

Project Administration Manual

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Viet Nam: Greater Mekong Subregion Biodiversity
Conservation Corridors Project

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Project Administration Manual Purpose and Process

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the PAM.

The executing and implementing agencies are wholly responsible for the implementation of ADB financed projects, as agreed jointly between the borrower and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by executing and implementing agencies of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Loan Negotiations the borrower and ADB shall agree to the PAM and ensure consistency with the Loan Agreement. Such agreement shall be reflected in the minutes of the Loan Negotiations. In the event of any discrepancy or contradiction between the PAM and the Loan Agreement, the provisions of the Loan Agreement shall prevail.

After ADB Board approval of the project's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval they will be subsequently incorporated in the PAM.

Abbreviations

ADB	=	Asian Development Bank
ADF	=	Asian Development Fund
APs	=	affected persons
BCC	=	biodiversity corridor conservation
BCI	=	biodiversity conservation corridors initiative
CDF	=	commune development fund
CFM	=	community forest management
CIP	=	commune investment profile
CPC	=	commune people's committee
CPMU	=	central project management unit
CPP	=	community participation procurement
CQS	=	consultant qualification selection
DARD	=	Department of Agriculture and Rural Development
DFPU	=	District Forest Protection Unit
DMF	=	design and monitoring framework
DONRE	=	Department of Natural Resources and Environment
DPC	=	district people's committee
DPIU	=	district project implementation unit
EA	=	executing agency
EARF	=	environmental assessment and review framework
EMDF	=	ethnic minority development framework
EMDP	=	ethnic minority development plan
EMO	=	external monitoring organization
ETR	=	economic and technical report
FPD	=	Forest Protection Department
FPU	=	Forest Protection Unit
GAP	=	gender action plan
GIS	=	geographic information system
GMS	=	greater mekong subregion
IEE	=	initial environmental examination
LIC	=	loan implementation consultants
LUC	=	land use certificate
LUP	=	land use planning
M&E	=	monitoring and evaluation
MARD	=	Ministry of Agriculture and Rural Development
MONRE	=	Ministry of Natural Resources and Environment
NCB	=	national competitive bidding
NGOs	=	nongovernment organizations
NPD	=	national project director
NTFP	=	non timber forest product
O&M	=	operations & maintenance
PAI	=	project administration instructions
PAM	=	project administration manual
PPC	=	provincial people's committee
PPMU	=	provincial project management unit
PVLUP	=	participatory village land use planning
QCBS	=	quality and cost based selection
RF	=	resettlement framework
RP	=	resettlement plan

SFM	=	sustainable forest model
SOE	=	statement of expenditure
SPS	=	Safeguard Policy Statement
SPRSS	=	summary poverty reduction and social strategy
TOR	=	terms of reference
VFMB	=	village forest management board
VFPDRs	=	village forest protection and development regulations

I. PROJECT DESCRIPTION

A. Project Rationale, Location and Beneficiaries

1. The Project is one of three country level projects that enhance transboundary cooperation and management of forest ecosystems in the Greater Mekong Subregion (GMS). The GMS Governments, with support from ADB have identified the most important biodiversity conservation landscapes in the subregion that are vulnerable to increased development pressures and environmental degradation.

2. In Viet Nam, the Biodiversity Corridor Conservation (BCC) project will address fragmentation within the biodiversity rich forest landscapes of central Viet Nam. Continued fragmentation is impairing the ability to provide a range of ecosystem services necessary for sustaining local livelihoods and investments in hydropower, transport, water and food-security sectors. The Project will promote sustainable resource use, and restore and then enhance these productive landscapes. It will do so through conservation activities supported by targeted economic development activities that support the change from inappropriate resource use to more benign and supportive resource use.

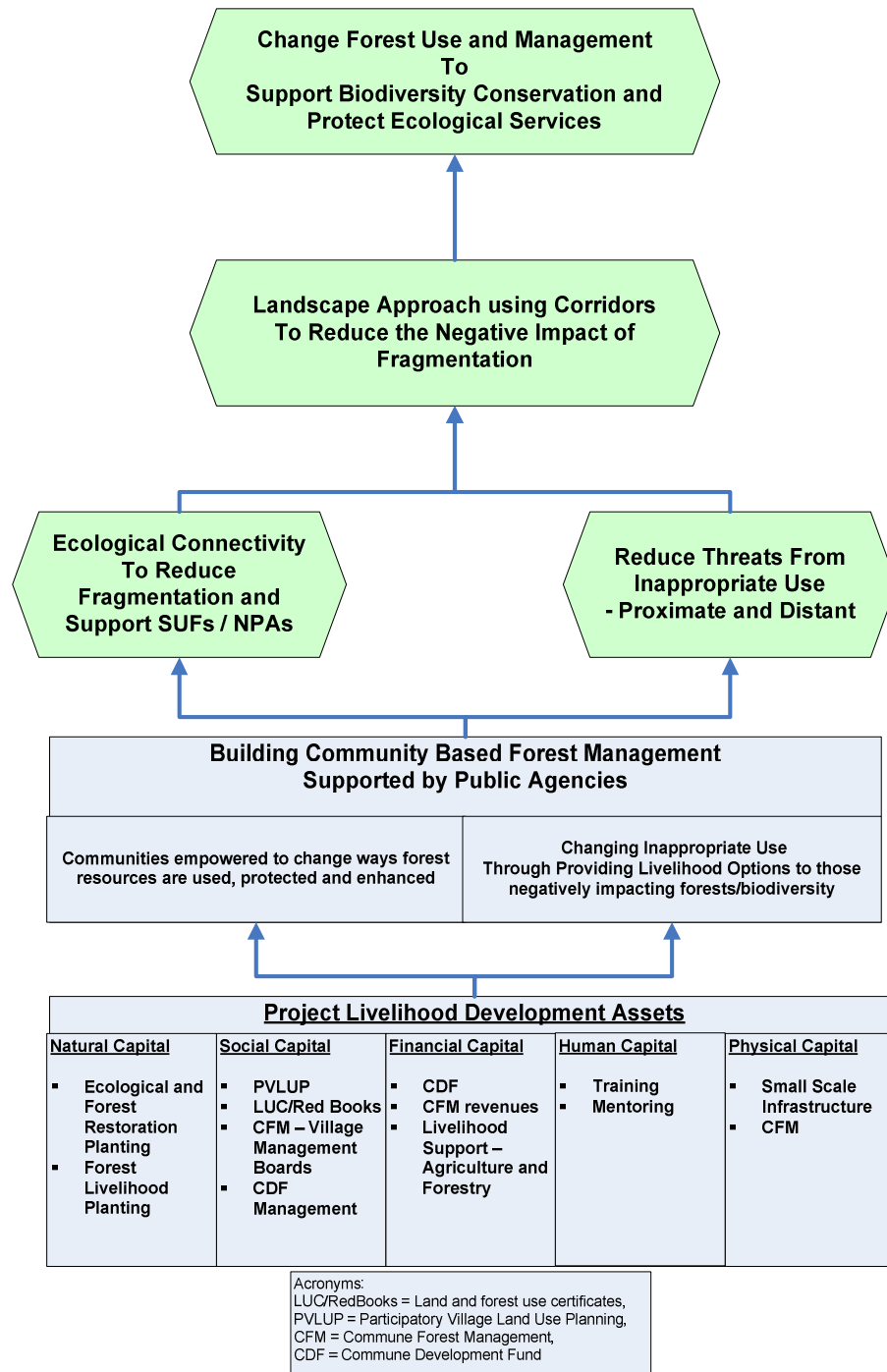
3. The Project represents Phase II of the GMS Biodiversity Conservation Corridors Initiative (BCI). The completed pilot phase was endorsed by the GMS Summit of Leaders in 2005 in Kunming and implemented between 2006-2009 in Quang Nam and Quang Tri Provinces under the ADB regional technical assistance (RETA 6289). The Project will (i) establish biodiversity corridors in the provinces of Quang Nam, Quang Tri and Thua Thien Hue and then restore and maintain the habitat and biodiversity connectivity within the Viet Nam corridor and the wider regional ecosystem (connection of regions for Cambodia, Lao PDR and Viet Nam); (ii) guarantee the sustainable service of forest ecosystems and adaptation to climate change; (iii) create livelihood benefits to local communities in order to reduce pressure on forest; (iv) develop management plans and their implementation; and (v) draft management guidelines at the interprovincial level being used to inform future National level guidance to achieve long-term influence on ecosystem services and sustainability. Biodiversity corridors and provincial management guidelines are expected to be established and in use by 2019.

