervision of DONRE.

Cooperation between DONRE and DARD in Lam Dong is said to be less effective because of the lack of a locally decided guiding regulation. It is proved by the fact that local statistics on forestland held by DONRE and DARD are often different, thus raising differences of opinion during local socio-economic development planning. There is no proof that this has been improved since a new

¹⁷ Members include DARD (chair), DOF, DONRE, DPI, DOIT, DOST, Department of Taxation and Provincial Treasury.

¹⁸ Department of Environmental Protection, the Department of Land-Use Management, the Center for Information on Land Use Registration, and the Center for Natural Resources and Environment Monitoring.

guideline on cooperation between DONRE and FPD in forestland allocation, was jointly issued by MARD and MONRE in early 2011¹⁹.

DONRE is member of the provincial FPDF Steering Committee, and also of the Provincial Steering Committee for FPDP. In December 2012, DONRE completed drafting the Provincial Action Plan in Response to Climate Changes, in which initial contents of REDD+ is included.

d) State-owned forest organizations and private companies

Over 85% of Lam Dong's forestland is managed by state-owned forest organizations, including Bidoup Nui Ba and Cat Tien (Cat Loc area) national parks, 15 PFMBs and 8 one-member forestry companies. This excludes some other forest areas, such as production forests, which is managed by DPCs and CPCs. Most of the forest allocated to the state-owned forest organizations are classified as natural and rich, which contains an estimated 80 %²⁰ of the province's timber and bamboo volumes. This highlights the significant potential economic value in local forests, and might help to explain why Lam Dong is restrictive to allocate forestland to local households and communities.

State-owned forest organizations are under the control of DARD, and have to submit annual action plans to them. However, it is the PPC that actually administers the national parks and the forestry companies, and the DPCs that administers the PFMBs. This means that the power to make decisions on the management of the forest is limited, as any change would need to be reviewed by DARD and approved by the PPC.

As stated by the law, PFMB and national parks are not considered forest owners, although the PPC legally granted a land-use decision upon their establishment. Ownership rights to special-use and protection forests still belong to the PPC, and they annually provide state funding for PFMBs and national parks to carry out planned forest protection, management and development activities. This means that PFMBs and national parks are not real owners over forest-related properties in the areas they are assigned to manage. This has made them reluctant to and affected their ability towards enforcing laws and to adopt alternative solutions to strengthen effectiveness in forest protection and management. On another aspect, by recognizing themselves as primary providers and managers of forest ecosystem services, both PFMBs and national parks are requiring a stronger role and more decision-making power to manage and distribute PFES revenues in Lam Dong. Today the PFES revenues are directly managed by the provincial FPDF.

Similar to Bidoup Nui Ba national park and PFMBs, forestry companies do neither have much power over the forests and the forestland they are assigned to manage, even though granted land-use entitlement. All decisions to allocate forests or forestland to private companies for rubber plantations were made by the PPC. After natural forests became provisionally closed for harvesting, most forestry companies in Lam Dong are focusing on planted forest. They usually focus on small-scale and simple processing. Similarly to national parks and PFMBs, these forestry companies also receive funding from the PPC for managing the natural forests, for instance for contracting local households for forest protection. Little decision-making power on forest management and limited financial resources, affect their ability to protect the forest. They end up in conflicts with local villagers in their efforts to prevent illegal logging and forest encroachment.

¹⁹ Circular 07/2011/TTLN-BNNPTNT-BTNMT dated on 29 January 2011 jointly issued by MARD and MONRE on instructions for forest allocation and lease together with forestry-land allocation and lease.

²⁰ PFMBs have the biggest stock with 42.3%, followed by forestry companies with 21.3% and NPs with 16.4%.

Supported by provincial policies to promote public-private partnership in forest management and development, the PPC have approached private companies with offers of forest leases, encouraging them to invest in activities to convert poor forests into coffee and rubber plantations, or tourism services. Many informants from losing forestry companies felt they had been ignored by the PPC or pressured by private companies in Lam Dong, HCMC or Hanoi. At the moment, forestry companies in Lam Dong are waiting for a national reform to restructure forest companies, by which they hope logging permissions would be continued.

In the past decade, private companies have become a key driver of significant change in forests. Based on national policies on forest lease and provincial incentives for private investment into the forestry sector, more than 15% of the provincial forestland has been allocated to private companies.

Many informants from provincial and district agencies asserted that private companies investing in small hydropower constructions, rubber plantations and other services in Lam Dong, had strongly influenced provincial leaders and the PPC. As a consequence, decisions related to forestland allocation, forest lease and forest conversion had come to their benefit. District, communal authorities and local communities had not been taken much into account.

According to informants from Da Chay and Da Sar Communes, a lack of transparency and participation in decision-making processes have raised a lot of concerns among local authorities. This has caused various conflicts between private companies and local villagers due to shortage of cultivation land, access to forests, compensation and employment. On the other side, about 100 forest lease contracts with private companies have recently been terminated by the PPC because of their failure to comply with investment agreements.

e) Provincial police, military and other law enforcement agencies

The Government has issued a Circular²¹ that guides the set-up of inter-agency cooperation between rangers, police and military forces on forest protection, prevention of forest fire and illegal activities, has been issued. That said and unlike other provinces in Viet Nam, Lam Dong has not prepared any legal instrument to institutionalize the circular for long-term compliance.

Instead, the PPC usually issues and delivers urgent messages²² and instructions²³ to request involved agencies²⁴ to respond immediately to prevent forest fires in hot seasons, illegal logging and forest invasion at hot spots. In Di Linh district, close cooperation between district FPD, forestry companies, local police and military has been formed through a joint task force, which mainly focuses on keeping local villagers from expanding their coffee plantation onto new land.

In Lac Duong district, collaboration between forest holders, such as Bidoup Nui Ba national park and Da Nhim PFMB, and the police and military, is struggling to prevent illegal logging in border areas to Khanh Hoa or Ninh Thuan. The team of consultants, however, found no evidence of the effectiveness of this joint task force. Put another way, its contribution to forest protection is questionable since illegal logging and forest encroachment continue. District FPDs blame limited resource and budgets for this. Same reason was also provided to explained the allocation of thousands of hectares of

²¹ No.144/2002/TTLT-BNNPTNT-BCA-BQP dated on 13 December 2002

²² For example, an instant message No.777/CD-UBND dated 21 February 2013 issued by Lam Dong PPC Chairman on requests of strengthening actions toward preventing and stopping forest fire in Lam Dong province.

²³ For example, an instruction No.01/CT-UBND dated on 08 January 2013 signed by Lam Dong PPC Chairman on strengthening forest fire prevention in dry season 2012-2013.

²⁴ Such as DARD, FPD, state-owned forest management boards, DPCs or provincial Police and Military

income generating forests e.g. in Di Linh to district police and military. DARD, however, stated that this allocation was purely for security purposes. Many district informants felt the joint task force focused more on fighting local villagers than illegal loggers, timber traders and violating wood processing workshops. This was proven by the fact that only a few forest violations were prosecuted in Lam Dong in the past decade even though thousands of forest crimes, including attacks on local rangers, were officially recorded annually.

f) Other departments, including DPI, DOF, DOIT, DOST, DOLISA and DOCST

The Department of Planning and Investment (DPI) has the potential to make significant influence to the remaining forests in Lam Dong. They are responsible for developing the SEDP, and reviewing sectoral development plans for forestry and agriculture, including land-use plans, to ensure that they are consistently integrated into the SEDP. DPI advises the PPC on objectives related to economic development, which sometimes are in conflict with forest preservation. Recent years' increased investments in hydropower development, mining and rubber plantations have partly contributed to the loss of thousands hectares of natural forests. In that sense, forest conservation has actually been undermined in Lam Dong. And, more forests will need to be sacrificed to meet the objective of 150,000 ha of rubber plantations by 2020. DPI is also responsible to guide and grant investment permissions for private actors in Lam Dong prior to final approval by the PPC.

The Department of Finance (DOF) has a critical influence on the decision of PPC's budget allocation for forest protection and development activities. According to DARD, DOF usually makes a large cut-off from their fiscal proposal. Some informants also wondered if DOF would cut off local budget for management of special use and protection forests once REDD+ revenues were generated from these areas.

Conflicting interests of other sectors under the control of DOIT (hydropower, mining, timber processing, export coffee, flower), DOLISA (demanding more forestry-land for the poor and ethnic minorities) or DOCST (mobilizing private investment for tourism infrastructure development) also influence forest protection in Lam Dong. Although consultations between different departments happen, no mechanism for negotiation exists. Thus, final decisions are normally sent to the PPC.

g) National and provincial media (newspapers, TV agencies, including social media)

Newspapers, radio and television in Lam Dong are not encouraged to frequently report "bad" news on deforestation and forest degradation in the province, due to "political obligations". Published reports and news are always strictly monitored by the provincial communist party's propaganda apparatus and education division in order to avoid public criticism. Local media in Lam Dong broadcast radio and television in ethnic languages that can help to disseminate information on forestry policies and laws to local villagers, and subsequently raise their awareness.

However, forest crimes in Lam Dong are usually reported by many national newspapers, such as Lao Dong, Tien Phong, Tuoi Tre and Thanh Nien and many online newspapers and websites. Illegal logging, timber trade, poor law enforcement and forestland conflicts get a lot of coverage. Journalists challenge local authorities on their responsibilities and performance on forest protection. Media coverage has lately resulted in PPC, the Government Office or MARD demanding responsible agencies to take appropriate action to handle disclosed violations in the province.

h) Consulting firms, service providers and bi- and multi-lateral organizations, including Da Lat University and INGOs

Representatives from Da Lat University²⁵, are usually invited as members of scientific committees coordinated by DOST, or to attend scientific consultations. The engagement is based on administrative agreements or service contracts, in which they agree to share knowledge and give advice on environmental impacts assessments, land use planning, community awareness, grassroots development planning, PFES, FPIC/REDD+, training and capacity building for local audiences.

While being recognized as important institutions, particularly in term of providing scientific information and educating students, they admit that the power of decision-making ultimately lies in the hands of the provincial authorities, especially the party committee and the PPC. The position of the university in the provincial institutional structure, particularly on natural resources and forestry, is influenced more by individual experts than the organization as a whole. Their role and participation in provincial policy development is quite limited. The strengths of the university are the trainings, awareness raising and baseline studies they can conduct on forest management and development. However, further assessment of their inter-disciplinary study capacity, availability and readiness of experts might be necessary.

International development agencies, international consulting firms, INGOs, and Vietnamese NGOs, can influence decision-making through ODA projects and partnerships with the province. For example, Lam Dong was chosen by the Government to pilot PFES in 2008²⁶. With technical support from Winrock International and MARD through a three year USAID funded project, a national PFES policy was eventually adopted. Lam Dong has become a leading province in institutionalizing and implementing PFES, which also has led to the set-up and operation of a FPDF²⁷.

Such agencies can facilitate local authorities and other stakeholders to work together to demonstrate new practices, and promote new policies such as PFES, REDD+ (FPIC, BDS), forest co-management, community forestry/household forest allocation, or grassroots participation etc. Facilitation by international agencies could be limited due to administrative and political barriers, as reflected by Toward Transparency, for example when local authorities impose barriers to foreign experts working on governance issues related to rights of indigenous people, community institution, grassroots monitoring/democracy, transparency, etc.

Consulting firms are also identified as important actors in the policy-making and stakeholder facilitation in Lam Dong. A FLITCH project manager mentioned he highly appreciated the Lam Dong Agro-forestry Consulting Center for helping his project facilitate DARD and DONRE to work together in participatory forest land-use planning and forestland allocation at their project sites. The consulting firm had helped to conduct the assignment quicker than usual. From another point of view, similar to other provinces, provincial planning for hydropower development and mining had been strongly influenced by external consulting firms. As a consequence, forest resources in Lam Dong experienced significant disturbance once the plans were approved for implementation. Forest conservation and environmental protection had been considered less important in these plans. In addition, some informants from Lac Duong District also pointed out that some consulting firms in Lam Dong had utilized their own working relations (with provincial authorities) to facilitate and help private companies to quickly “occupy” forests and forestland for business purposes in accordance with forest lease policies.

²⁵ Particularly from the Faculties of Environmental Sciences, Agroforestry, Law, Sociology or Social Work

²⁶ Decision 380/QD-TTg dated 10 April 2008 by Prime Minister on piloting policy on PFES

²⁷ Decision 333/QD-UBND dated 17 February 2009 issued by Lam Dong PPC on establishment of Lam Dong Forest Protection and Development Fund and its organisational and operational regulations.

i) Provincial mass-organizations, including Women's Union, Youth Union and Farmer's Union

In 2008 the Provincial Communist Party's Standing Committee in Lam Dong promulgated an instruction²⁸ to strengthen the party's leadership in forest management, protection and development. Following this, the PPC issued a decision in 2009 on rules of collaboration between forest rangers and departments, agencies and political-social mass organizations. According to this decision, the military, state-owned forest organizations, and mass-organizations should partner with local FPDs in promoting public awareness, conducting forest patrolling, preventing illegal logging and forest fires, forestry-land allocation, household contracting for forest protection, and forest plantation.

A report by DARD²⁹ states that in compliance to the instructions and decisions, DARD organized 4,756 propaganda meetings to raise awareness for almost 107,000 people, delivering more than 118,000 leaflets, signing nearly 25,500 forest protection contracts, and sensitizing 329 villages to develop their own forest protection regulations.

Mass organizations usually mention their "awareness raising" (as one-way information dissemination, *tuyên truyền*) and "mobilizing people" (*vận động nhân dân*) to protect forests and stop illegal logging. Each of these organizations has a wide and well-organized network ranging from province to village, thus they can easily target villagers. However, the team of consultants found no clear evidence of any collaboration with local FPDs after the decision went into effect. Informants said the collaboration did not work well because there were no funds to mobilize campaigns, which meant messages had to be integrated into regular meetings. Observations from meetings with communal officials point out that these organizations were not trained, motivated or prepared to realize the collaboration.

j) District authorities, including DPC, district FPDs and other divisions

The formal authority over forest management and protection at district level belongs to the DPC. Despite of this, DPC's decision-making power in forest land-use planning and forest lease is weak as they have to comply to and follow decisions made by PPC. This explains why private companies usually ignore the DPC when they lobby for forest lease agreements or hydropower projects in the district. The responsibility of the DPC is more related to monitoring compliance to PPC decisions. Its power to enforce laws and process violations is also limited. Therefore they usually act as an intermediate in addressing conflicts on access to forests or land-use between local villagers and private companies.

It's the responsibility of DPCs to ensure prevention of forest fire, illegal logging and forest encroachment, manage forestry products, forestland allocation to households, and management of unallocated production forests. They delegate these tasks to district FPDs and a task force consisting of local ranger, police, military and forest holders. DPC does not have power to make decision on land allocation to state-owned forest organization and the private sector or PFES for local villagers. DPC only implement the decisions made by provincial leaders. The team of consultants found that Di Linh and Lac Duong district leaders were not much involved in PFES and the restructuring of state-owned forestry companies led by the Central Government. It will be hard for them to challenge the lack of cultivation land, livelihoods for forest dependents people and poverty reduction if the Central

²⁸ No.41-CT/TU

²⁹ News on Lam Dong online-newspaper: <http://baolamdong.vn/chinhtri/201108/So-ket-3-nam-tang-cuong-su-lanh-dao-cua-dang-trong-quan-ly-bao-ve-phat-trien-rung-2067518/>

Government maintains the current procedures of forest management, and the PPC does not support allocating forestland to local households.

k) Communal authorities, including Commune People's Committee and village communities

CPC's decision-making power over forest resources is not clearly defined, and usually conflicts with forest management boards. In practice it is very weak. Their responsibility is more associated with awareness raising, prevention of forest fire, illegal logging and forest invasion, assistance to forestland allocation, and mobilization participation in forestry activities in communes. The CPC usually sets up a communal forestry board (CFB), a multi-stakeholder institution³⁰, to implement these tasks. Although DARD stressed that the CFB institution is funded by the state and only found in Lam Dong, the team of consultants found that this body is mainly used for periodical information exchange rather than for decision-making. In that sense, it is not a forest co-management body where local villagers are represented, treated equally and able to negotiate and collaborate with local authorities and management boards of forest organizations.

An informal forest co-management model does however exist at local level. It happens that groups of villagers and households sign annual contracts of forest protection with PFMBs or forestry companies. The size of each group in Di Linh ranges from 15-25 households, and they establish forest patrolling work plans with field staff of forest holders. This model has been extended to many communes in Lam Dong benefiting from PFES.

4.3 Stakeholder mapping and implications of institutional analysis to REDD+ and PGA in Lam Dong

The stakeholder mapping and analysis is presented in Figure 4.3.1 and 4.3.2: Power of decision-making³¹ and their interest and influence³² on REDD+.

4.3.1 Relationship of Influence and power of decision-making in REDD+ analysis

Not surprisingly, the PPC is the most powerful decision-making body for REDD+ in Lam Dong. PPC has the power to decide whether REDD+ should be developed in the province, and also on land-use planning. PPC also makes decision on policies, financial mechanisms, human resources and coordination among institutions to implement REDD+.

Among the PPC's provincial departments, DARD is the highest consultancy body in forest protection and development. Hence, it comes second to the PPC. DARD should be acting as focal point institution for REDD+ in the province, with FPD and DoF as implementing agencies, of which FPD is in charge of the first two objectives of REDD+ (reducing deforestation and forest degradation), and the remaining three objectives with the Department of Forestry (sustainable forest management, carbon storage and carbon enhancement).

DONRE's recommendation on forest owners and use of forestland will influence REDD+. DPI and DOF have some influence as professional advisory bodies for PPC. DIC also has certain influence on land planning for production, construction and hydropower projects.

Although DPCs and their functional departments have decision-making power in forestland allocation to local people and small enterprises, observations from Lac Duong and Di Linh confirm

³⁰ Consist of communal leaders, forestry police, military staff, village chiefs, field rangers assigned by district FPD, and representatives of forest management organizations.

³¹Power here is the right and responsibility of the organization and its leader as defined by law. Power is limited by the law and regulations for official and public servants of the Communist Party, and other relevant legislations.

³²Influence happens vertically. It is defined hierarchical relationship within the organization.

that the policy restricting or banning forest allocation to ethnic minorities prohibits them from doing their task. However, they still have a responsibility for implementation future REDD+ activities at district level. Although the police and military have little power and do not participate directly in implementation of forest plans, they provide valuable support in protecting border-area forests and when forest fire occurs. State forest organizations own most of the forest in Lam Dong. They are the main players in implementing PFES, and responsible for forest protection and development and contracting local people for forest protection. According to the current mechanism of task assignment, they just perform the duty assigned by PPC and under the control of other functional departments, and this explains why they have so weak influence and decision-making power in REDD+ process.

CPC, in spite of their responsibilities in the commune territory, has the weakest voice and influence on forest protection and development in general. However, communal forestry official, who are directly in charge of forest protection and development, hold key information on forest status.

Informal institutions such as mass-organizations, NGOs and Da Lat University have no decision-making power in REDD+, however, they are able to influence REDD+ at certain level. If they are assigned specific tasks, such as research and pilots on community participatory activities, they will become effective advocates for forest protection and REDD+ implementation. Private firms do not have decision-making power, but strong informal influence on decision makers in REDD+.

Some private companies, especially within eco-tourism, are the least effective companies in Lam Dong, because they do not invest in REDD+. After receiving forestland they make use of it as quickly as possible for their own purpose and revenue. The last informal institution, which is an extremely important one to REDD+, is the local community. Their livelihood is based on forest, especially for ethnic minorities. In Da Sar commune most households can join REDD+ in the role of contract worker for forest protection the forest may be better protected. Whilst in Bao Thuan and Gung Re a few households (215 among 1,323 households) are contracted for forest protection. As their income from coffee is low, there is a risk they turn to deforestation activities unless their incomes from forest protection are high enough.

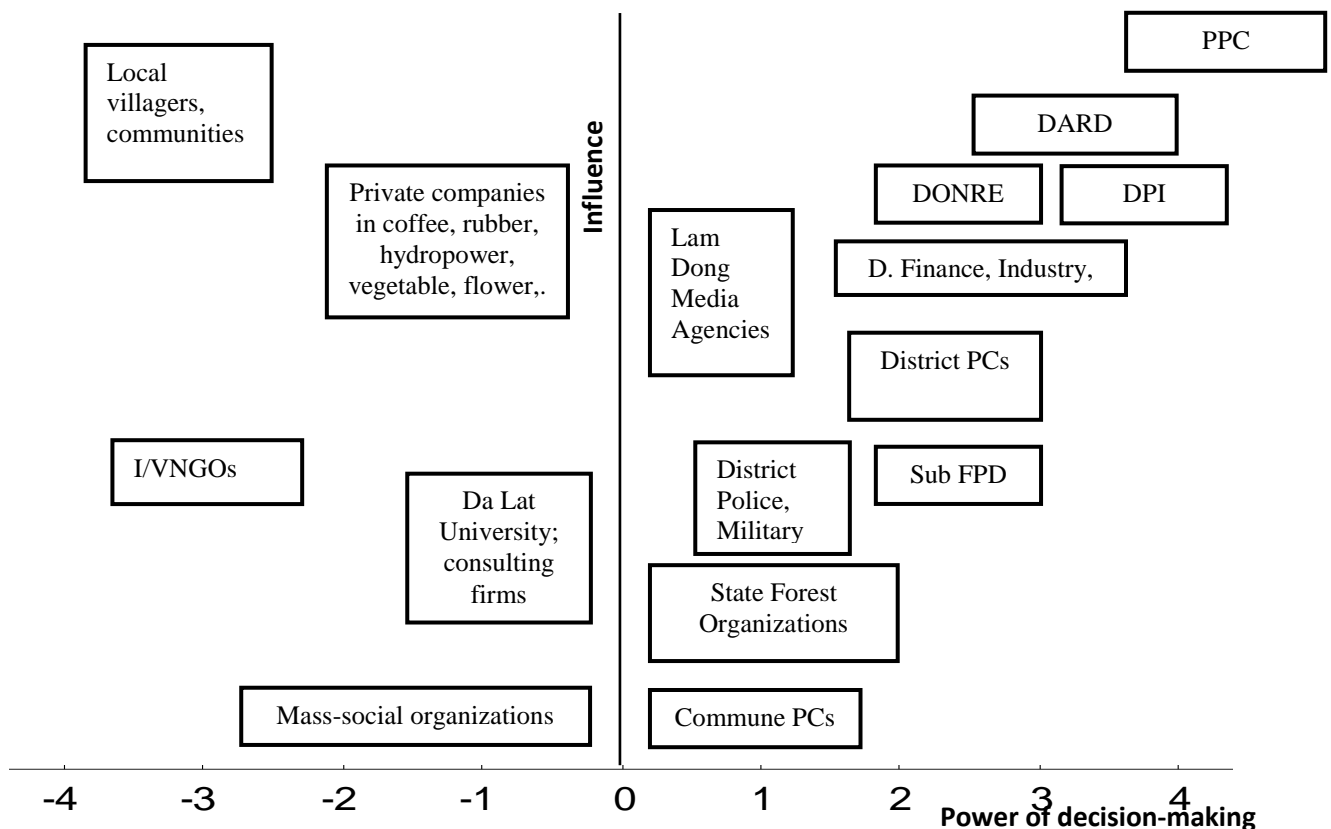


Figure 4.3.1: Influence and Power of decision making on REDD+

4.3.2 Relationship of Interest and power of decision-making in REDD+

Based on the relationship between *Interest* and *Power of decision-making*, potential REDD+ partners can be divided into 4 categories. See figure 4.3.2. The main partner in forestry/ REDD+ management at provincial level is the PPC, closely followed by DONRE and DARD. At district level, DPC and its two functional departments (Natural Resources and Environment Department and Forest Protection Department) directly monitor the forestry/REDD+ process in the district. Mass-organizations, state forest organization will participate directly in REDD+ locally. Close engagement with these bodies is important.

Groups that need to be mobilized to participate in REDD+ are ones with medium to low interest to REDD+ (level 0-2), including: Provincial People Council, Department of Planning and Investment, Department of Labour, Invalids and Social Affairs, Department of Tourist and Communications, Police and Military, NGOs, Da Lat University, Center of Consultancy and Investment. Although they have little interest in forestry/REDD+, these agencies have strong influence on the success of REDD+.

The Commune's People's Committee needs to be trained and strengthened, as it has high interest in REDD+ (level 3-4), but little decision-making power.

Lastly, the groups that need more awareness raising on REDD+, forest protection and management (level 0-1 in interest), include private companies and especially communication agencies at provincial and district level. It should be noted that institutions such as state forest organizations, community and mass-organizations with level of interest on REDD+ around 1-3 need strengthened capacity to participate in REDD+ and also to be authorized more power in REDD+ implementation.