4. The design of the biodiversity corridor is embedded within a multipurpose, sustainable, biodiversity landscapes approach. The Project will cover 35 communes in 6 districts located across the 3 provinces. The total population of the three provinces in 2009 is estimated at approximately 3.1 million and the 35 communes have a population of about 72,881. The Project is predominantly in a mountainous area comprising protection forests, production forests and special use forests. Ethnic minorities dominate within all provinces from a low of 77% in Quang Tri to a high of 92% in Quang Nam and 91% in Thua Thien Hue. All ethnic minority groups within the Project area belong to the Mon Khmer language group. They trace their productive activities to swidden agriculture with the Gie Trieng mostly shifting to wet rice cultivation. Of the five ethnic minorities, the most persistent in shifting cultivation is the Van Kieu of Quang Tri. An estimated 15,500 households will directly benefit from the Project. Of total expected beneficiaries, about 50% are women and approximately 85% are ethnic minorities.

5. The Project will (i) provide forest and forest land tenurial security to poor households and ethnic minority groups for collective management and protection of forest resources; (ii) restore habitat on degraded forest lands with natural regeneration an assisted regeneration, tree planting of natives species and agroforestry models with improved sources of non-timber forest products; and (iii) improve livelihoods and income enhancing small scale infrastructure. Delineation and demarcation of forest land will be in consultation with primary

beneficiaries based on a participatory village land use planning (PVLUP) approach. Protecting people and their assets (land, livelihood and community social structures) from natural calamities/impacts of climate change like flooding through forest/watershed restoration and protection are key benefits. Other positive aspects are capacity building towards sustainable forestland management practices to attain sustainable livelihoods.

Figure 1: Project Rationale and Strategy



6. In 2010, Viet Nam's guiding poverty reduction strategy paper sets out its strategy to reach its goal of becoming an industrialized nation by 2020, with poverty alleviation as an underlying condition for achieving this result. An important part of Viet Nam's strategy is economic diversification, including reducing the percentage of the population dependent on agriculture for their livelihood from 85% to 50% while at the same time increasing the productivity of agriculture. The Program on Implementing Sustainable Agroforestry on Swidden Cultivation Land from 2008-2012 has two main objectives: (i) converting farmland in sensitive upstream and watershed areas to protected forest (about 1.2 million ha) in order to minimize soil erosion and land degradation; and (ii) encouragement of sustainable upland and sloping land cultivation and management to reduce the loss of forestland and the remaining natural forest. Since most of the owners of swidden cultivation land are the communities in the remote and poor areas of the uplands this program will contribute to meeting the dual goals of poverty reduction and reforestation and to mitigate impacts of climate change.

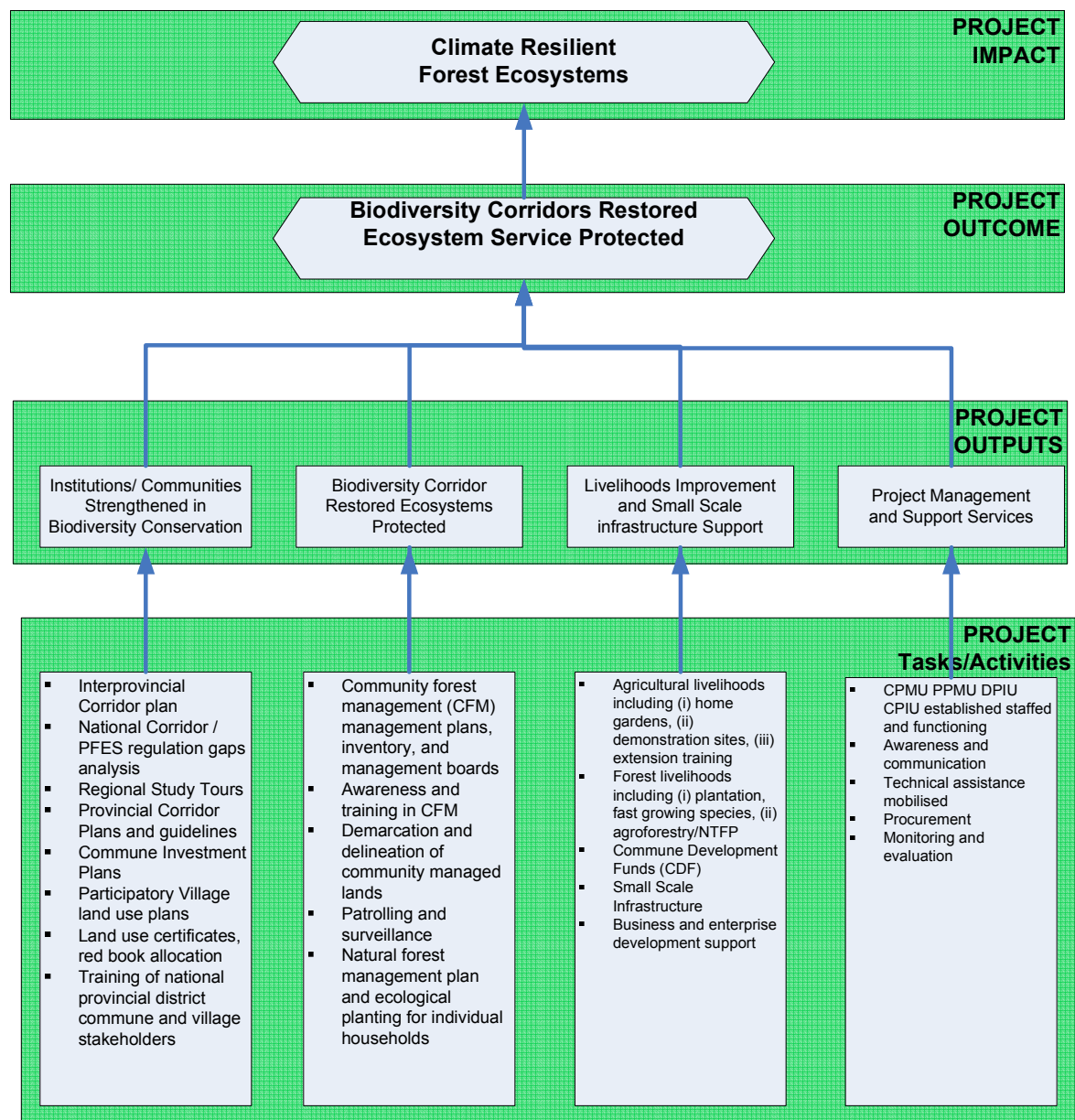
7. The Viet Nam Forestry Development Strategy 2006-2020 proposes (i) focusing on sustainable forest management to manage, develop and use forest sustainably and effectively to meet the basic demands for forest products for domestic consumption and export, to contribute to national economic growth, stabilization of society, particularly for mountainous ethnic minorities areas, while ensuring the protection functions, biodiversity conservation and providing environmental services contributing to sustainable national development; and (ii) the second part on forest protection, biodiversity conservation and environmental services development is aimed to protect forests and conserve biodiversity in an effective manner with active participation of local community people and enhance the contribution of environmental services from forests.

8. In line with the targets of the Viet Nam Forestry Development Strategy 2006-2020, and also in line with Viet Nam's Socio-Economic Development Strategy 2011-2020, the Project will restore and maintain forest cover to contribute to the national targets and contribute to achieving social sector targets such as reducing poverty in mountainous areas and improving access of population to clean water and use of latrines.