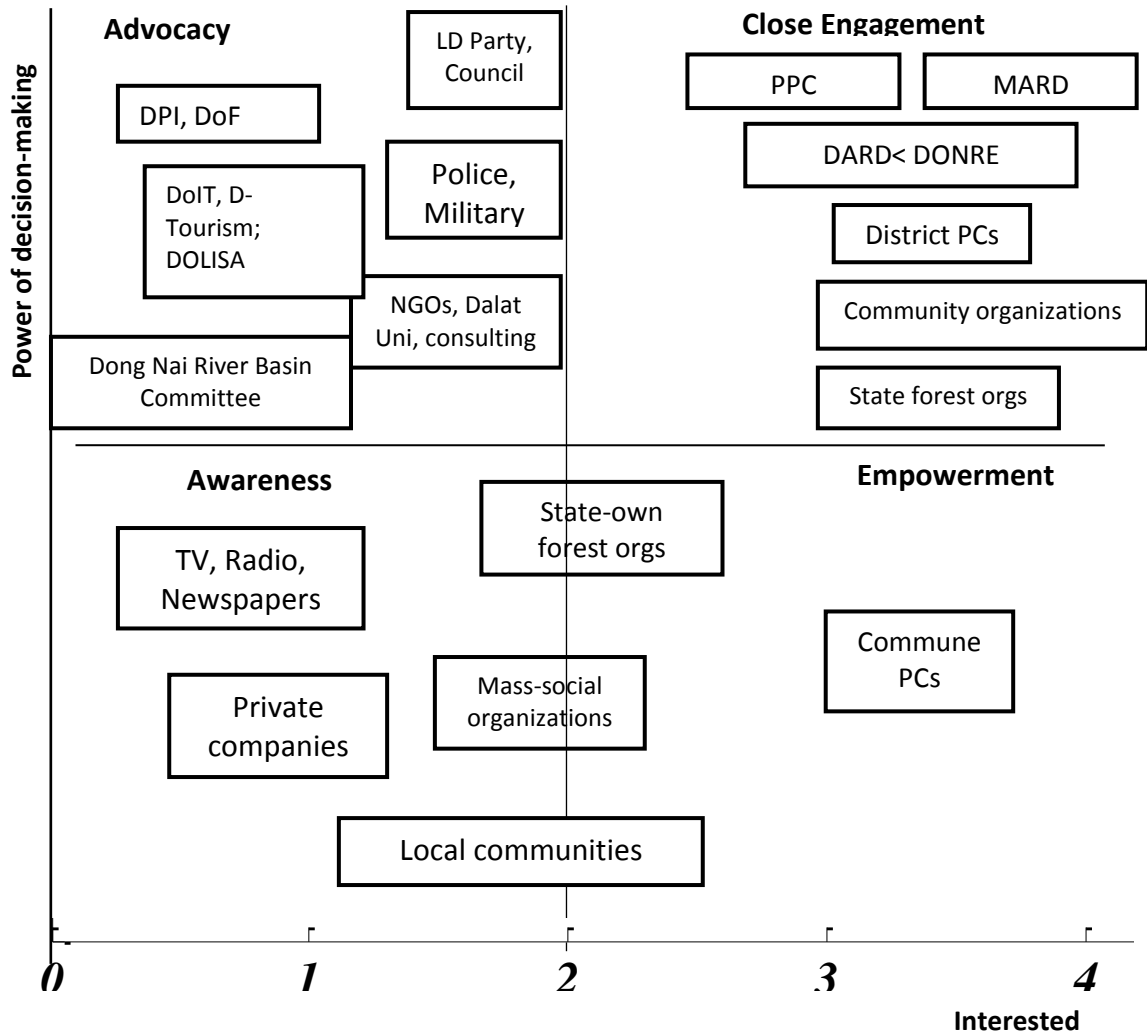


Figure 4.3.2: Interest – Power of decision making of Stakeholder in REDD+

5. Analysis of key governance issues in forestry in Lam Dong

The depth of consultation and broad-based representation of an ICA is extremely conducive to identifying broad areas of governance and associated challenges that are prevalent in a specific area. This analysis has therefore taken the approach to conduct an ICA as the first step of the larger PGA process. On the one hand the findings from the ICA inform possible institutional arrangements for the second phase of REDD+ in Lam Dong province and - if suitable to replicate - in the other five pilot provinces for UN-REDD Phase 2. On the other hand these findings outline a broad base for developing participatory governance indicators by outlining a broad set of governance issues. This section analyses a number of clearly prevalent specific issues in the forestry sector that were mentioned during the research for the ICA and identifies the areas of governance that these issues fall into.

There are five distinct issues that can be identified through the ICA:

- Existing mechanisms for forestland management do not ensure opportunities for improving or maintaining local communities' livelihoods and well-being
- The government's management of private companies does not comply properly with the law, policies and contracts, especially with respect to rented forestland
- Law enforcement to prevent illegal logging is not very effective
- Commune authorities and local communities are practically marginalized from the management of forests and forestland use in their areas

- Inter-sectoral and inter-agency coordination for the management of forests and forestland is not effective

5.1 Governance issues identified after consultation in Lam Dong

Issue 1: The existing mechanisms for forestland management do not ensure opportunities for improving or maintaining local communities' livelihoods and well-being.

Access to land is a major issue for all stakeholders in Lam Dong province. The primary and secondary data show that Lam Dong province differs from other provinces in implementing land use policies. The province limits allocation of forestland to households and prioritizes private companies, some of which are based in Ho Chi Minh City, for the objective of economic growth. There are opposing viewpoints on who should be allocated land between the provincial DARD and other actors. The Table below provides a summary of major issues and the opposing viewpoints.

Table 5.1

| <i>Issue</i> | <i>DARD officials' point of view</i> | <i>Non-DARD actors' point of view</i> |
|--|--|---|
| Land allocation to households or communities | Opposed | In support |
| Forest protection | People with low levels of education would not cooperate with authorities and would not be able to protect the forest | The people in the communes can protect the forest, if there are clear boundaries and if they are fully informed about the laws and responsibilities by government officials |
| Forestland sale | Households would sell the forest land, if it were allocated to them | Households would not sell the forest land, if it were allocated to them |
| Economic growth objectives | The current mechanisms applied to the existing forest users can meet the goal of economic growth and work well | The current mechanisms are fostering inequality and are unfair for the local communities and households |
| Forest management structures | The current structure of forest management by government agencies of forest land is the best | The current structure of forest management by government agencies of forest land (incl. program 661, PES, Forest rangers) is ineffective |

Because of the lack of secure land tenure and access to forest land to ensure sustainable livelihoods for rural communities, local people encroach illegally on the forest, which is difficult to prevent. Moreover, although these people are in a suitable position to protect the forest, they are damaging or destroying the forest, because they are working for illegal loggers to earn a meager wage. A number of households are faced with a shortage of agricultural land to maintain their livelihoods, especially young couples from poor families

The field work in Lam Dong confirmed that there are groups of people living around the forest without opportunities to access forest resources, not even through the 12-month forest protection contract or through state programmes like programme 661 or PFES. Even these programmes provide only limited opportunities for poor households and ethnic minority groups, who have the sufficient human resources to maintain the forest. Figure 4 shows the distribution access to forestland by type of users. Opportunities to access forestland are uneven, with households and individuals accounting for only 1.6 % of forestland allocation.

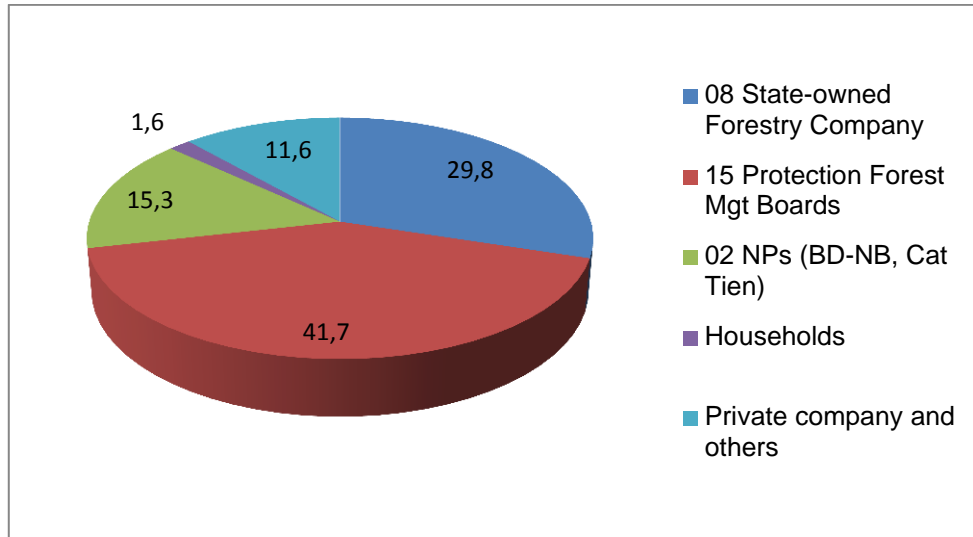


Figure 5.1. Forest user groups in Lam Dong Province

Although allocation of land to households is currently low, the province is piloting a community based forest management model in 10 communities. However, there are strong concerns that the chances to access land are considerably lower for communities and households as supposed to private companies and state-owned forestry organizations.

Generally, rural households wished to be allocated forestland and stated that they would protect the forest, if they had secure tenure with clear boundaries and full access to information on laws and regulations. However, some households in Bao Thuan commune reported that they requested the allocation of forestland that they had taken care of under the 337 Programme since the 1990s, but were unsuccessful with their request. The land was allocated to individual staff of a state forest enterprise.

Given the difficult situation that the people are in now, they are driven to illegal encroachments on the land. Stakeholders reported that such activity is taking place during nighttime and only few people have been trialed and fined. Moreover, some farmers had sold their land to non-local people and subsequently had to work on the land for low wages.

The lack of secure tenure is a serious problem for local communities and causes a lack of long-term commitment to forest protection. Even a forest protection contract, under which people receive payments³³, provides only a short term planning base and low wages paid by other forest owners are an additional concern for many people. In addition, the authorities stressed that they do not have the resources to protect forestland and prevent illegal logging. Pressure on land is also high from hydropower, agro business and mining. Rural communities expressed concern that current mechanism designed to foster economic growth are highly unequal and provide only limited opportunities for them.

There are two general governance principles in the forestry sector in Lam Dong province that emerge from this specific issue. First, the current practice on the ground is considered by many stakeholders not inclusive and lacks opportunities for participating in decision-making processes. Secondly, there is inequality with respect to access to land.

Issue 2: The government's management of private companies does not comply properly with the law, policies and contracts, especially with respect to rented forestland

The ineffective use of forestland allocated to private companies was a major concern for stakeholders at all levels of government from the commune to the provincial level. According to the provincial policy private companies are given priority for accessing land with the goal of fostering economic growth.

³³ Under the PFES scheme.

There is a common perception that the number of the successful private companies is small. The reasons for this lack of success amongst private companies vary. Some companies are unable to raise substantial investments required to fulfill a forest lease contract. Others simply do not fulfill their contractual obligations, especially with respect to social and environmental responsibilities. In other cases the companies engage exclusively in timber harvesting or leave the land unused. However, policies and laws have not been applied properly in many of these cases. If private companies are not fulfilling their contracts within the first two years, for example by leaving the land unused or it is not used within the stipulated rules in the contract, they would legally be required to return the land to the province, but this is not applied in practice. Stakeholders at the commune level expressed their discontent regarding this practice and considered this phenomenon an “elite capture” of forestland by private companies.

Currently, there is no proper monitoring system in place, which means such issues are not identified properly at the provincial level. Private companies will be checked more regularly in the future, according to a DARD official. There is also a high rate of turnover amongst the companies. Up to now, more than 100 private companies were unsuccessful and dissolved. Moreover, the contribution to economic growth by these companies is questionable.

The current situation raises three issues in terms of governance. First of all, the rule of law is inconsistent or applied somewhat arbitrarily regarding the allocation of land to private companies. Moreover, there is a lack of both transparency and accountability. Stakeholders, especially those at the commune level, are not informed about the land allocation process, which is not conducted transparently. In addition, there is no complaint mechanism and thus there is a lack of accountability by government officials.

Issue 3: Law enforcement to prevent illegal logging is not very effective

All stakeholders have confirmed regular occurrences of illegal logging. Poor law enforcement mechanisms are usually considered the main reason for this. The issue was a major concern to all stakeholders. Generally spoken, illegal timber logging is a lucrative business and stakeholders identified a variety of factors that drive illegal logging, however, the proceeds of it are concentrated in the hands of a few.

Engaging in illegal timber logging is a matter of sustaining a livelihood for most people, either by using the forest for agriculture and other unsustainable activities or by working directly for organized illegal loggers. The compensation for this work is very low, however, and will sustain people's livelihoods in the long run. Some stakeholders have stated that people in rural communities lack understanding of the law. However, some people have full knowledge of the law, but break it regularly for logging and work through large illegal logging rings. Similarly, reporting of illegal logging by the population is rarely occurring, although reporting illegal loggers could in theory carry a reward for the reporting person. However, most people do not consider reporting of illegal logging to forest rangers an effective way to prevent this activity.

Law enforcement is further weakened by reluctance by authorities to report people from their own communities or fears of revenge. Some illegal loggers have also resisted law enforcement agencies violently, including using sticks, hammers and knives as weapons. Forest rangers also received “legal but illegal orders” from powerful officials, when arresting illegal loggers and were forced to release them shortly after arrest. Moreover, forest rangers complained that they lack human resources and have a shortage of vehicles for effectively enforcing the law. Their salaries are also low, they reported.

Commune authorities and the heads of villages reported that those arrested by forest rangers are relatively small cases, such as local people on motorbikes, while large trucks of illegal timber have practically free passage. During field research timber trucks were observed in the natural forests of Bao Thuan and Gung Re and when the team of consultants took pictures of the trucks, the drivers were visibly angry. The people in the commune do not know where the timber comes from.

A major pressing issue for the rural population, especially poor people, is the uneven enforcement of the law. In Da Sar and Da Chay illegal forestland encroachment has occurred continuously for coffee cultivation by the local people. The commune and village leaders reported that a young couple without land was recently on trial for four “sào”³⁴ of illegal forestland encroachment. They received a penalty of 35 million VND and 5 years of probation, while large illegal logging rings are hardly prosecuted.

The major governance theme that can be identified through this specific issue is rule of law as shown through both the lack of enforcement and the uneven enforcement of the law.

Issue 4: Commune authorities and local communities are practically marginalized from the management of forests and forest and use in their areas

Decision-making power regarding forestland use planning is highly centralised in the Provincial People's Committee. Provincial departments such as the DPI, DONRE, DARD and DOF have primarily advisory functions. The district authorities manage only small tracks of land, which are rented to private companies, but they expressed their concern that they are not powerful enough to manage the land in their areas effectively. Contrary to the Grassroots Democracy Ordinance³⁵, commune authorities are unable to participate in the decision-making process and are usually not in a strong enough position to protect the local populations' legal interests regarding forest land-use planning. They generally obey orders from higher levels of government. All the district and commune authorities suggest that they need more power to fulfill their duties as forest managers in their areas.

In almost all consulted communes, the commune authorities do not have the power to monitor the fulfillment of contracts by private companies. For example, they are unable to enter the land rented by private companies and cannot check between renewals of contracts. Often they are unaware of land leases and only get to know about new leases, when the new lessors appear in the commune. In addition, the local authorities and people seriously do not have access to relevant information, such as policies and laws, meaning they do not know their rights and responsibilities regarding forest land use and monitoring of land leased to private companies.

Many village leaders and leaders of contracted forest protection groups explained that there is no functional complaint mechanism and that their complaints to the forest agencies receive no response. They also complained that PFES payments are late and that at the time of consultation in December 2012, they had not received the PFES money for the second half of 2012. The contract for forest protection is transparent and contains relevant information on paper, including plot numbers and boundaries, but in practice this information is meaningless.

The governance themes that can be identified through this specific issue are transparency, participation as well as accountability as a related matter. Allocation of land is done at the provincial

³⁴ 1 sào = 360m² in Northern Vietnam, 1 sào = 500m² in Southern Vietnam

³⁵ The first new policy was Party directive 30/CT-TW, dated 18 Feb.1998. This was later issued as Decree 29 in 1998, superseded in 2003 by Decree 79. Both decrees were officially titled ‘Decree on the issuance of regulation on implementing democracy in communes’, however they have become popularly known as the ‘grassroots democracy decree’. Thus, for the sake of simplicity, this paper refers to GDD, meaning both the Decree 79 and similar decrees providing for increased democracy in other fields. These include state owned enterprises (Government Decree no. 7/1999/ND-CP of 13 Feb. 1999 on implementing grassroots democracy in state enterprises) and administrative offices (Decree 71/1998/ND-CP of 8 Sept. 1998 on the promulgation of the regulations to realise grassroots democracy in government agencies).

level without local authorities and communities receiving information about the process, which means there is a lack of transparency and by extension authorities are not accountable to their people. In addition, the unilateral decision making process at the provincial level of government points to a lack of participation by the people most affected by these decisions.

Issue 5: Inter-sectoral and inter-agency coordination for the management of forests and forestland is not effective

There are two main ad-hoc coordination regimes at the provincial and lower levels for the management of forestland. The first one concerns coordination amongst relevant departments at the provincial level, the second concerns the coordination of law enforcement agencies, including forest rangers, police, military and state-owned forestry organizations.

At provincial level almost all stakeholders agreed that the co-ordination between relevant departments, including the DPI, DONRE DARD and DOF, is weak and needs the significant improvements. For instance, the official data managed by different departments on forestland differ from department to department. These and similar coordination issues cause gaps or overlaps in the administrative structure.

Reasons for the lack of coordination are: 1) Each department focuses on its own work and goals; 2) Senior management is not regularly attending coordination meetings and the attending staff cannot make decisions so that the meetings end inconclusive; 3) Issues are not or only poorly followed-up. All stakeholders have recognized these weaknesses for a long time, but little improvement has taken place.

At the district level, the inter-agency coordination between forest rangers, the police, the military and state forest owners is not effective in preventing illegal forest land encroachment and logging. Almost all stakeholders agreed that the control mechanisms between these four agencies are not very effective. Some interviewees even expressed that this practice is waste of public money and leads to increased infringement of the law by the local population.

This issue points to a lack of accountability by the various departments and agencies as well as a generally inefficient public administration.

5.1.1 Summary of prevalent issues in the forestry sector in Lam Dong

The five issues described above show considerable commonalities along some principles of good governance. All issues are directly or indirectly linked to land use and land allocation. There are opposed views on land-use regimes between the provincial DARD on one-side and district and commune representatives on the other. The allocation of land to private companies under an economic growth paradigm is highly contested by local communities. Some of the more direct complaints by these communities include late payments under the PFES scheme, a lack of supervision or control over private companies' performance and the absence of a complaint mechanism. Moreover, poor law enforcement with respect to illegal logging as well as poor inter-sectoral and inter-agency coordination and the unequal application of the law was a major issue amongst stakeholders. The ability by commune authorities and rural communities to participate in the decision making process was further a cause of discontent.

5.2 Broad governance principals to be considered in the PGA

Based on the five major issues identified during the consultations at the provincial, district and commune level, five broad areas of governance can be identified that should be further investigated during the PGA and provide the framework for developing participatory governance indicators through the process of the PGA. These broad areas of governance or governance principles are:

- Transparency
- Accountability
- Rule of Law

- Equity and Inclusiveness
- Participation

In March 2013 the findings were consulted in a validation workshop with relevant stakeholders (see Annex 5). At this workshop, stakeholders asked to rank the five issues described in the previous section by order of importance through pair wise ranking³⁶ (see Box 5.1). However, this ranking cannot be directly translated into a ranking of the five governance principles that should provide the framework for the development indicators within the PGA. Rather the ranking provides an order of importance of the specific issues. Table 5.2 below summarizes the evidence collected from the consultations that supports each of the five governance principles.

Table 5.2

| Governance Principle (Broad area of governance) | Supporting evidence (examples from consultation) |
|--|---|
| Transparency | <ul style="list-style-type: none"> - Decision-making for land allocation is not <i>transparent</i>. In some cases communities only learn about land allocation in their areas, when a new owner or lessor arrives |
| Accountability | <ul style="list-style-type: none"> - Contracts with private companies are not enforced by the authorities - Transfer payments for PES arrive late without consequences - There is no functional existing complaint mechanism - There is undue interference (“legal, but illegal orders”) by authorities in the work of law enforcement agencies |
| Rule of Law | <ul style="list-style-type: none"> - Illegal logging cannot be prevented - Law enforcement agencies are poorly coordinated and equipped - The law is applied unevenly - Contracts with private companies are not enforced by the authorities |
| Equity and Inclusiveness | <ul style="list-style-type: none"> - Land is allocated disproportionately to private companies - There is practically no opportunity for participation by commune leaders in the land allocation process - Only a small proportion of land is allocated to households, while large areas are allocated to companies with the goal of economic growth |
| Participation | <ul style="list-style-type: none"> - There is practically no opportunity for participation by commune leaders in the land allocation process |

³⁶ Rapid and simple way of selecting the most important issues or problems facing a community. Brainstorming generates a preliminary list. A group of people then vote on the significance of every item against each other item using a matrix. <http://web2.concordia.ca/Quality/tools/18pairwise.pdf>

Box 5.1: Pair wise ranking of issues and disagreements during validation workshop

During a validation workshop for the findings of this report, held on March 6th, 2013 in Lam Dong Province, participants expressed opposing viewpoints weather land should be allocated to households (local people) or not. While provincial authorities, mainly representatives from DARD, claimed that rural communities would not be able to look after the land and would eventually sell it, the communities themselves strongly asserted that they are very well able to look after the land, but need secure tenure and long term planning horizons. No consensus could be reached on the issue.

Participants also engaged in a pair wise ranking exercise of specific issues, providing an order of importance of the specific issues, which provides a general guidance, which areas of governance are important to the participants.

Ranking of issues (in order of importance):

1. Inter-sect oral coordination in management of forest land is not effective
2. Law enforcement to prevent illegal forest degradation and deforestation is not effective
3. Existing management system of forest land management is not ensuring opportunities for improving or maintaining local people's livelihood/well being
4. Commune authorities, local people almost marginalized from the forest/forest land use and management in their locality
5. Government agencies' management over the private companies' performance, especially on using of the rented forest land has not comply properly with the law/policies/contract

5.3 PGA Advisory Group

In the next phase of the PGA it will be crucial to develop specific indicators in the five broad areas identified above to measure governance performance. In order to develop these indicators an Advisory Group should be set up that can inform the process and provide inputs regarding the types of indicators to be applied, data availability and how to avoid manipulation of the indicators. The ICA described above should inform the selection of advisory group members.

In the context of a PGA for REDD+, the Advisory Group should broadly represent the interests and concerns of the various stakeholders in REDD+ and consist of individuals to be selected from provincial authorities and departments, political and social mass-organizations, civil society organizations, academic and research institutes, and indigenous community institutions. This group could also be extended to engage representatives of key national government counterpart such as MARD, MONRE, legal institutions, and international and national NGOs familiar with REDD+ and forest governance.

With facilitation by UNDP, FAO and VNForest, the Advisory Group would be responsible for contributing to the development of governance indicators based on the five governance principles transparency, accountability, rule of law, equity and inclusiveness as well as participation.

A list of selection criteria of Advisory Group members has been discussed and agreed during the validation workshop in Lam Dong, including (i) willing to follow from the beginning to end; (ii) have relevant forestry experiences; and (iii) willing to share local people's opinions and requests.

Based on these criteria, the following list of potential members for the Advisory Group is recommended:

1. Department of Agriculture and Rural Development (DARD)
2. Department of Natural Resources and Environment (DONRE)
3. Provincial Board of Ethnicities
4. Provincial Forest Protection Department (provincial FPD)
5. Provincial Farmers Association
6. Provincial Women Union
7. District Forest Protection Division (district FPD)
8. District Natural Resources and Environment Division (district DONRE)
9. Communal Forestry Board
10. Private companies

Considering the findings from the ICA, this list could be extended by other crucial actors, including the Provincial People's Council (as a local law-making institution), Da Lat University (as academic and consulting institution), local communities or key state-owned forest organizations such as national parks, PFMBs or forestry companies. Additional training on the PGA process should be considered for all advisory group members, as this is a new process.

6. Conclusion

This report has provided a detailed analysis of the stakeholders in the REDD+ Readiness process in Lam Dong province. The team of consultants has investigated the roles and responsibilities of various stakeholders and specific actors, their working relationships and position in the administrative structure of the province as well as informal arrangements and practices. The interviews and focus group discussions during the consultation process in December 2012 provided a wealth of information that is documented in this report. The numerous reports, experiences and explanations provided by the people of Lam Dong from government officials to ordinary members of rural communities were invaluable for this work. While many individuals gave detailed accounts of their experience in the forestry sector, a number of issues emerged as dominant and need to be addressed during the second phase of the REDD+ Readiness process. This section will first very briefly summaries the findings and conclusions from this work and then provide specific recommendations for the implementation of the Phase II of the UN-REDD Programme as well as completing the Participatory Governance Assessment (PGA) pilot.

6.1 Actors in the forestry sector

The networks, hierarchies and interactions of actors potentially involved in REDD+ in Lam Dong are complex. While mandates are usually very clearly defined in the Vietnamese administrative structures at all levels, some actors have considerable influence extended outside their formal mandates. The PPC clearly emerged as the central agency for decision making in the forestry sector in Lam Dong province, while specific departments, namely DARD and DONRE, are highly influential in the forestry sector and land allocation. It will of course be crucial to closely engage these actors to successfully implement REDD+ in Lam Dong (see also the top right quadrant of Figure 4.3.2 for other actors to be closely involved).

While the PPC, DARD and DONRE are generally supportive and powerful actors, there are some actors, who are not currently directly involved in REDD+ and whose support needs to build during the REDD+ Readiness process. These actors, such as the DPI or the DOF, can be found in the top left quadrant of the matrix in Figure 4.3.2. Similarly, awareness raising is needed for those actors that are placed in the bottom left quadrant of the matrix and empowerment should be provided for those in the bottom right. Some actors, who are outside the formal decision making structure in the forestry sector, such as Da Lat University, international organizations and consultants will be important advocates and potential mediators in the implementation of Phase II of the UN-REDD Programme and should be engaged as important advising agencies.

6.2 The main issues in forest governance in Lam Dong

A number of major issues in the forestry sector emerged from the consultations with stakeholders in the province. These include issues around equity and participation of rural communities, the mechanism for land management, compliance by and control of private companies with respect to contractual obligations and the effectiveness of law enforcement and inter agency coordinating mechanisms. Perhaps most importantly, however, there are opposed viewpoints between some provincial government officials and local communities on land allocation, the most appropriate way to allocate land and the fairness of the system. While representatives from the commune level consider the current system as unfair and inadequate for providing them with sustainable livelihoods, provincial government officials argue that people in the communes are poorly educated and are unable to take care of the land, if land-use certificates (Red Books) are issued to them. Currently only 1.6 % of forestland is allocated to households.

Annex 1: List of document reviewed

- 1) Provincial Council Decision No: 25/2001/NQ-HĐND date 24 July 2001 on Land use Planning for the period from 2001- 2011
- 2) Provincial People’s Committee decision NO: 96/2001/QĐ-UB date 18 October 2001 on Approval of Agriculture and Rural development Plan towards 2010.
- 3) Provincial Council Decision No: 47/ 2006/ NQ-HĐND. Da Lat, date 07 July 2006 on Review of Land Use Planning for five years 2006-2010.
- 4) Quyết định số 168/2001/QĐ-TTg
- 5) The Prospects for Payment for Ecosystem Services (PES) in Vietnam: A Look at Three Payment Schemes Phuc Xuan To & Wolfram H. Dressler & Sango Mahanty & Thu Thuy Pham & Claudia Zingerli
- 6) Payment for Forest Environmental Services: A Case Study on Pilot Implementation in Lam Dong Province Vietnam from 2006 - 2010, Winrock International, 2011
- 7) Payment for Environmental Services in Vietnam: An Analysis of the Pilot Project in Lam Dong Province, The Institute for Global Environmental Strategies (IGES), RECOFTC - The Center for People and Forests; Author: Nguyen Quang Tan
- 8) The Payment for Forest Environmental Services Pilot Policy in Da Nhim Commune, Lam Dong Province, Vietnam, by Nguyen Thi Hanh
- 9) Consultations in Support of the Development of a Reducing Emissions from Deforestation and Forest Degradation (REDD+) and Compliant Benefit Distribution System (BDS) for Viet Nam; CERDA, SNV. Hanoi, October, 2012
- 10) Research report Situation of management and use of Land in EM mountainous Areas – 2012 – Research Consultant Group for UNDP
- 11) Information of oversight visit results on resident and production land of EM – by Standing Committee of National Assembly in 2012
- 12) Research Report on Land – Oxfam Hong Kong
- 13) Access to Natural and Financial Capital, and its Effects on Livelihood Strategies.