B. Impact and Outcome

9. The intended impact of the project is climate resilient sustainable forest ecosystems in the Central Annamite Mountains benefiting local livelihoods and downstream users while the intended outcome is sustainably managed biodiversity corridors in Quang Nam, Quang Tri and Thua Thien Hue provinces.

Figure 2: Project Structure at a Glance



C. Outputs

10. The outputs include (i) institutions and communities are strengthened in biodiversity corridor management; (ii) biodiversity corridors restored, ecosystem services protected, and maintained; (iii) livelihoods improved and small-scale infrastructure support provided in targeted communes; and (iv) project management and support services are operational. The four outputs are detailed in the descriptions below.

1. Output 1: Institutions and Communities are Strengthened in Biodiversity Corridor Management

The MTR changes made to Output 1 include:

- (i) National biodiversity corridor guidelines and climate change impact have been reduced in budget to **\$200K and** \$100k respectively due to cost overruns and additional costs.
- (ii) Three regional study tours have been included to support awareness raising on landscape based management for biodiversity conservation to be organised by CPMU but to have no more than 30% of national, 40% from provincial and 30% subprovincial participants. At least 30% of the participants will be non- MONRE and DONRE staff. Gender balance to fit the gender action plan is required.
- (iii) PVLUP unit costs increased to \$10,000 per commune over and above the disbursement to date to cover additional inputs and revisions.
- (iv) Provincial corridor plans deferred until 2018 to enable lessons and experience to be built prior to planning models being defined.
- (v) Boundary demarcation and delineation has been removed from output 1 and moved into output 2 as a tool for building CFM. The notion of delineating the corridor per se has been removed due to high cost and no anticipated impact. Demarcation will only support community forests where necessary.
- (vi) Other activities are unchanged.
- (vii) The structure of the output has been realigned to fit implementation such that each Imprest account management unit has its own section in the output 1 table with the respective activities, physical targets and costs assigned to these. This enables far easier assessment of what activities and physical targets/budgets go to each cost and management center.

11. Output 1 will be achieved when the following tasks are complete:
 - (i) **Task 1.1:** National and provincial guidelines for the management of the biodiversity corridors are approved;
 - (ii) **Task 1.2:** Participatory village land use plans and commune investment plans are approved for villages in 35 communes;
 - (iii) **Task 1.3:** Land use certificates/red books are issued to (a) individual commune members for forest planting by individual households on approximately 6,000ha, and (b) Commune Forest Management Committees for the management of existing natural forests amounting to approximately 12,000ha of land; and
 - (iv) **Task 1.4:** Stakeholders at the national, provincial, district, commune, and village level are trained in corridor and Community Forest Management (CFM) principles.
12. **Task 1.1.** National and provincial guidelines for the management of the biodiversity corridors will be achieved from the following activities:
 - (i) Ministry of Natural Resources and Environment (MONRE)/Central Project Management Unit (CPMU) will develop and collate database on physical, ecological, social, economic data sets related to the corridor;
 - (ii) Satellite and remote images will be procured and interpreted for the Corridor by the CPMU with procurement for the baseline in the last ¼ of 2014 and then updated in the last ¼ of 2018;
 - (iii) Geographic Information System (GIS) capacity will be built at the national and provincial levels;

- (iv) Ecological services provided by the corridor will be identified and described by Loan Implementation Consultants (LIC), Provincial Project Management Unit (PPMU), MONRE for inclusion in the interprovincial corridor plan;
- (v) Provincial task forces will be established by each PPMU to (a) assess the function and benefit for corridor management plans; (b) how corridor management planning can be integrated within existing planning systems; (c) assess the need for management planning versus management guidelines to be attached to existing government planning documents; (d) draft management guidelines/plans to guide management for the 5 years beyond the life of the project; and (e) circulate the draft plan for comment and revise accordingly; and
- (vi) Interprovincial guidelines and plans will be collated into a national guideline by MONRE/LIC.

13. **Task 1.2.** Participatory village land use plans and commune investment plans are approved for villages in 35 communes.

- (i) **Task 1.2.a:** The PVLUP will be achieved through the following activities:
 - a. The CPMU will provide PVLUP technical guidelines for the completion of PVLUP programs that will be adopted by each Province (completed);
 - b. Each Province will contract a PVLUP service provider to complete PVLUP for each participating commune including implementing awareness and training in PVLUP processes;
 - c. Each district project implementation unit (DPIU) will form a PVLUP support and planning team from District staff to work alongside the service providers;
 - d. Participatory village process implemented according to technical guidelines with output presented to the Commune People's Committee (CPC), District People's Committee (DPC) and PPMU for comment and input;
 - e. CPMU supported by LIC will check the process and/or results of at least 10% the PVLUP on a random basis to ensure quality of the plans; and
 - f. The final PVLUP completed and submitted to DPC for approvals.
- (ii) **Task 1.2.b:** Commune investment plans will be achieved through a two stage process involving:
 - a. **Part 1.2.b.1: Small scale infrastructure priorities**
 - i. Through a consultation process, the PPMU/DPIU/CPIU defining priority small scale infrastructure priorities contributing to the Project impact and outcome in the Design Monitoring Framework (DMF);
 - ii. A long list of priorities will be collated for within each commune, district and province and distributed accordingly to CPC, DPC, PPMU and Provincial People's Committee (PPC) for review against agreed criteria by the PPMU with input from LIC approvals;
 - iii. Submission of priority list from PPMU to CPMU prior to submission to the PPC for approval for review;
 - iv. The list of infrastructures will be submitted by CPMU to ADB for no objection, along with CPMU's comments and PPMU's responses if any; and
 - v. PPMU will assess how to package the infrastructure priorities to optimize procurement efficiency and will provide these to the CPMU.
 - a. **Part 1.2.b.2: Livelihood needs, priorities and opportunities**
 - i. Livelihood needs will be identified from the PVLUP process and the CFM processes;
 - ii. Livelihood support will contribute to the project objective by through reduction of pressure on forest by providing and improving livelihood

- options for households dependent on forest resources especially those households whose use is considered inappropriate;
- iii. CPMU, with LIC's assistance, provides framework on livelihoods and selection of households for livelihood support, in line with Project gender action plan and safeguards;
- iv. PPMUs approves provincial guidelines on livelihood support based on CPMU's framework;
- v. Each DPIU will consolidate a set of livelihood options/priorities for submission to the DPC and PPMU for review;
- vi. Proposed livelihoods programs will be included in the annual work planning programs for review by LIC and CPMU; and
- vii. Livelihoods options will be agreed as part of the work plan approval.

14. Task 1.3. Land use certificates/red books are issued to (i) individual commune members for forest planting by individual households on approximately 6,000 ha; and (ii) Commune Forest Management Committees for the management of existing natural forests amounting to approximately 12,000ha of land through the following activities:

- (i) Criteria and procedures for allocating land for individual households to plant forests will be prepared as a part of the PVLUP technical guidelines produced by the CPMU;
- (ii) Community Forest Management Framework will be developed by CPMU with LIC assistance;
- (iii) Each PPMU will facilitate the endorsement of the Commune Forest Management Guideline by the PPC;
- (iv) PVLUP approvals made by the DPC;
- (v) The PVLUP will identify natural forest land for commune management and other land areas for forest planting by individual households;
- (vi) Forest Management committees formed and trained by the District PVLUP - CFM planning group with support from LIC/PPMU;
- (vii) Each committee will enter into a co-management agreement with the DPC regarding the management principles and responsibility for applying these to the CFM programs; and
- (viii) DPC will issue Land Use Certificates (LUC)/ Red books to community forest management boards for protection forests and individual households for the use of production forest land.

15. Task 1.4. Stakeholders at the national, provincial, district and commune level are trained in corridor and CFM management principles including the following activities:

- (i) Strengthening the capacity of national, provincial, district and commune levels in corridor planning, corridor management, and providing protection and sustainable use policies, guidelines, and local regulations for enforcing the biodiversity corridor management plan;
- (ii) A total of 1,500 provincial, 1,350 district, 5,100 commune level persons are trained in project activities; from trained personnel, of which 40% are female with large portion from ethnic minorities;
- (iii) Emphasis will be placed on GIS-based training for mapping of the biodiversity corridor, developing a management plans for high priority management segments of the corridor outside the Special Use Forests, national protected areas and Protection forest; and
- (iv) Provincial, district and commune level target groups will be specifically trained in skills of biodiversity corridor management, patrolling, conservation, water and forest protection and management.