Annex 2: Interview questionnaires

Focus Group questions - government officials and provincial actors

- 1) Where do you see your own involvement in REDD and that of your organization?
 - What were your previous involvement in REDD activities?
 - What is your future involvement in REDD program?
 - What responsibility will you or your organization have within REDD?
 - What are potential conflicts e.g. land use, economic growth vs. forest protection?
- 2) What are your hopes and concerns for REDD?
 - What barriers do you see for successful implementation?
 - Do you think your organization has the capacity to fulfill its responsibility?
 - What are your needs to fulfill the responsibility?
 - How can you coordinate with other organizations?
 - Do you have the mandate to fulfill your responsibilities?
 - Do you know about the Provincial Forest Protection and Development Fund? Is there a need for an alternative mechanism? What kind of mechanism could this be?
- 3) What are the difficulties and challenges in land allocation?
 - How much complete (and for whom)?
 - What are the priorities for land allocation and in which areas?
 - Is there community land allocation for ethnic minorities (or others)?
 - How do you think co-management or community management of protection forests could work?

Focus Group questions– community/grassroots level:

- 1) Provide an overview of the village / community?
 - Maybe ask a community leader to provide information on farming, forest use, land use, size of the community, ethnic composition, road access / infrastructure?
 - Do you know about REDD? If yes, was there any training or information session?
 - Do they know the market prices for coffee, timber, rice?
 - Are there any development or livelihood project? How do you participate in it?
- 2) What challenges does the community face?
(Was the community part of FPIC)?
 - How did you get land allocated, if any, e.g. what kind of paper was necessary? Was it easy to get land allocated? Did you need to make any payments?
 - Do you know about support programmers? If yes, were you consulted about them? What type of support was there?
 - If they know about REDD, how much detail are they aware of? What do you hope REDD could help you with? Is there another choice to improve your livelihoods?
- 3) Who does the forest belong to? Do you know about the organizations taking care of the forest?

(This question is asked as an entry point into establishing the community's relationship to other actors)

- How are land use decisions made in your community, e.g. is a communal process or is this a decision made by one gender only?
 - Do you benefit from your land allocation? If no, why not?
 - Is the forest land formally (red book) or otherwise allocated to you?
 - If there is a conflict, do you know about complaint or conflict resolution mechanisms (ask indirectly)?
 - Ask to draw institution paragramme to show who directly affects their village (on flip chart)
- 4) Are you involved coffee / tea / (rubber) growing?
- Is that an important source of income?
 - Who do you sell your products to?

Semi-structured interviews

- 1) What do you know about REDD?
- 2) Have you received or know about the Decision 799 regarding REDD?
- 3) How were you involved in REDD Phase I?
- 4) Do you think, REDD will be of benefit to Lam Dong province / district?
- 5) How do you think, REDD will impact your work and your organization?
- 6) How are you involved in REDD? Is your organization represented at the Steering Committee?
- 7) Do you work directly with local communities? How do you think, communities should be involved in REDD and what would make their involvement successful? What barriers may there be to successful participation?
- 8) Which organization should be involved in REDD? Why? Which ones would be most important?
- 9) Is your organization involved in land use planning? Who do you need to cooperate with and how?
- 10) Is your organization involved in forest protection? Who do you need to cooperate with and how?
- 11) Explain about REDD, then ask: what potential negative impact would it have?
- 12) How important is the coffee / tea / rubber industry for Lam Dong's economic growth and poverty reduction?
- 13) Do you think coffee / tea / rubber plantation area needs to be expanded?
- 14) What are the main markets for coffee / tea / rubber? Leading question to identifying main trading companies...

Drivers of deforestation

- Perception and knowledge of REDD and sustainable forest management
- Relationship between communities and (government) decision makers
- Identify actors involved in land use and deforestation (also indirect ones, e.g. banks)
- Identify actor coalitions (refer to partnerships or cooperation).

Annex 3. Stakeholder Mapping and analysis

- Stakeholder Mapping of key stakeholders in Lam Dong province

| | <i>Mapping of Formal and informal institutions</i> |
|----------|---|
| Province | <p>Formal Institutions</p> <p><i>Provincial Party + Provincial People's Council + Provincial People's Committee</i></p> <p>Provincial Department of Agriculture and Rural Development</p> <ul style="list-style-type: none"> - Forest Protection Department - Department of Forestry <p>Management Board of protection forests (03)</p> <p>Bidoup Nui Ba National Forest</p> <p>Forestry One Member Limited Company (14)</p> <p>The Forest Protection and Development Fund</p> <p>The Management Board of Protection Forest and Special Use</p> <p>Department of Natural Resources and Environment</p> <p>Department of Finance</p> <p>Provincial Department of Planning and Investment</p> <p>Provincial Department of Police and Provincial Army</p> <p>Press (National level + Lam Dong press+ Post cast and Television)</p> <p>Mass socio-political organizations, unions</p> <p>Informal Institutions</p> <p>Private/ state owned enterprises (hydropower station, rubber, coffee, vegetable, flower, livestock, mining, processing and trading of wood)</p> <p>Environmental Sciences Faculty / Da Lat University</p> <p>Agriculture and forestry consulting company</p> <p>Association/ illegal timber trafficking groups.</p> |
| District | <p>District People's Committee</p> <p>Forest Protection Department</p> <p>Department of Agriculture and Rural Development</p> <p>Department of Natural Resources and Environment</p> <p>District Police + District Army (inter-unit)</p> <p>Supervisory Board of Forest Protection and Development Fund (interdisciplinary, including the Vietnam Front Fatherland and unions)</p> <p>Businesses / forest product processing factories</p> |
| Commune | <p>Communal People's Committee</p> <p>Communal Forestry Committee</p> <p>CommunealPolice + Army + Militia</p> <p>Village leaders</p> <p>Local forest ranger / forest protection station</p> <p>"The middlemen / intermediaries" (land, wood, credit) + forestry products based enterprises</p> <p>Private enterprises (renting forest)</p> <p>Local ccommunity (group/forest protection-contracted -households, village communities)</p> |

1. Stakeholder Analysis at Provincial level

1.1 Formal Institutions

1.1.1 Provincial Communist Party + People's Council + People's Committee

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|--|---|--|
| <ul style="list-style-type: none"> - Forest Protection Management Planning 2011-2020 - Pilot on UN-REDD, SNV, RECOFTC (FPIC, BDS, ...) - PFES / Forest Protection and Development Fund - Policy of creating production land fund for Ethnic minorities - Policy of conversion of forest land / forestry company - Annual Forest Protection Management Planning | <ul style="list-style-type: none"> - Policy and the decision on withdrawing leased forest from private firms (forest will be withdrawn if not invested after 2 year) - The forestry sector is not the priority in the allocated annual budget - Development Plan of coffee, rubber, flower, vegetable, mineral, hydropower is given priority - Policy on not-allocating forest to household/ community - Conversion of poor forest to production land - Law enforcement on forest management and protection is weak | <ul style="list-style-type: none"> - Pioneering / experiencing in piloting REDD+, - Restricted rights and opportunities on access to forest and forest land of community/ households, especially ethnic minorities; - Relationship/ alliance between government and enterprises (for power and interests) do not promote people's participation in forest management process; - Trust, legitimacy and law enforcement have been declined or not recognized/complied by the community - Local people/community envyingly thinks that there is no equity in benefits sharing from forest management and protection and this leading to deforestation and forest degradation. - FPIC can not be applied because households are not legal forest owners they just hired labor for forest protection - Poverty reduction objective in REDD+ is difficult to be implemented; Policy of socio-environmental protection is difficult to be met if forest is merely allocated to private businesses. |

1.1.2 Provincial Department of Agriculture and Rural Development and Rural Development, Forest Protection Department; Department of Forestry

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|---|---|---|
| <ul style="list-style-type: none"> - Take primary responsibility for State management of Forestry and implementation of Forest Protection and Development Planning 2011-2020; - Considered as the focal agency for implementation of REDD+, PFES; - To advise, plan, | <ul style="list-style-type: none"> - It is merely advisory body having no right to make decision; has limited law enforcement authority and asynchronous and overlapping functions with poor accountability; - Coordination between the Department of Agriculture and Department of Natural Resources and Environment is not effective - Not well-defined division of responsibilities of the agencies who (should) implement REDD+ , Competition of authorities - Forest rangers are "employees" for private enterprises to protect forests (rubber tree) - The cost of protection of forestry land and | <ul style="list-style-type: none"> - Rangers can monitor and support the process of REDD+ implementation (fire control, prevent illegal activity, payment for forest service, mining, leakage) - No support for forestry/ land allocation to households and communities; - Natural forest planning (suitable for REDD+) is |

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| <p>design and verify forest allocation for households/ communities/ businesses, pay for forest services; forest co-management, community forestry, forest inventory, forest development and protection;</p> <ul style="list-style-type: none"> - Enforce Forest Law, monitor forest owners, control forest product usage and sanctioning - Conduct Forest Protection and Development plan and regulation in interdisciplinary coordination between Police, Army and mass organization on Implementation of the plan - Their expectation on REDD+ to generate financial resources for forest protection | <p>forests is low; state budget is not enough for forest protection, therefore illegal logging can not be banned ; price and market demand of forest products – timber is high;</p> <ul style="list-style-type: none"> - Lack of updated information on the status of forests and forestry land; - Rangers ignore, "shaking hands with the illegal loggers" , legalized illegal forest products; dare not to against or not to obey oral order via phone when handling violations, land allocation, tax retrieve; - insensitivity syndrome, idiopathic; - Low effectiveness of communication and awareness raising on forest management and protection - Difficulties in the management of forests interspersed with agricultural land since it is acceptable to be encroached and invaded for cultivation of coffee - Contribution of the forestry sector to the local budget is low compared to other economic fields, hence, it is difficult to compete with other development options; - Unable to quantify the economic value of forest environmental services, proved to trade and perceived as a burden, and leading to small investment. - The principle "the participation of a whole political system" in forest management and protection makes rangers possible to dodge accountability ; | <p>assigned to enterprises;</p> <ul style="list-style-type: none"> - Conflict of land use planning for REDD + and/or other agriculture / forestry production; - Improve forest encroachment, invasive cultivation thus increasing the risk of deforestation - DD risks are high in forest areas managed by the state forest owners (legal and illegal) |
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1.1.3 Provincial Department of Natural Resources and Environment

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|---|--|---|
| <ul style="list-style-type: none"> - Being the focal body responsible for implementation of National Target Program on REDD; action plan on climate change adaptation; annual report of greenhouse gas inventories; - Supports REDD+ initiatives; | <ul style="list-style-type: none"> - Does not directly control/manage DD, forest resources; reduction of emission; - Statistic data sources on the land and forests is inconsistent between the Department of Natural Resources and Environment and the Department of Agriculture and Rural Development (forest inventory, | <ul style="list-style-type: none"> - There is doubt that the policies on Environment and Society safeguard in REDD+ composed by DONRE/MONRE will be connected to the use of forest/forest land and thus do not meet the co-benefit principle and there is not yet plan for biodiversity conservation integrated with |

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| <p>is member of the Management Board of the UN-REDD and Forest Protection and Development Fund</p> <ul style="list-style-type: none"> - Advise and guide process of allocation of forest land to households and communities (red book, contracting, leasing), the conversion of land use purpose (converting forest land to agriculture, construction) - Posses statistic data on the current status of land use (but lack of updated data on shifted forest land) - Responsible for management of biodiversity, minerals, water resources; - Evaluate/ verify EIA of development projects | <p>land, biodiversity); lack of effective coordination mechanism in the management of forest data sources;</p> <ul style="list-style-type: none"> - Land use planning is inadequate, yet unclear and unsustainable, not totally realistic and the lack of consistency between sources of departments - Capacity in monitoring land allocation, managing natural resource, handling conflicts of land use (state forest owners and community) is still low; - Forest land allocation for ethnic minority communities is hampered by the political and historical point of view, the concern of autonomous region establishment by the local people; concern of selling land (agriculture), transferring forest land use right; and land consolidation; | <p>REDD+</p> <ul style="list-style-type: none"> - There should be Plan for control of emission reduction actions in the province, including forest planning for REDD+; - Lack of agricultural land leading to increases of DD and leakage - DONRE may be able to impact, advise for Province to allocate forest/ land to community; - It has function of advice and verify but authority to allocate land/forest to households - May have impact on forest planning for REDD+ and biodiversity; - If there are multiple stakeholders participating in REDD+ Steering Committee, there would be increase in indirect costs and accountability would be low. |
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1.1.4 State forest owners (Bidoup Nui Ba National Park, Protection Forest. Management Board, One member Forestry LTD company)

| <i>Support/Incentive for REDD</i> | <i>Constrain /opposition for REDD</i> | <i>Influence to REDD+</i> |
|---|--|---|
| <p>1. Lessons from PES payments to households (protection contracts)</p> <p>2. There have been inter-sectoral coordination mechanisms for forest management and protection.</p> <p>3. Willing to participate in REDD+ because it has money</p> <p>4. Staff are paid by state budget. Budget for forest protection and development is granted by government.</p> <p>5. REDD+ is met with their</p> | <ul style="list-style-type: none"> - Have few opportunities to participate in other policy making process. - Forest owners do not have long-term forest protection and development strategies/ investment plans; or business plans (National forest, Protection Forest Management Board). There is no clear division between enterprises and governmental organizations who both are in charge of forest protection - Managed forest areas reduced by process of allocating forest land to private companies (inside and outside the province) - They allocate forest for their staff and do not give back forest to local people whose livelihoods depend on forests and who are traditional owners - Not satisfied to take mediating role of PES activities - Have big conflict in land and forest with local people | <p>1) Identification of real forest owners to protect and development forests is unclear. Local people's access to forest land is restricted (due to land recovery, contrary to customary law)</p> <p>2) People's tenure in REDD+ is passive since they are not legal</p> |