2. Output 2: Biodiversity Corridors Restored, Ecosystem Services Protected, and Maintained

The MTR changes to output 2 include:

- (i) The structure of output 2 has also adopted the same structure as output 1 with costs and activities presented for each Province. CPMU has no direct role in the implementation of activities in output 2.
- (ii) For each province the output will be implemented through the outcome of the PVLUP results and the issuance of red book/LUC from the DPCs to either CFM committees or individual household for the use of production forest land.
- (iii) The activities will all be implemented as part of the CFM strategy.
- (iv) The structure of the CFM activities has been built into the following lines:
 - a. CFM institutional establishment, management planning and inventory;
 - b. CFM Awareness raising and training – including cross visits to successful CFM in other provinces such as Quang Ngai;
 - c. Community forest patrolling – payment for planned patrolling. (Payment for patrolled CMF areas will be channelled through the village forest management committees (CFM Committees) is not to exceed the expected PFSES annual equivalent payment to ensure sustainability beyond the project; and
 - d. CFM Boundary demarcation and delineation.

Ecological Forest planting (Forest restoration, that includes: (a) Natural regeneration, (b) Assisted natural regeneration, (c) Enrichment planting/ understory planting) – note the previous collection of ecological forest models have been collapsed into a single budget. Budget release will be linked to CFM plans that will now include areas, technical planting specifications including species, timelines and cost norms. Ecological forest planting resources will only be eligible to CFM committees and individual households issued with red books.

- (i) Forest planting targets are markedly reduced to \$7.9 million from the initial design \$8.9 million and is further reduced with the increase in cost norms that occurred since the design costing - in some case by more than 40%. The physical target for forest planting will be smaller depending on the type of planting models applied and their cost. As a minimum a total of 6,000 ha is expected to be established.
- (ii) All forest planting and other project activities will be monitored at the district level to the level of 100% of sites and areas. These results are to be reported to the PPMU and CPMU. The PPMU/CPMU M&E team will be required to undertake a 10% sample audit of the district findings.
- (iii) Funding for labor will be released upon fielding of the site audits within 4 weeks of planting.
- (iv) No other forest planting is envisaged under the output.

16. Output 2: Biodiversity Corridors Restored, Ecosystem Services Protected, and Maintained will be achieved from the following tasks:

- (i) **Task 2.1:** CFM is established and managing an estimated 12,000 ha with supporting forest management plans in selected villages of no more than 35 communes – if no CFM opportunity is identified funding can be used at other agreed CFM sites;
- (ii) **Task 2.2:** Land zoning and allocation areas agreed in the PVLUP and included in CFM forest management are delineated and demarcated;
- (iii) **Task 2.3:** Community based patrolling of forests within the CFM program; and
- (iv) **Task 2.4:** At least 6,000ha of forest restored to build resilience and connectivity.

17. **Task 2.1.** CFM established and managing an estimated 12000 ha with supporting forest management plans in selected villages of no more than 35 communes will be achieved through the following activities:

- (i) Based on PVLUP findings, CFM sites, if any, will be prioritised in each commune;
- (ii) CFM management committees will be established;
- (iii) CFM members will be trained and mentored in commune forest management, and the management of the CFM management committees;
- (iv) For each CFM site, committee members will be trained in participatory forest inventories, these will be demonstrated and members will be mentored in inventory practices;

- (v) Base maps will be produced and ground truthed during the PVLUP process and CMF /forest restoration activities;
- (vi) CFM site level regulations and co-management agreements defined and agreed;
- (vii) CFM five year management plan prepared with specified management targets including planting plans, sustainable harvest plans and procedures;
- (viii) Management plan reviewed by District and Provincial Agriculture and Forestry staff for comment;
- (ix) Management plan finalised and approved by DPC and CPC; and
- (x) Implementation monitored by District and Commune staff.

18. **Task 2.2.** Land zoning and allocation areas agreed in the PVLUP and included in CFM forest management are delineated and demarcated will be achieved through the following activities:

- (i) Site mapping completed during the PVLUP will be used for preparation of management zones;
- (ii) Forest inventory data and land use status will be used to define management objectives and to define implementation plans; and
- (iii) Once the DPC has approved the management plan and the red book is issued. The management zones and land allocation agreements will be delineated and demarcated in the field according to procedures and methods defined by CPMU to ensure legal status. DPIU/PPMU will contract service providers for demarcation with required local labour and close supervision and engagement from the DPIU and CPIU staff.

19. **Task 2.3.** Community based patrolling of forests with the CFM program will be achieved through the following activities:

- (i) Once areas and zones are demarcated, the management plans and maps will be reviewed to identify protection priorities, locations of possible threats and types of forest degradation;
- (ii) Surveillance patrols will be developed to provide increased presence in high pressure or high risk areas;
- (iii) Community members will be trained in patrolling and the recording of patrol observations;
- (iv) Community patrolling agreements are formed between the CFM committee and DPIU that includes the payment of patrolling, targets and monitoring/validation of patrolling inputs. DPIU will enter into a community agreement prior to any funding of patrolling and will use community participation procurement (CPP) procurement processes for provision of patrolling;
- (v) Patrolling will be undertaken as per the agreed plan, DPIU (CFM/PVLUP planning team) will review and validate patrolling inputs and data records as the fund release for patrolling inputs; and
- (vi) Payments will be kept below equivalent payment levels for the national Payment for Forest Environmental Services (PFES) program to maximize the chance of financial sustainability.

20. **Task 2.4.** At least 6,000 ha of forest restored to build resilience and connectivity will be achieved through the following activities:

- (i) Prior to CFM committees being able to enter into sustainable harvesting programs the committee must complete their initial forest restoration planting plan;
- (ii) The forest restoration plan prepared as a part of the 5 year management plan will define the forest restoration program;

- (iii) The program will identify specific sites, will with the assistance of the Department of Agriculture and Rural Development (DARD) forestry staff define technical forest restoration models including species, planting densities, planting practice, maintenance inputs etc. by year. The plan will specify cost norms approved by the PPMU/DARD;
- (iv) The CFM management committee will work closely with the DPIU and DARD staff to have a planting plan included in the annual work plan;
- (v) DPIU will use the 5 year management plans to provide indicative seedling demand and will organize the supply of seedlings and supporting input to enable planting. Seedlings will be procured on a district basis with DPIU placing advance orders for seedlings to ensure availability;
- (vi) DPIU will provide training in forest restoration planting to CFM management committee and CFM members and will then provide CPP contracts to the committee to provide labor to complete the planting;
- (vii) DPIU–Division of Forest Protection Department (FPD) will complete a 100% survey of planted areas to ascertain inputs and quality of works as an acceptance check;
- (viii) PPMU–DARD will conduct a 5% sample audit of the planted areas with an acceptance check to ensure the integrity of the acceptance checks; and
- (ix) CFM members will be contracted to provide a minimum of 2 years maintenance of newly planted seedlings. All maintenance work will have an acceptance check prior to the release of funds.

3. Output 3: Livelihoods Improved and Small-scale Infrastructure Support Provided in Targeted Communes

The MTR changes to output 3 include:

- (i) The output is structured into the three provinces.
- (ii) Activities have been grouped into:
 - a. Agriculture livelihoods, home garden, farm demonstrations, and extension training
 - b. Forestry livelihoods, agroforestry, plantation forestry
 - c. Commune Development Funds program
 - d. Business Development Support
 - e. Small Scale Infrastructure program
- (iii) The program is simplified to enable the activities to be defined in the planning process rather than in the cost tables. As such identification of agriculture and forestry livelihoods needs will come from the PVLUP process. Rather than specify these in the cost table as separate line items the agriculture and production forestry budgets are presented as a single line item in the same manner that ecological forest restoration planting models in output 2 are presented. Use of funds will be driven by the technical model that is approved and included in the work plans.
- (iv) CDF operation is rules and procedures to be defined by local consulting outputs contracted by CPMU under output 4. Initial consultation highlights a need to ensure greater focus on the purpose of CDF as a tool for the project conservation goals and not as a separate decentralised rural development initiative.
- (v) Business development support needs far more thought and the current expert input has delivered very little and is poorly targeted and conceived. Future input needs to be far more integrated with the PVLUP and CFM findings and more targeted to offset inappropriate forest use behaviours while understanding small business, markets and potential tradable output, including input supply to forestry.
- (vi) SSI is specified below the budget and has been reduced by 10% per commune to fund the procurement and implementation supervision costs that were not included in the design cost tables.

21. Output 3 focuses on the role of livelihood options and improved livelihoods as a means for reducing the negative impact of forests and biodiversity. Improved livelihoods and small scale infrastructure support will be achieved through the following tasks:

- (i) **Task 3.1:** At least 900 households receive increased livelihoods from agriculture derived income benefits;

- (ii) **Task 3.2:** A total of 1,200 ha of forest land established for improved forest livelihoods for targeted households;
 - (iii) **Task 3.3:** All 35 communes receive a Commune Development Fund (CDF) with seed capital and supporting organisational capacity; and
 - (iv) **Task 3.4:** All 35 commune receive small scale infrastructure support for demand priorities.
22. **Task 3.1.** At least 900 households receive increased livelihoods from agriculture derived income benefits will be achieved through the following activities:
- (i) The DPIU PVLUP planning and CFM support team will identify households that currently are dependent on forest use deemed inappropriate and where households have access to agricultural production opportunities identified during the PVLUP program;
 - (ii) Agricultural livelihoods programs will be defined by the DPIU planning team with support of LIC, DARD staff and options for linking the target households with the livelihood programs will be agreed with the CPC and DPIU;
 - (iii) Home garden programs will be introduced through the DPIU, new farm technology will be demonstrated at sites managed or owned by the target households;
 - (iv) Livelihood activities (home gardens, cattle raising, chicken raising etc.) will be targeted as models for replication under the CDF;
 - (v) Agricultural extension and training programs will be implemented in the commune villages by the DPIU (with support from LIC, district and provincial extension centers and their staff) based on current agricultural practice, new technology and the farm demonstrations; and
 - (vi) Administration systems will be agreed for linking livelihood options to the provision of seed capital within the CDF such that proposed beneficiaries are able to access the resources for implementing livelihood strategies.
23. **Task 3.2:** A total of 1,200 ha of forest land established for improved forest livelihoods for targeted households will be achieved through the following activities:
- (i) Based on the PVLUP and the livelihoods needs assessment in the Commune Investment Plan (CIP) the PVLUP planning team will identify target households for livelihood improvement that can participate in the forest livelihoods improvement program through establishing fast growing economic tree crops, non timber forest product (NTFP) or agroforestry production models;
 - (ii) Working with the target households, and district forestry staff potential sites will be confirmed, site; Species matching to be agreed with beneficiaries, planting and site plans developed for approval by DPIU along with budget and included in annual work plans;
 - (iii) Once the annual work plan is approved by the DPC, DPIU will arrange for the supply of seedlings, inputs and establish CPP labor contracting;
 - (iv) Training will be provided to beneficiaries by the district forestry staff and planting will be supervised by these staff;
 - (v) Establishment will be assessed with an acceptance check by DPIU staff (100% sample) to release funds for establishment and first year of maintenance only;
 - (vi) The acceptance check will ensure under cropping agreements are adhered too if note funds releases will be adjusted accordingly; and
 - (vii) PPMU will conduct a 10% audit check of the acceptance check findings. Where the acceptance check is found to be inaccurate, any payment of plantation establishment costs will be withheld until corrective actions are complete and confirmed.

24. **Task 3.3.** All 35 communes receive a CDF with seed capital and supporting organisational capacity will be achieved through the following activities:

- (i) CPMU contract a service provider to review CDF experience in other projects and in BCI (Phase 1) to collate lessons learned;
- (ii) Service provider to propose a CDF implementation plan and CDF operational guideline and present to CPMU, LIC, PPMU for review and comment;
- (iii) CPMU to ensure that the CDF design and procedures are focused on the project rationale with priority for use of funds targeting those that the Project wishes to support a change in forest use behaviour;
- (iv) CPMU to provide comments, service provider updates CDF model and operational guidelines, and rollout plan;
- (v) CDF guideline will be submitted by CPMU to ADB for no objection;
- (vi) Upon ADB's no objection CPMU/PPMU approve CDF model;
- (vii) Service provider will establish management committee or equivalent in each commune, provide an awareness and training program for both the commune (including villages) and for the CDF staff to manage the CDF fund, support the establishment of conservation agreements linked to the CDF fund, and training for monitoring of implementation of conservation agreements;
- (viii) PPMU to transfer funds to the CDF and the DPIU will support accounting and financial management training;
- (ix) CDF first annual plan to be prepared and proposed to CDF service provider and DPIU for review and comment;
- (x) CDF committee to make first grants and monitor the use of funds;
- (xi) DPIU to monitor financial status and use of funds; and
- (xii) PPMU/CPMU monitoring an evaluation to assess the impact of funds.

25. **Task 3.4.** All 35 communes receive small scale infrastructure support for demanded infrastructure priorities will be achieved through the following activities:

- (i) CPMU to submit the list of small scale infrastructure to ADB for no objection;
- (ii) Upon ADB's no objection, final lists are approved by each PPC;
- (iii) PPMU to contract detailed design contractors;
- (iv) Feasibility studies for infrastructure are completed and approved;
- (v) Detailed design completed for each provincial priority lists with an independent review;
- (vi) PPMU in each province procures contractors to construct infrastructure;
- (vii) Detailed designs, including technical, social and environmental safeguards due diligence as defined in Project documents will be reviewed by the PPMU in each province;
- (viii) The first two small-scale infrastructure packages (which may contain more than one subproject) of each PPMU will be submitted to ADB through CPMU for review. Upon ADB's no objection, the packages will be approved by PPMU prior to contracting works;
- (ix) Subsequent to ADB's no objection of the first two packages for small scale infrastructure, ADB may request post-review of the design and safeguards of other small scale infrastructure subprojects;
- (x) A Memorandum of Understanding between (MOU) MONRE and PPCs acceptable to ADB will be signed. Such MOU shall include provisions to (a) prepare a maintenance management plan that includes estimates of the physical works and associated costs required for routine and periodic maintenance, as well as provisions for emergency repairs for the duration of the Project facilities; (b) include the maintenance management plans in its annual budgets; (c) provide adequate funds in a timely manner from provincial budgets to implement the maintenance management plans; and (d) establish mechanisms for the safe and proper use for each of the Project facilities in accordance with national regulations and practice;

- (xi) DPIU/PPMU DARD staff and contractors supervise and review construction; and
- (xii) Completion handover from contractor to DPC/CPC.

4. Output 4: Project Management and Support Services are Operational

The MTR changes to output 4 include:

- (i) The output is structured into the three provincial PPMU programs;
- (ii) Additional inputs have been included for the additional District level staff;
- (iii) A communication and awareness budget;
- (iv) A monitoring and evaluation budget has been established;
- (v) Additional consultants have been included in the LIC contract for provincial procurement, work planning, community forestry, financial management systems, and communication and awareness programs;
- (vi) Project audit contract including a budget;
- (vii) Additional costs for contracted positions in the CPMU to be retained through to the end of the Project;
- (viii) Increased cost norms for operating costs at each PMU; and
- (ix) Independent monitoring experts for social and environment safeguards.