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| <p>objectives and functions in forest protection and development.</p> <p>6. Annual plan for forest protection and development is approved and financially granted by province.</p> <p>7. Have the right to participate in the decision-making process and to supervise the implementation of forest land allocation to other stakeholders.</p> <p>8. National Park, Protection Forest Management Board are actively cooperate with NGOs to implement the project /study on REDD +, climate change.</p> | <p>and private enterprise. Do not get the support from people because local people think that they invaded their land</p> <ul style="list-style-type: none"> - Do not know the boundaries of their allocated /managed forests in the field. - Being the forest owners but possess no real right as "master and owner" because dominated by many other agencies and real master. - Incapable and not competent enough to prevent and handle illegal logging and encroachment. - Deadlock in stopping deforestation, encroachment and illegal logging - The pressure of poverty - Unsustainable and lack of finance source; income mainly depends on the state budget. Low income from forestry business. - Signed forest protection contract with police and army (district) - The forestry companies have no authority or opportunity to access the ODA fund for forestry. | <p>forest user/owner.</p> <ul style="list-style-type: none"> - Benefits from REDD+ are shared by many stakeholders and thus leading to deeper conflict over forest. <p>3) May be an opportunity for forest co-management between the state and community and giving back forest land from forest owners to households;</p> |
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1.1.5 Forest Protection and Development Fund – FPDF

| <i>Support/Incentive for REDD</i> | <i>Constraint/opposition for REDD</i> | <i>Influences to REDD+</i> |
|--|--|---|
| <ul style="list-style-type: none"> • Forest Protection and Development Fund is operating at both central and local level • There is internal monitoring system for payment (province, forest owners, local people) • Propose REDD+ Fund to be under PDF • Support REDD+ implementation • Many stakeholders participate in Fund Steering Committee | <ol style="list-style-type: none"> 1) Administrative costs for operating funds (provincial level) is very high. 2) Transparent and information system is not strong enough (people do not know how the fund functioning, information is fuzzy) 3) There is no complaint/ grievance system; no independent and effective monitoring system, and payment may be garbled and/or constituted by the team leader or the forest owner /company. 4) Payment is not based on the results 5) Disputes of entitlements and income management between the forest owner and fund manager. 6) PES fee payment could not be collected from hydropower because the Decree No.99 did not define a clear roadmap. 7) Allocation-payment contracts have been violated by forest owner (for example: the contracted households do not know the forest position in the field, they only patrol on demanded route) | <ol style="list-style-type: none"> 8) Can apply the PFES payment system / regulations for REDD+ 9) Number of forest protection - contracted households accounts for low percentage. Poor households or household without labor force can be excluded from REDD+ leading to poverty reduction targets can not be achieved; 10) Postpones in payment, intermittent contracts can lead to deforestation; 11) The risk of corruption leading to |

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| | | deforestation while money is still be spent |
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1.1.6 Department of Finance + Department of Planning and Investment (DPI)

| <i>Support/Incentive for REDD</i> | <i>Constrain/opposition for REDD</i> | <i>Influence to REDD+</i> |
|--|--|---|
| <p>- DPI is the focal management body using ODA and other financial aid (current project) such as REDD +;</p> <p>- Department of Finance (and DPI), members of the Provincial Forest Protection and Management Board, are experienced in managing trust forestry payment fund;</p> <p>- Support and allocate investment funds, reciprocal, payments to promote land allocation to households in Lam Dong</p> | <p>- Main problem is data inconsistency among departments/agencies in the planning; lack of standards (because the statistics standard is different among different sectors)</p> <p>DPI is the focal body in advising and leasing license for private enterprises to invest in development projects which can affect forests such as hydropower, minerals, rubber, coffee and others;</p> <p>- DPI often ranked capacity of private enterprise higher than it is, seldom evaluate impact of private enterprise to the community, resources and this resulted in massive private enterprise hire local forests, occupy land of people; and do not fulfill their committed obligation;</p> <p>- Asynchronous Planning overlapped Forest protection and development plan.</p> <p>- Responsibility of provincial level in managing revenue and expenditure from REDD+ source is not well-defined. If there is revenue from REDD+, planning and approval of local budgets for forest protection and development will be seriously affected by lobby (leading to reduction of revenue from the state budget).</p> <p>- It is difficult to mobilize social resources, private investment in forest protection due to low-profit; financial management in forest protection and development is not transparency, lacking of information including the Forest Protection and Development Fund</p> | <p>- DPI can provide an opportunity to integrate REDD+ in the socio-economic development plan of the province</p> <p>- Investors may lobby these Provincial Department, leading to changes in forest protection and development planning, breaking commitments for REDD +;</p> <p>- To advise for balancing between development and conservation, reducing opportunity cost, focusing on protecting environmental services;</p> |

1.1.7 Police/ Environment Police, Army, Market management department

| <i>Support/Incentive for REDD</i> | <i>Constrain/opposition for REDD</i> | <i>Influence to REDD+</i> |
|--|--|--|
| <p>- Regulation in coordination among ranger-police-army-militia in forest protection and forest protection associated with social security.</p> | <p>- There is the fact that the state forest owners sign forest protection contacts with police and military (at district level) and this is reasonable for controlling the remote border areas.</p> | <p>- Help in control of the legality of forest products, limit DD, handle recruiters, transportation intermediaries, smuggling, ...</p> <p>- To detect, prevent and handle disputes, encroachment of</p> |

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| <ul style="list-style-type: none"> - Provincial interdisciplinary working group carry out forest protection and development plan, control illegal logging and deforestation; - Support forest law enforcement, handle dispute and conflict on land, forests. | <ul style="list-style-type: none"> - Lack of funds, facilities, human power for interdisciplinary collaboration in forest law enforcement and DD prevent. - Do not control the legal origin of forest products (FLEGT) effectively - Low trust of people to the police in handling cases related to forest land dispute (unfair, non-transparent) | <p>forest land among households, businesses and forest owners, ...</p> <ul style="list-style-type: none"> - Compete benefits from REDD+ with the community by joining forest protection as beneficiaries; local people and commune authority do not support this kind of benefit sharing |
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1.1.8 Press/ public communications

| <i>Support/Incentive for REDD</i> | <i>Constraint/opposition for REDD</i> | <i>Influence to REDD+</i> |
|--|---|---|
| <ul style="list-style-type: none"> - Provide information and communication on REDD+ to the government, community, people including ethnic minorities (via TV, radio in ethnic language) - Investigate and bring the acts violating forest law (DD) – (see reference in Labour Newspaper on 12/17/2012) - Create the channel for local people to give feedback, complaints related to land and forest to government - There are officials in charge of culture and information at communal level - Mass Organizations such as VFF, youth union, women union, farmer association also participate in advocacy, communication and mobilization - Available channels / tools / means of communication (newspapers, television, radio, internet, visual tool, etc.) | <ul style="list-style-type: none"> - Local press promotes / encourages / advocates political tasks, local development policies, especially economic investment for hydropower, rubber, coffee, etc. which may cause DD; - Support the competitiveness of forest land resources with the community; - Less reflect the thoughts, aspirations and concerns of the people related to forest, especially the poor or community affected by development program (because private enterprises rent forest) - The quality of information is not good enough. | <ul style="list-style-type: none"> - National Press can make issues related to local forest more, benefit sharing transparency, and people's perspective to be heard by public - Help to raise awareness on REDD+, project information, FPIC - Impact on provincial, national REDD+ policy - REDD+ is a new issue for the media, therefore it can be misunderstood or used incorrectly, incompletely, hence it cannot protect the people's interests; |

1.1.9 Steering Committee and Interdisciplinary board

| Support/Incentive for REDD | Constrain/opposition for REDD | Influence to REDD+ |
|----------------------------|-------------------------------|--------------------|
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| <ul style="list-style-type: none"> - Province is experienced in establishing Steering Committee, interdisciplinary institutions related to forestry such as CT661, UN-REDD, Steering Committee on Forest Protection and Development Planning 2020; - Support for multi-stakeholders' participation in steering, operating, inter-sectoral coordinating in REDD+ implementation. - Have the opportunity to influence on local REDD+ policy; | <ul style="list-style-type: none"> - PSC's chairman does not participate or not fully engage into activities, hence, decision making ability is weak, or the decision is not feasible. - Accountability of PSC's members is not clear due to weak decentralization, assignment distribution, shortage of action plans, regulations and specific resources; - Civil society and private sector is not allowed to participate in the PSC; - Members of the Steering Committee just try to protect their department's interests, lacking close cooperation for the common purpose on REDD +; | <ul style="list-style-type: none"> - Policies on REDD+ attract participation of many stakeholders; - Quality of REDD+ management depends on the capacity and commitment of the Steering Committee; - REDD + can be integrated into socio-economic development strategies, policies and plans, contributing to the poverty reduction goals of the locality; - REDD+ is a voluntarily mechanism which is being piloted and developed, therefore, it may reduce commitment of the province in pursuing the locality model affecting other plans of the locality. |
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1.1.10 Interdisciplinary anti-illegal logging (DPC, Police, Forest Ranger, Forest owners)

| Support/Incentive for REDD | Constrain/opposition for REDD | Influence to REDD+ |
|---|---|---|
| Periodically organized with the participation of many stakeholders as planned | Formalistic The illegal loggers know the schedule and avoid Waste money and time-consuming Ineffective law enforcement | Low effectiveness in preventing illegal exploitation of forest resources. |

2. Informal institutions

2.1 The private sector (enterprises in hydropower, rubber, coffee, flower, vegetable, mining, tourism, agro-forestry, fisheries, etc.)

| Support/Incentive for REDD | Constraint/opposition for REDD | Influences to REDD+ |
|---|---|--|
| <ul style="list-style-type: none"> - Through PES, private sector contributes finance to forest protection in the basin (DD target); - Can participate in REDD+ as a forest owner (directly / secondary); | <ul style="list-style-type: none"> - Not interested in REDD+ due to pursuing short-term income (rent forest in 50 years); they hire outside human resource to protect forest with high cost; - Conflict of land, forest between private enterprises and the community is increasing; enterprises take advantage to promote the conversion of natural forests to other purposes and seek to legalize forest productions (take out timber, plant, rubber, coffee, vegetables, flowers, etc.) - Enterprises have to invest big initial costs, therefore they need to make revenue quickly; opportunity cost of land use conversion from forest to REDD+ is high. - Can lobby decisions or policies related to land/ forest | <ul style="list-style-type: none"> - They are the cause/driver/factors of DD - They are barriers in REDD+ implementation because of restricting local people/community to access to forest land. - Conflict between enterprises and local community – the fact that people feel unfair in forest land use and benef |

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| <p>- Support the implementation of REDD+ regarding poverty alleviation for the community;</p> | <p>planning of the province;</p> <ul style="list-style-type: none"> - Do not comply with its commitment to the community and local government when hiring forest; abuse/drive local policies on forest land; make changes/ adjustments on initial planning - Hanging project, collect, accumulate, convert/transfer land/ forest use rights; they do not get red book because they do not want to pay for land use fee (they just want to exploit timber); state does not have expenses for forest inventory before revoking the forest - Weak monitoring and enforcing enterprises which ineffectively/not complying with commitment of land use (land will be recovered after 2 years of ineffective use of land) - Information / report is not true; | <p>sharing would cause risks for forests, REDD+ such as leakage, emissions increase, benefit competition, actions against forest protection policies...</p> <p>- The opportunity cost is high, trade / short-term investment/ neo friendship/ power corruption /policy dominance.</p> |
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2.2 Da Lat University/ Faculty of Environment

| Support/Incentive for REDD | Constraint/opposition for REDD | Influences to REDD+ |
|--|--|--|
| <ul style="list-style-type: none"> - Provide skillful manpower and technical consulting services on the environment, climate change, socialization, environment, agriculture, forestry, biology, culture-ethnic, law school, etc. for Lam Dong; - Works closely with the Department of Agriculture, Department of Natural Resources and Environment, Department of Science and Technology of REDD + activities as FPIC / UN-REDD, training / LEAF / SNV, training local / RECOFTC; participate in the Council of Science on strategy for environmental protection, environmental impact assessment, land use planning in the province; - Recognizing the planning of land use are important issues for the implementation of REDD + but in LD this process is dominated by interest groups (business) vs pressure to protect forest resources; and DD in Lam Dong is " deliberate process" "fuzzy points for money "; FPIC must be performed by a third-party to reduce land conflicts; opportunity cost for short term; - They promote the participation of many stakeholders to ensure transparency, fairness - Join (sub) Technical Advisory Committee for the provincial REDD + - Involved in REDD + propaganda and FPIC pilot; - Trusts that local people will participate in REDD + if they benefit from it (Red Book for forests, forest protection fee) | <ul style="list-style-type: none"> - Not highly appreciated the participation of Lam Dong Radio and Television in REDD + Steering Committee of the province - No decision making power / direct involvement in land use planning in the province; - Join FPIC as experts, consultants, noting the response of the people, not competent to answer the questions, building consent or intervene when people do not support REDD +; - Just consider REDD + as an opportunity (uncertainty) | <ul style="list-style-type: none"> - Contributions, cooperation with the focal point for implementation of REDD + - Provide skillful human resources, including teachers and students; - Introduction understanding of the REDD + in accordance with the Vietnamese context of land ownership; consider carbon ownership independent from land ownership; |