26. Output 4: Project management and support services are operational will be achieved through the following tasks:

- (i) **Task 4.1:** Establishment of Project Management systems in each Province with supporting district and commune level implementation units;
- (ii) **Task 4.2:** Project work planning on a rolling planning basis enabling adaptation;
- (iii) **Task 4.3:** Financial management systems and reporting;
- (iv) **Task 4.4:** Procurement of Works, Equipment, and Vehicles;
- (v) **Task 4.5:** Awareness raising and communication programs; and
- (vi) **Task 4.6:** Monitoring and evaluation supporting Project reporting.

27. **Task 4.1.** Establishment of Project Management systems in each Province with supporting district and commune level implementation units will be achieved through the following activities:

- (i) Establish offices;
- (ii) Staffing of offices;
- (iii) Equipping of offices;
- (iv) Project procedures and systems; and
- (v) Training of staff.

28. **Task 4.2.** Project work planning on a rolling planning basis enabling adaptation will be achieved through the following tasks:

- (i) Defining the Project and government planning systems, their integration;
- (ii) Assigning levels of delegation for work planning and approvals;
- (iii) Establishing planning templates;
- (iv) Completing a 5 year rolling plan through to project completion;
- (v) Conducting annual evaluation of work plan implementation and adaptation of work plans;
- (vi) Procurement plans implemented; and
- (vii) Project Monitoring and evaluation including safeguard monitoring.

29. **Task 4.3.** Financial management systems and reporting will be achieved through the following tasks:

- (i) Setting up imprest accounts and subaccounts;

- (ii) Issue financial management guidelines for the project;
 - (iii) Define control systems and financial planning, disbursement and payment procedures;
 - (iv) Establish accounting systems and their integration;
 - (v) Financial Reporting; and
 - (vi) Project financial auditing.
30. **Task 4.4.** Procurement of Works, Equipment, Vehicles, and Consulting Services:
- (i) Training and awareness of procurement systems and requirements;
 - (ii) Preparation and updating of procurement plans;
 - (iii) Delegation of procurement approved; and
 - (iv) Procurement completed on time and with integrity.
31. **Task 4.5.** Awareness raising and communication programs:
- (i) Development of a communication and awareness strategy for Project stakeholders;
 - (ii) Conduct internal project awareness program to build consensus on the Project strategy;
 - (iii) Conduct stakeholder and beneficiary awareness programs to support awareness and understanding of biodiversity corridors and the rationale (how and why) the project is addressing connectivity in the landscape; and
 - (iv) Implement a communication strategy throughout the project life that includes officials and media packs.
32. **Task 4.6.** Monitoring and evaluation supporting Project reporting will be achieved through the following activities:
- (i) Preparation of terms of reference for contracting monitoring and evaluation (M&E) service provider;
 - (ii) Procurement of contractor;
 - (iii) Preparation of baseline and definition of data collection, storage and analysis relating to project activities, outputs, outcomes of the Project;
 - (iv) The M&E program will be required to provide half yearly management reports to inform implementation and enable adaptive management to be implemented;
 - (v) Annual update of the Project indicators and data sets; and
 - (vi) Project completion evaluation of the Project DMF targets.

II. IMPLEMENTATION PLANS

A. Project Readiness Activities

	2010			2011					
Indicative Activities	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Responsibility
Advance contracting actions									CPMU
Establish project implementation arrangements									MONRE/CPMU/PPMU
ADB Board approval (10 Dec 2010)									SEAE
Loan signing (28 Feb 2011)									SEAE/OGC/MOF
Government legal opinion provided									MONRE/MOF
Government budget inclusion									MONRE/MOF
Loan effectiveness (28 May 2011)									SEAE/OGC

CPMU=Central Project Management Office; MONRE = Ministry of Natural Resources and Environment; PPMU = Provincial Project Management Office; SEAE= Agriculture, Environment, and Natural Resources Division, South East Asia Department ADB, OGC = Office General Council ADB, MOF = Ministry of Finance

C. Technical Considerations

1. Commune Investment Profile Framework

33. Overall, the Project will improve natural resource management by establishing GMS Biodiversity Conservation Corridors, a transboundary, forest ecosystem based landscape approach for maintaining sustainably critical ecosystem services that benefit local livelihoods and downstream users. In this context, beneficiaries, most of whom are living in remote, mountainous, high poverty areas, and are from ethnic minority groups, will be provided with demand driven, and stakeholder prioritized livelihood improvement and small-scale infrastructure support in 35 selected communes.

34. Preliminary consultations in sample communes resulted in prioritizing (i) livelihood improvements; and (ii) infrastructure assets that are seen by the beneficiaries as essential needs. Livelihood improvements include: agroforestry, non-timber forest product enhancement with reforestation, fish ponds, and domestic livestock; infrastructure assets include: water wells / potable water systems, improved latrines and sanitation, connections to power grid, rural access roads, and small scale irrigation. At the start of Project, participatory, multi-stakeholder consultations will be held to reconfirm beneficiary priorities and their in-kind contribution and commitment (labor, local materials, land, rights of way where applicable). Specific subprojects will be screened for technical, financial and economic feasibility.

35. General considerations for the detailed design of the assets include:

- (i) Technically feasible and appropriate for mountainous areas;
- (ii) Affordable within the block allocation provided per commune and meeting specific;
- (iii) Needs of the beneficiaries;
- (iv) Optimizing the inputs of local resources including labor, materials, enterprises, and knowledge;
- (v) Being within the realistic envelope of the existing maintenance capacities; The assets will be demonstrated not to impose additional maintenance burdens that will be impossible to meet;
- (vi) Performing the intended purpose for the entire duration of their design life; and
- (vii) Complying with social and environmental safeguards.

36. At the outset, the Project will establish a detailed quality assurance and monitoring framework. Particular attention will be paid to safeguards and quality controls during implementation process to ensure adherence to design specifications.

2. Participatory village land use planning (PVLUP)

37. Inherent risks for a resource conservation project focusing on the establishment of forest through farmers are, besides technical problems:

- (i) insufficient social acceptance of the project activities and therefore missing motivation of farmers;
- (ii) unclear land tenure situation; and
- (iii) uncertain capability of the farmers concerned to implement coordinated activities and scattered reforestation plots with a significantly reduced ecological impact.

38. PVLUP is the first step in ecological forest restoration planning and addresses these issues. Villagers (facilitated and guided by land use planning (LUP) officer/ staff) discuss about their present land use and their future land use needs in the framework of the macro

plan (local medium and long-term land use, provided by related district divisions such as district agriculture division, district cadastral division, etc.).

39. The purpose of PVLUP is to ensure consensus about the right choice of the forest restoration sites, to clarify the management and ownership rights indispensable for sustainable land use and also to reach agreement on the future use of all other forestland. Additional discussion on selection of tree species and village regulations for the protection of the future plantation is initiated during the PVLUP. In other words, the purpose of PVLUP is to ensure social-economic acceptance of the forest restoration areas by the villagers.

40. While the time horizon for the whole plan covers a period of 5 years, selected areas for project interventions are permanent forestland. At village level, planning results are mainly documented in the 3-D-models (land use), the current land use maps and future land use maps as well as in the village regulations (protection issues). Plans are aggregated on commune level, appraised by PPMU (and randomly by CPMU) and related district divisions), and finally approved by the District People Committee.

41. Those plans which have demonstrated and ensured the following will be approved:

- (i) Reforestation is complementary to other types of land utilization such as agriculture or cattle grazing; and
- (ii) Coherent areas are reforested simultaneously in the proximity of Protected Areas and existing natural forest and in a coordinated way.

42. In the framework of a forest restoration project, the land use-planning concept will be highly successful if people involved feel free from any pressures such as planning targets. Forest restoration targets have to be based on village condition while it is the task of the higher levels (district to national level) to monitor the compliance of targets with the project framework. If correctly implemented, the vote taken by the villagers leads to an identification of the participants with the chosen land use type and to a joint commitment by the village community.

43. In principle, all villagers can participate in project activities. Project participants are selected during the PVLUP. The project does not interfere in selecting the participants of the project; selection is made by the villagers themselves.

44. The formation of forest farmers' groups should be encouraged already during VLUP to enhance conditions for long-term management.