2.3 Forest Consulting company and Centre for Land Resource Development

| Support/Incentive for REDD | Constraint/opposition for REDD | Influences to REDD+ |
|--|--|---|
| <ul style="list-style-type: none"> - According to officers of FLITCH project the Forest Consultation Company is able to set up coordination and facilitate both the Department of Agriculture and Department of Natural Resources and Environment for stakeholder consultations, dialogue, allocation, assessment, active ... - It can help to assess the impact of the social environment, raise awareness of stakeholders on REDD+; - Centre for Land Resource Development can help local people and private sector to negotiate with each other on land compensation and price | <ul style="list-style-type: none"> - Consultants often enchant Private sector and so underestimate EIA of the impact of development projects on the environment, forests, biodiversity, livelihoods and society; - Consulting on forest land use planning can narrow forest by reason of planning hydropower, mining, ... encroach many forests and forest land; hasty interdisciplinary impact and overlap with other plans; .. | <ul style="list-style-type: none"> - Consultation should use community participatory approach for planning as FLITCH did; - Supports to connect stakeholders together |

2.4 Illegal logger /middleman/ transportation/ timber processing

| Support/Incentive for REDD | Constraint/opposition for REDD | Influences to REDD+ |
|----------------------------|---|---|
| | <ul style="list-style-type: none"> - illegal deforestation - The law enforcement agencies are not capable to control, they avoiding because loggers are aggressive, dangerous, ready to attack the officer; - "Coalition Under table" middlemen-ranger-police-government-business to take advantage of deforestation or change / distort forest management policies; | <ul style="list-style-type: none"> - DD drivers hinder local people from getting contact on forest protection because they are afraid of illegal loggers; - Causing leaks, emissions growth, harm the interests of PES / REDD+ forest owners and local people; ... - Pressure on authority to promote better law enforcement |

2.5 Local People/community

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|---|---|--|
| <p>They consider REDD+ as a financial opportunity; Forest Ranger Department is the focal agency responsible for advising all forestry-related activities in the area, including forest protection and development, is the professional representative body for both FPD and the Department of Forestry as well. They are conducting PES with supervisory activities. Being the REDD+ pilot province, many leaders and district officials have been trained and attended</p> | <ul style="list-style-type: none"> - Have no forest land/forest - Lack of productive land; illegal encroachment on forest lands of the state forest; livelihood still dependent on forests; - Not familiar with the mechanism of the forest coo-management with state forest owners; - No information, knowledge, and capacity to enter into the new mechanism of REDD +, forest management, etc. - Poor knowledge of law and policy; affected by the recruiter; always faced with attempt to accumulate land, | <ul style="list-style-type: none"> - REDD + cannot be successful if local people do not participate with the role of forest owners and enjoy fair and adequate benefit share from forest management and protection; - Shift local people from position of employee (contract) to master (red / green book) of the forest; - To address poverty and forest-based livelihoods to forest products markets; - Community, consensus v.s. DD and need a new approach |

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| <p>workshop on REDD+, hence, they have REDD+ basic understanding. Interdisciplinary coordination activities among ranger-police-army-forest owners are organized annually to scan deforestation, forest land and adjacent areas encroachment; District Radio and Television Post cast in ethnic minority languages and district mobile information team can help raise awareness of people to the village;</p> | <p>forced to lease land from individuals and businesses;</p> <ul style="list-style-type: none"> - Loss of trust in the government officials, the complain has not been replied/ resolved, do not know where to address and unfair handle violations of forest law / Land r; doubt in the legitimacy of the state; too submissive to endure; unaware of human right and have not the opportunity / not daring to speak out, they are disadvantaged. - The Mass organizations and unions is not a cushion to protect the rights of people and the implementation of their rights; - Doubts about the implementation PFES - Community is not recognized s legal entity; | <p>matched to local circumstance</p> <ul style="list-style-type: none"> - Adequate information for full and effective participation and self-determination for development; - Who do FPIC? State or intermediaries? FPIC cannot be applied in Lam Dong because people are not real forest user/owner.. |
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3. Stakeholder Analysis at District level

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| DPC – District People’s Committee |
| FPD – District Forest Protection Department |
| Department of Natural Resources and Environment |
| Department of Agriculture and Rural Development |
| District Police + Army |
| Forest Protection and Development Fund Supervisory Board (interdisciplinary, including the Vietnam Fatherland Front and mass organization) |
| Business / forest product processing facilities |

4. Formal state institutions

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|--|--|------------------------------|
| <ul style="list-style-type: none"> - Support REDD +, it is considered as opportunity to get more finance - Ongoing PES; engaged in supervision on the PES - District Forest Protection Department is the main agency responsible for advising all forestry-related activities in the district | <ul style="list-style-type: none"> - Unclear boundary between forest and agricultural land in Land use planning makes local people confused and to encroach to forest area - Weak division of task and responsibilities in forest management: - The district does not have the right to decide on large-scale land lease to private sector and has no right to manage this big project. - However it is administratively responsible for protecting the forest area located in the area of district administrative | |

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| <p>including forest protection and forest development, professional representative body for both PFPD and Provincial Department of Forestry;</p> <ul style="list-style-type: none"> - Many leaders and district staff (Di Linh) have been trained and participated in numbers of workshop on REDD + and have a basic understanding on REDD+ - Coordinated activity managed by interdisciplinary forest-police-army- forest owners is organized annually to monitor deforestation, encroachment of forest land; - District Radio and Television broadcast in ethnic minority languages and the district propaganda team by delivering background information on REDD helped to raise awareness to the community; | <ul style="list-style-type: none"> - Decision making on the land lease to private sector focused in PPC. The other bodies give advice and verification (Department of Natural Resources and Environment and the Department of Agriculture and Rural Development staff; DPI, the Department of Finance and evaluation) 4.The procedure of the land lease to private sectors is not comply with forest planning process by Grassroots Democracy Ordinance (people suspected in collusion between the provincial government and private forest owners) 5.Inefficient forest law enforcement, failed to prevent: <ul style="list-style-type: none"> - Illegal logging. Reason: corruption, the recruiter cannot be handle, illegal logging ban is aggressive using knife, hammer to fight with forest rangers, hire buy cheap labor from local people for cutting timber. - Local people cutting forest for coffee production. Reason: they are depend on forests, small number of household are hired for forest protection by every 12-month contract; They think the allocation forest land is not equal/fair, they have envied other forest owners; They think they have not been reasonably rewarded. - People do not cooperate with forest rangers in forest law enforcement - The ranger staff, interdisciplinary team supervises and monitors implementation of forestry laws but effectiveness of their work is low - Monitoring mechanisms for anti-corruption in the forestry sector is not effective. | |
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5. Informal institution

| Strength/Incentive for REDD | Weaknesses/Constraints for REDD | Potential influence to REDD+ |
|-----------------------------|---|------------------------------|
| | <ul style="list-style-type: none"> -The private sectors influence strongly both policy formulation and policy implementation process. -The process of leasing forest land to private companies does not comply with Grassroots Democracy Ordinance which makes the local people and commune authorities negatively suspect the collusion between the state agencies and private firms. -The illegal logging cruel gang controlled by illegal logging ringleader attack against the Forest Ranger aggressively by small arms like stick, sharp knife, hammer to protect illegal timber -The powerful illegal logging ringleader operates at the hidden level which is difficult to reveal. | |

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| | - A “legal but illegal” call that is powerful to release the illegal timber arrested by the forest ranger influences negatively the effectiveness of rules of laws. | |
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6. Stakeholder Analysis at Commune level

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| Commune People’s Committee |
| Commune Forestry Committee: Vice Chairman of the CPC (Chairman), Commune forest official; commune forest officers, forest rangers, Mass organization, forest owners |
| Commune police , commune Militia |
| Village leaders |
| Local forest ranger / forest protection station |

| Support/Incentive for REDD | Constraint/opposition for REDD | Influences to REDD+ |
|---|---|---|
| <ul style="list-style-type: none"> - CPC is the administrative management agency, - CPC is responsible for the forest located within the commune administrative area - CPC has right on sanctions for breach of forest law and regulation. - Is the administrative body has responsibility for forestry company - Don Duong. It also responsible for fire control, mobilizes local people for fire-protective. - Commune know very well its population/household in the commune; current land use and land allocation; bare land needed afforestation, forest protection, agricultural production - CPC has great responsibility for deforestation in the commune - CPC directly involves in at least 04 activities: 1) Confirm the allotment contract for households to protect the forest after village leader confirms; 2) Coordinate with ranger to implement the annual forest fire prevention activities along with other forest owners; organize the forest fire prevention propaganda at locality; every three months, participate in meeting on forest protection and development at district level; 3) | <ul style="list-style-type: none"> -CPC manage personnel’s while companies manage forest and forestland and companies are under province's control. -The commune as the outsider do not know anything about logging in forest that belongs to Bao Thuan forest owner, do not get any information about the activities of the forest company in the commune area, do not know anything about the logging in the forest -CPC cannot control the illegal logging in commune area. -CPC does not know how PFES paying. CPC just confirms contracts between households and state forest owners. The forest owners transfer the PES money to households, the group leader makes a list of people who receive allotment and submit it to the state forest owner without submission to CPC. -CPC take no role /power in the process of leasing forestland to private companies. Companies just works with the province authority, commune authority and village leaders do not know anything about this process -Commune does not benefit anything from companies. Companies contribute nothing to commune in terms of finance as well as labor (Da Chay). If yes, the amount is very little in informal way (Di Linh). -Currently, the commune authority does not have power to manage the forest in the private company land, does not get involved in | <ul style="list-style-type: none"> -The local people are hired by the gang to cut tree illegally with low-paid and burn forest at night for timber. -The local people who lack of land destroys forest at night for coffee land. According to the local authorities and village leaders, this is because the local people’s livelihoods depend on forests. More important is that they think that the access to forest use rights is unfair, their envy with state forest owners. They think they have not been rewarded equally to what they have done as the forest protector while they are seeing by their own eyes the timber harvested by the state forest owners. Now, a small |

| | | |
|---|---|---|
| <p>Organize monthly meetings to capture the current status of forest protection and development in the commune area; collaborate with forest owners to against the encroachment of forest land to grow coffee ; 4) Commune Forestry Board monitors forest protection groups in village areas;</p> <ul style="list-style-type: none"> - Commune mass organization motivate people to perform a task - especially women union - There is commune officer who is in charge of culture and communication at commune level - Some are familiar with REDD+, for example in Di Linh district, a number of CPC staffs participated in training courses and workshops on REDD+ organized by Provincial UN-REDD Programmed. - They support REDD+ because considering REDD+ as a manner to make people protect forest better -They believe that the forest will be managed better if local people can be forest owners. | <p>the process of transferring land between companies.</p> <ul style="list-style-type: none"> -Commune authority's voice is weak and not respected. In Gung Re and Da Chay, since 2009, CPC has submitted to the District and the province to invest in reclamation, conversion from poor forest land to agricultural land (mainly for coffee plantation), but so far this proposal has not yet resolved -Commune officials know nothing about the prospects as well as plans to implement REDD+ in the area. -Commune leaders in communes where many REDD activities have been conducted do not express any expectations or objectives when mentioning about REDD+. They think that the most important thing is to allocate the forest land for farmers. -There are solution by the local authority which do not comply regulations, they illegally allows people to sawn pine to make houses -For the sake of the people: The commune authority underhandedly allows people to cut pine; they though that the local people clears the forests for coffee growth is not worthy to be sanctioned because 0.5 ha of coffee land is not enough to feed 10 people in one household, ; it should give priority to allocate forest land to poor households. | <p>number of households who can get some benefit from forest through the short-term 12 months contract to protect forest as a hired labor for the state entities.</p> |
|---|---|---|

Annex 4: List of interviewee

PGA Consultation Workshops

Lam Dong province from 18 – 23 December 2012

1. Lam Dong Province

Venue: Lam Dong Province Department of Agricultural and Rural Development

Time: 18th December, 2012

| No | Full name | Address/Position | Gender |
|----|-----------------------|---|--------|
| 1 | Tran Thanh Binh | Director of Provincial FPD, DARD Lam Dong | Male |
| 2 | Hoang Cong Hoai Nam | Head of office, Nature Conservation Office, Provincial FPD | Female |
| 3 | Pham Trung Thong | Officer | Male |
| 4 | Nguyen Dinh Truong | Don Duong Forestry Company | Male |
| 5 | Tran Quoc Viet | Dai Ninh Hydropower Company | Male |
| 6 | Nguyen Van Bang | Department of Forestry | Male |
| 7 | Dang Phi Hanh | Deputy director of Forestry Development Project Management | Male |
| 8 | Cao Duc Anh Trung | Đran Protection Forest Management Board | Male |
| 9 | Nguyen Truc Bong Son | Director of Centre of agricultural extension station | Male |
| 10 | Vo Thuan | Vice Chef, Board of Ethnicities | Male |
| 11 | Duy Danh | Lam Dong newspaper | Male |
| 12 | Bui Tran Thao Ly | Provincial Farmers Association | Female |
| 13 | Vo Minh Tham | Deputy director of forest protection and development fund | Male |
| 14 | Tran Thi Thuy Duong | Department of natural resources and environment | Female |
| 15 | Dinh Thi Tieu Phuong | Chairman of the Board - Da Teh rubber joint stock company | Female |
| 16 | Pham Hung | Deputy chief of Office of Department of Agriculture and Rural Development | Male |
| 17 | Nguyen Thi Phuong Hoa | Department of Agriculture and Rural development | Female |
| 18 | Nguyen Thi Hoa | Department of Agriculture and Rural development | Female |
| 19 | Le Trong Thuong | Department of Planning and Investment | Male |
| 20 | Cao Le Dac | Department of Agriculture and Rural development | Male |
| 21 | Nguyen Thi Thu Thuy | Department of Agriculture and Rural development | Female |
| 22 | Luong Thanh Son | Department of Agriculture and Rural development | Male |
| 23 | Pham Nhu Ngoc | Specialist | Female |
| 24 | Lam Ngoc Tuan | Dean of Environment Department, Da Lat University | Male |
| 25 | Le Van Huong | Director of Bidoup Nui Ba National Park | Male |