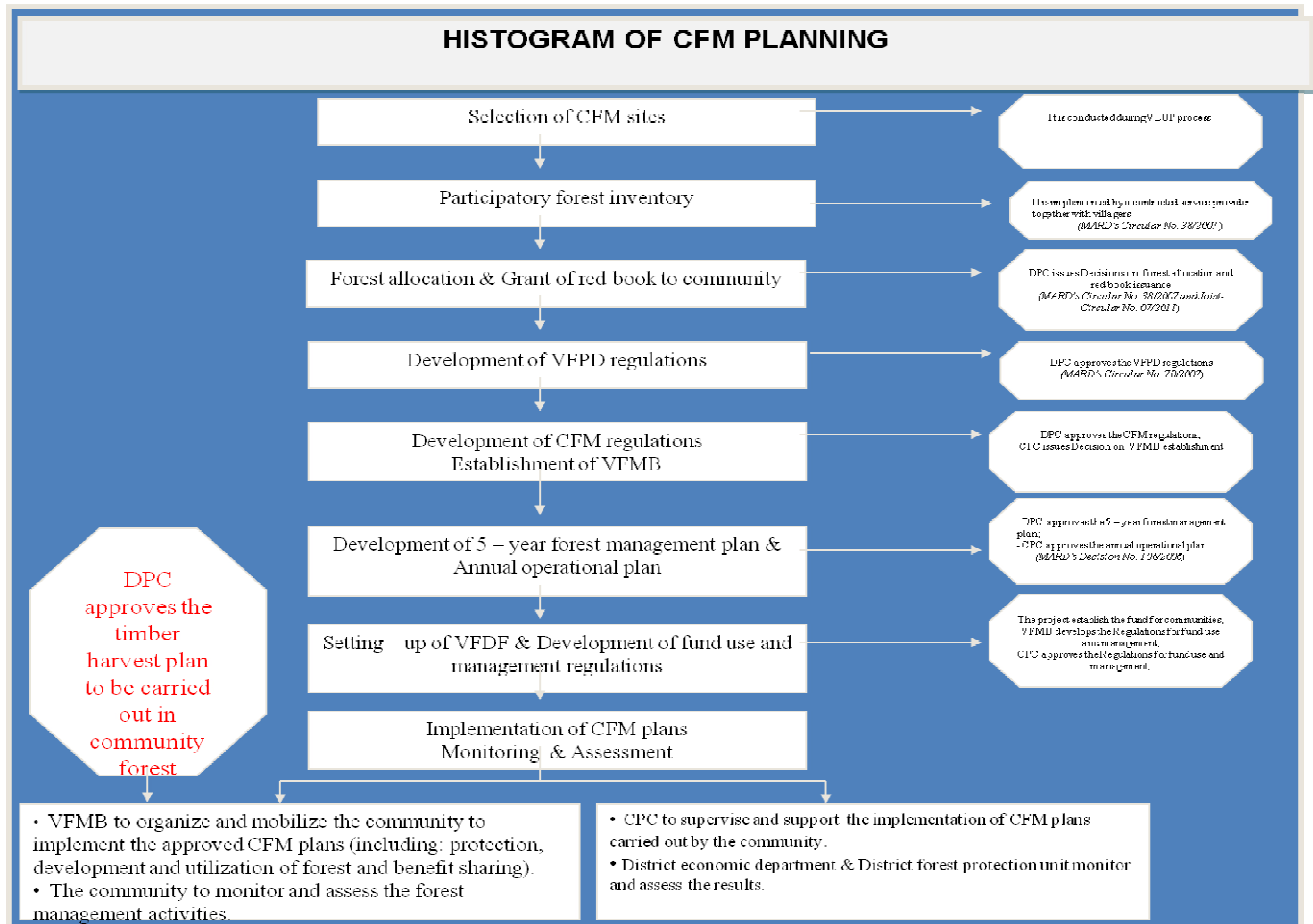
45. Steps of implementation are:

- (i) Rank selected communes according to implementation priorities;
- (ii) Produce necessary materials (e.g. missing maps);
- (iii) Conduct workshops at district, commune and village level to facilitate participatory land use planning;
- (iv) Facilitate selection of participants and formation of forest farmers' groups per forest restoration block, based on criteria such as coherent management area, kinship, and residential proximity;
- (v) Appraise (PPMU under participation of CPMU, consultants, and related district divisions) and approve (DPC) commune/village land use plans;
- (vi) Carry out land allocation/adjust land allocation already carried out prior to project start; and
- (vii) Produce maps/visual aids of planned land use already agreed upon between the parties involved.

46. For more details on PVLUP implementation and appraisal please refer to the project guidelines see Appendix 1.

3. Community Forest Management (CFM)

Figure 3. Histogram of CFM planning



a. Selection of CFM sites/ villages

47. CFM sites will be selected according to the selection criteria, during the PVLUP (Please see the PVLUP guideline and its annexes).

b. Allocation of Existing Forests to Community

- (i) Forest inventory must be conducted for the forest area, where is allocated to community, to form database for local authority to issue decision on allocation of forest to community as stipulated in Ministry of Agriculture and Rural Development (MARD)'s Circular No. 38/2007/TT-BNN dated 25/04/2007.
- (ii) Decision on allocation of forest to community is issued by DPC that contains information about the size, current status and standing volume which is followed by the forest land tenure certificate (red book) granted to the entire village community that bears the village name as the certified holder (individual forest owner).
- (iii) Forest allocation plans of communities approved by CPCs and DPC.
- (iv) Forest areas to be allocated to each community will be decided by DPC based on existing forest resources of the communes and management capacity of the communities.

- (v) Duration for allocation of forests to communities is granted with a minimum of 50 years to provide the medium-term stability that is needed to guide consistent implementation of sustainable forest management.

c. Method of assessing forest current status

48. Assessment of forest current status in comply with MARD's Circular No. 38/2007/TT-BNN dated 25/04/2007, including: (i) collection of data which is carried out by community and contracted service provider; and (ii) analysis of data, calculation of standing volume. Definition of forest current status is carried out by contracted service provider, including: sampling density, sample plot locations (see training book on participatory forest inventory).

49. Data of forest inventory is used for two purposes: (i) allocation of forest to community; and (ii) development of forest management plan (stem number per diameter class) (See MARD's Circular No. 38/2007/TT-BNN for more details about procedures for forest allocation to community and method of forest inventory an assessment and formats of forest allocation procedures).

d. Village Forest Protection and Development Regulations (VFPDRs)

i. Development of VFPDRs

50. VFPDRs is elaborated by the respective community at village level (with guidance and support from CFM staff and local forest ranger according to MARD's Circular 70/2007/TT-BNN) to ensure that developed regulations are socially acceptable and that VFPDRs can be monitored and enforced by the local people.

51. Development of VFPDRs has to be done in a participatory way to ensure that local traditions and customs can be incorporated and developed regulations will be specific for the socio-ecological context of the community. VFPDRs has to be in line with current government policies and laws and have to reach an official approval by DPC to ensure that regulations developed can be legally enforced.

52. The contents of VFPDRs have to be clear, specific, easy to understand, practicable, suitable for the forest resource status and future village plans in forest development, and should be adequately disseminated amongst the community members. VFPDRs are applicable for all forests in the village area regardless their forest function or classification. Implementation has to follow the technical procedures as defined in the training manual on the development of VFPDRs of the project. (See MARD's Circular No. 70/2007/TT-BNN dated 01/08/2007 for more details about process of developing and assessing the implementation of VFPDRs by village community).

ii. Responsibilities for Development of VFPDRs

53. The village head, representatives of Village Forest Management Board (VFMB) and the Women's Union or other mass organizations at village level are responsible for organizing and moderating all planning meetings for the development of VFPDRs. A secretary has to be appointed to take minutes of meetings and to help compiling the results of the discussions. Since women are a major forest user group, their presence and contributions during the whole meetings is a pre-requisite for the successful design of VFPDRs and has to be encouraged.