2. Di Linh district

Venue: People Committee of Di Linh district, Lam Dong province

Time: 20th, December, 2012

| No | Full name | Address/Position | Gender |
|----|-----------------------|---|--------|
| 1 | Le Viet Phu | Vice Chairman of Di Linh District Committees | Male |
| 2 | Dao Duy Tram | District Fatherland Front | Male |
| 3 | Ha Van Tuynh | Tam Hiep forestry company | Male |
| 4 | Nguyen Thi Ngoc Ha | Department of Finance and planning | Female |
| 5 | Dinh Thi Thu Thuy | Di Linh District Women's Union | Female |
| 6 | Nguyen Tan Dich | Bao Thuan forestry company | Male |
| 7 | Pham Minh Chien | Juridical department | Male |
| 8 | Hang Dong K'Chien | Head of district ethnic minority committee | Male |
| 9 | Ndong Bnum | Television station | Male |
| 10 | Nguyen Thi Tinh | Officer | Female |
| 11 | Nguyen Sy Hong Thuyen | Officer | Male |
| 12 | Tran Van Nam | Vice chairman of famer's Union | Male |
| 13 | Dinh Di Truyen | District department of Cultural and sport | Male |
| 14 | Tran The Vinh | Chief of district police department | Male |
| 15 | Vu Dinh Vinh | Deputy forestry technical management and conservation of forestry company | Male |
| 16 | Nguyen The Tien | Agriculture deputy | Male |
| 17 | Nguyen Van Thoi | Deputy Director of District FPD | Male |
| 18 | Vu Hong Long | People's council office and People's Committees | Male |
| 19 | Nguyen Phuong Uyen | Deputy head of resource and environment department | Female |
| 20 | Le Ngoc Minh | Hoa Bac Hoa Nam Forest management Board | Male |
| 21 | Nguyen Van Thanh | Tan Thuong Forest management department | Male |
| 22 | Nguyen Huu Hung | Inspector of District People's Committees | Male |
| 23 | Nguyen Tien Gam | Chief of the Secretariat | Male |
| 24 | Nguyen Canh | Chairman of People's council | Male |
| 25 | Pham Thi Huong | Office of People's council office and People's Committees | Female |

3. Lac Duong district

Venue: People Committee of Lac Duong district, Lam Dong province

Time: 21th, December, 2012

| No | Full name | Address/Position | Gender |
|----|-------------------|---|--------|
| 1 | Nguyen Duy Hai | Chairman of Lac Duong District Committees | Male |
| 2 | Su Thanh Hoai | Chief of staff | Male |
| 3 | Than Trong Toan | Head of ethnic deputy | Male |
| 4 | Trinh Dinh Thuy | Deputy Head of Agriculture and Rural Development Department | Male |
| 5 | Tran Truong San | Deputy Head | Male |
| 6 | Vu Thi Hanh | District Propaganda Committee | Female |
| 7 | Dinh Ngoc Ly | Department of Natural Resources and Environment | Male |
| 8 | Vu The Hoa | District Inspector | Male |
| 9 | Nguyen Huy Mai | Radio and television | Male |
| 10 | Duong Duc Sam | Radio and television | Male |
| 11 | Nguyen Thu Binh | People's council office and People's Committees | Female |
| 12 | Ho Quynh Dung | Deputy Director of Da Nhim Protection Forest Management Board | Female |
| 13 | Nguyen Xuan Quang | Deputy Head of Economic Infrastructure | Male |
| 14 | Ha Van Linh | Officer | Male |
| 15 | Ro Ong Sara | Radio and television | Male |
| 16 | Trinh Van Tien | Forest protection unit | Male |
| 17 | Mai ThiHiep | People's council office and People's Committees | Female |
| 18 | Le ThiKhuyen | Staff of Lac Duong people committee | Female |
| 19 | Nguyen HuuHoa | Deputy Office | Male |
| 20 | Le Duc Long | Deputy of Department Juridical | Male |

4. Da Sar Commune

Venue: Da Sar commune, Lac Duong district, Lam Dong province

Time: 22th December, 2012

| No | Full name | Address/Position | Gender |
|----|--------------------|---|--------|
| 1 | Ya Tiong | Chairman of Da Sar People's Committee | Male |
| 2 | Lieng Trang Roky | Commune Officer | Male |
| 3 | Kra Jan Ha tem | Vice chairman of Commune Fatherland Front | Male |
| 4 | Kon So Ha Sep | Chairman of Famer Associations | Male |
| 5 | Klong Ha Jack | Leader of village 6 | Male |
| 6 | Lơ Mu Ha Bock | Leader of village 5 | Male |
| 7 | Lieng Trang Habe | Leader of village 1 | Male |
| 8 | Ko Sa Jmi | Deputy secretary of Commune Youth | Male |
| 9 | Trinh Thi Phuong | Commune officer | Female |
| 10 | Kon So Ha Thi | Vice chairman of Commune people's Committee | Female |
| 11 | Lieng Trang Di Gan | Commune Youth leader | Male |
| 12 | Lieng Trang K'Đom | Chairwoman of women associations | Female |
| 13 | Kra Jan Ha Vien | Leader of village 4 | Male |
| 14 | C.L Ha Mac | Vice chairman of Famer associations | Male |

5. Da Chay commune

Venue: Da Chay commune Lac Duong district, Lam Dong province

Time: 22th December, 2012

| No | Full Name | Address/Position | Gender |
|----|----------------------|---|--------|
| 1 | Vu Huu Tien | Commune Communist Party Secretary | Male |
| 2 | Bon To Ha Dieng | Chairman of Da Chay people's committee | Male |
| 3 | Ko Sa Ha Binh | Chairman of Commune fatherland front | Male |
| 4 | K'Dong Thu | Chairwoman of women associations | Female |
| 5 | Cil Ha Sa | vice Forestry Committee, the military commander | Female |
| 6 | Lieng Fang Ha Thuyen | Staff for Land issue | Male |
| 7 | Bon To Sa Nga | Leader of Dung K'si village | Female |
| 8 | Doan Thanh Cong | Commune officer | Male |
| 9 | CilK'Dop | Leader of Long Lanh village | Male |
| 10 | Ko Sa ha Thuong | Leader of Tupoh village | Female |
| 11 | Vu Trong Tan | Chairman of Veteran Association | Male |
| 12 | Ko Sa ha Lach | Chairman of famer associations | Male |
| 13 | Bon Yo Bay | Farmer of Dung K'si village | Male |
| 14 | K'Dieng | Farmer of Tupoh village | Male |
| 15 | Ka Thu | Farmer of Long Lanh village | Male |
| 16 | K'Dop | Farmer of Dung K'si village | Male |

6. Bao Thuan commune

Venue: Bao Thuan commune, Di Linh district, Lam Dong province

Time: 23th December, 2012

| No | Full name | Address/Position | Gender |
|----|------------------|---|--------|
| 1 | K'BrổiH | Chairman of Bao Thuan People's Committee | Male |
| 2 | Nguyễn Văn Lưu | Leader of Bao Thuan village | Male |
| 3 | K'Broi | Bao Thuan Commune detachment | Male |
| 4 | K'Broh | Vice chairman of committee | Male |
| 5 | K'Brep | Leader of Bo Sut village | Male |
| 6 | K'Brom | Leader of Ko Net village | Male |
| 7 | K' Brop | Leader of Knot sok village | Male |
| 8 | K'Brop | Chairman of veteran committee | Male |
| 9 | K'Bres | Chairman of Veteran Kala tokrieng village | Male |
| 10 | K' B ren | Chairman of Veteran Kala tongu village | Male |
| 11 | K' B reu | Chairman of Veteran of Hang Ung village | Male |
| 12 | K' B ril | Vice chairman of Commune People's committee | Male |
| 13 | Ka Nhoih | Deputy secretary crops of commune | Male |
| 14 | K' Nhuan | Commune staff | Male |
| 15 | K' B riil | Bao Thuan Commune detachment | Male |
| 16 | Ka' Brai | Commune officer | Male |
| 17 | K' B roi | Leader of Krot Dong village | Female |
| 18 | K' Ban | Bao Thuan Commune detachment | Male |
| 19 | K' B ren | Chairman of Famer Associations | Male |
| 20 | K' Boi | Forestry department of commune | Male |
| 21 | K' Breoh | Leader of Ta ly village | Male |
| 22 | Dinh Viet Hung | Police of commune | Male |
| 23 | KaDok | Chairwoman of women association | Female |
| 24 | K' Brol | Vice chairman of Commune People's Committee | Male |
| 25 | K' Broih | Commune Police | Male |
| 26 | K' Huu | Commune Police | Male |
| 27 | K' B reo | Commune Police | Male |
| 28 | Hoang Quoc Cuong | Secretary of Commune People's Committee | Male |

7. Gung Re commune

Venue: Gung Re commune, Di Linh district, Lam Dong province

Time: 23th December, 2012

| No | Full Name | Address/Position | Gender |
|----|-------------------|-------------------------------------|--------|
| 1 | Nguyen Xuan Huong | Leader of KLT2 Village | Male |
| 2 | Moul Brim | Leader of Do Linh Thuong 1 village | Male |
| 3 | Bui Van Bay | Leader of Eangva village | Male |
| 4 | K'Brol | Leader of Hoang Lang Gung re | Male |
| 5 | Mo OckBrai | Leader Di Linh Thuong 2 village | Male |
| 6 | Tran Minh Luong | Leader Dang Rach village | Male |
| 7 | K'Gol | Leader KaMiong village | Male |
| 8 | K'Keo | Commune People's Committee | Male |
| 9 | Nguyen Xuan Tu | Chairman of the Elderly Association | Male |
| 10 | Ka Lem | Youth | Male |
| 11 | Nguyen Hong Son | Chairman of Veteran Association | Male |

Annex 5: List of participants

PGA Provincial Validation Workshop

Venue: Meeting room 2, Department of Agriculture and Rural Development Lam Dong

Date: March 6, 2013

| # | Name | Position | Organization |
|-----|-------------------------|---------------|--|
| 1. | Mr. Trần Thanh Bình | Director | Provincial FPD, DARD Lam Dong |
| 2. | Mr. Nguyễn Khang Thiên | Vice Director | Provincial FPD, DARD Lam Dong |
| 3. | Mr. Phạm Thành Công | Vice Director | DONRE Lam Dong |
| 4. | Mr. Võ Thuận | Vice Chef | Board of Ethnicities |
| 5. | Mr. Võ Minh Tâm | Vice Director | Lam Dong Forest Protection and Development Funds |
| 6. | Mr. Lê Văn Hương | Director | Bi Doup – Núi Bà National Park |
| 7. | Mr. Lê Trọng Thường | | DPI Lam Dong |
| 8. | Mr. Lâm Ngọc Tuấn | Dean | Environment Department, Đà Lạt University |
| 9. | Ms. Hoàng Công Hoài Nam | | Provincial FPD, DARD Lam Dong |
| 10. | Ms. Hồ Thị Bích Linh | | Provincial Farmers Union |
| 11. | Ms. Đàm Diệu Thuần | | Provincial Women Union |
| 12. | Mr. Phạm Triều | Vice Chairman | Lac Duong District People's Committee |
| 13. | Mr. Thân Trọng Toàn | Head | Ethnicities office, Lạc Dương district |
| 14. | Mr. K'Boi | | Bao Thuan Commune's Forestry Board, Di Linh district |
| 15. | Chairman | Chairman | Gung Ré Commune People's Committee, Di Linh district |
| 16. | Mo Lom Sứ | | Gung Ré Commune's Forestry Board, Di Linh district |
| 17. | K'Brọt | | Gung Ré Commune's Farmer Union, Di Linh district |

| | | | |
|-----|-----------------------|-------------------|--|
| 18. | Ms. Trần Thị Lệ | | Gung Ré Commune's Women Union, Di Linh district |
| 19. | Ms. Liêng Trang K'Đom | Chairman | Đạ Sar Commune's Women Union, Lạc Dương district |
| 20. | Representative | | Đạ Sar Commune's Farmers Union, Lạc Dương district |
| 21. | Bôn Tô Ha Diêng | Chairman | Đạ Cháy Commune People's Committee, Lạc Dương district |
| 22. | Ms. K'DongThu | Chairman | Đạ Cháy Commune's Women Union, Lạc Dương district |
| 23. | Mr. Trần Quốc Việt | | Đại Ninh Hydro Electric Company |
| 24. | Mr. Cao Đức AnhTrung | | Đran Protection Forest Management Board |
| 25. | Mr. Hồ Huỳnh Dũng | Vice Director | Đa Nhim Protection Forest Management Board |
| 26. | Mr. Cao Hải Thanh | | TowardTransparency |
| 27. | Tina Hageberg | Programme Officer | Oslo Governane Center, UNDP – UN REDD |
| 28. | AkikoInoguchi | Forestry Officer | FAO Viet Nam |
| 29. | ToreLanghelle | Programme Officer | UNDP Viet Nam |
| 30. | BjoernSurborg | Consultant | UNDP Regional |
| 31. | Hoang Vu Lan Phuong | PGA Coordinator | UNDP Viet Nam |
| 32. | Mdm. Luong Thi Truong | Director | CSDM (PGA's research team member) |
| 33. | Mdm. Vu Thi Hien | Director | CERDA (PGA's research team member) |
| 34. | Mr. Nguyen Viet Dung | Director | PanNature (PGA's research team member) |