54. Commune Forest Protection officers (local rangers) assist the community members during the whole process of developing, approval, dissemination of VFPDRs and monitoring of VFPDRs implementation.

iii. Procedures for Development of VFPDRs

55. Prior to the first village meeting, available mapping information has to be collected such as village (or commune) land use maps or any other mapping information, e.g. 1:5.000 aerial photomaps, topographic land use maps, cadastral maps or sketch maps drawn by local people. The updates of relevant governmental programs and legal documents have to be made available, including village socio-economic data.

56. An introductory meeting is organized to inform concerned village representatives about the planned development of VFPDRs. Especially commune and village level women's union representatives have to be timely informed prior to village meetings to act as co-facilitators.

57. If the VFMB is already established, VFMB members have to be assigned to support the organization of village meetings. Expected outcomes of the village meetings are:

- (i) Community members have discussed and agreed upon their village-specific set of VFPDRs.
- (ii) Women and women's union representatives of commune and/or respective village level actively contributed to the meetings outcomes.
- (iii) An effective mode for dissemination of VFPDRs within the village has been identified by village representatives.

58. Required participants of village meetings are Project field staff, Local Ranger, Commune head, Commune Forest Management Board, Village head, Village elder, village level mass organization and key-farmers.

59. Once the VFPDRs have been agreed upon by the majority of village community it has to be written down in a simple document to be submitted to district authorities for approval. The draft contents of VFPDRs are presented in a plenary village meeting for final revision and voting by village community. VFMB then forwards the completed VFPDRs to CPC for endorsement and further submission to DPC for review. DPC consults its Judiciary Section and the Forest Protection Unit (FPU) regarding the content of VFPDRs and issues the legal approval.

60. The approved VFPDRs are signed by village representatives signifying their agreement with the content of VFPDRs and their commitment to enforce the VFPDRs.

e. Responsibilities for Dissemination, Monitoring and Enforcement of VFPDRs

i. At district level:

- (i) DPIU and Agriculture and Rural Development Section are responsible for coordinating with commune and village levels in enforcing the VFPDRs;
- (ii) FPU is responsible for supporting and assisting the DPC in monitoring and enforcement of VFPDRs; and
- (iii) FPU is responsible for timely dissemination of legal policies on forest protection and management to the communities.

ii. At commune level:

- (i) Local ranger and Agro-forestry staffs are responsible for distributing the approved VFPDRs to the community;
- (ii) CPC files copies of each set of respective VFPDRs and assigns a staff to monitor and collect the records of violation cases to be handled over to the commune authority for treatment; and
- (iii) CPC is responsible for dissemination of approved VFPDRs to respective organizations under their jurisdiction.

iii. At village level:

- (i) VFMB assigns one member responsible for monitoring, summarizing and evaluating the implementation of VFPDRs;
- (ii) VFMB is responsible for the dissemination of VFPDRs to all households of the village and neighboring villages;
- (iii) Villagers themselves must take the main responsibility to ensure that the contents of VFPDRs designed by them are strictly followed;
- (iv) Violation case reports have to be compiled by VFMB;
- (v) Setup of Village based Forest Management Organizations;
- (vi) Village Forest Management Board (VFMB);
- (vii) VFMB is established by its community (through plenary village meeting) to direct and check all forestry activities conducted in the village territory;
- (viii) The members of VFMB are selected from village-based Communist Party Cell, Fatherland Front, Farmer Union, Women Union, War Veteran Union, Youth Union, etc. and are recognized by CPC;
- (ix) VFMB is established right at the initiation of VFPDRs development in order to instruct the community to develop the contents of VFPDRs with the support of local ranger and commune justice staff; and
- (x) Forms of labor compensation to each position of VFMB are decided by the community based on the assigned role, tasks and power of its members.

iv. Forest Protection Group (FPG):

61. A professional FPG can be established by village community based on the factual condition of the village. The number of FPG is decided, selected by community with clearly - assigned responsibilities, tasks and power and approved by CPC.

62. All the established village-based forest management organizations must be operated in comply with the CFM operation regulations that has been approved by DPC (see Community Forest Management Regulations Guidelines of the project).

4. Community Forest Management Planning

a. Principles of CFM planning

- (i) Community Forest Management Planning has to be in line with commune forest development planning, socio-economic and environmental conditions of the village and based on the demand of the local population.
- (ii) Community Forest Management Planning must ensure sustainable and long-term use of the forest resources.
- (iii) Methodologies and tools applied have to be simple, relevant, practicable and easy to understand to ensure that effective enforcement and monitoring of forest management activities are within the capacity of the communities.

- (iv) Full participation of the local population in all planning steps has to be ensured via active participation of local stakeholders in the entire process of forest management planning.
- (v) Applied methodologies have to be cost-effective in view of independent future continuation of forest management plans by communities under the support of local authorities.
- (vi) Methodologies must ensure both the combination of indigenous knowledge and conventional forestry knowledge and the sound technical standards together with true data for forest management work.
- (vii) All forest management and utilization is quantified in transparent, accountable and practicable units like stem number per diameter class, back load or weight.
- (viii) Volume calculation of timber is limited to the process of taxation of commercial timber utilization only.

b. Sustainable Forest Model (SFM)

63. In community forestry, simple but reliable indicators for sustainable utilization levels are needed with the aim of (i) satisfying the varied demand of the local forest user in terms of forest products and at the same time; and (ii) ensuring sustainability of forest resource.

- (i) SFM (also called Histogram for Forest Sustainable Structure) is a columnar model that symbolizes a well-developing production forest under a sustainable management, in which density of tree distribution per diameter classes do ensure a stable and continual maintenance of all generations of tree with a proper forest resources. It is similar to the best forest structure under an effective management way.
- (ii) SFM is used as benchmark to quantify the surplus trees that need to be harvested in the five-year forest management plans and a basis for adjusting the existing forest statuses to be a better one.
- (iii) SFM provides an effective monitoring tool within the capacities of both local field staff and local communities which helps to improve transparency, accountability and improving villagers confidence in dealing with government agencies e.g. for timber harvesting application.
- (iv) To ensure the practicability and suitability to the capacities of community, the design of number of diameter classes and width of each diameter class should be relied on specific forest conditions (it is advisable to design from 5 to 6 diameter classes with a minimum width per diameter class from 4 cm to 8 cm per class).
- (v) SFM requires the approval of DARD before application.
- (vi) As the production potential and forest structure of various forest types differ, specific SFMs have to be developed for the dominant forest types in each ecological region by a contracted forestry institution (normally each province will need a SFM and PPMU will contract a service provider to develop it).
- (vii) Development of SFMs must be based on the results from the forest resource assessment.

c. Forest Blocking

- (i) Forest blocking exercises in the context of community forestry can be based on any available mapping information such as common topographic land use maps (scale 1:10,000), aerial photomaps (scale 1:5,000) or sketch maps based on the indigenous knowledge and experiences of the local forest users.
- (ii) Forest block is defined as a unit or subdivision of a forest type. It is an aggregation of trees occupying a specific area and sufficiently uniform in

- composition of species, age, size, and stocking, such that the same management recommendations would be appropriate for the entire area.
- (iii) Each forest block forms a management unit for which an independent forest resource assessment and management plan have to be completed.
- (iv) Defined forest blocks are then delineated on land use maps, named and areas defined separately.
- (v) Local forest users are further guided by CFM staff in completing a comprehensive forest block description which explicitly defines the long-term forest management goal for the respective forest block.
- (vi) Procedures for forest blocking and block description have to follow procedures as described in the project training manual.

d. Data Analysis for Development of Village Forest Management Plans

64. Data collected during the forest resource assessment for forest allocation is used as basis for the development of Village Forest Management Plans, the results of which are presented in form of histograms showing the diameter classes and the respective stem numbers drawn by local forest users under guidance from technical staff (local forest rangers or forestry staff) from commune or district level. The number of the diameter classes and the class width has to be based on the SFM for the respective forest type and ecological region.

- (i) The SFM is prepared on a transparency and will be placed over the inventory results.
- (ii) Forecast of sustainable timber harvest.
- (iii) The number of trees to be harvested in five year period is defined by comparing inventory results with the benchmarks for each diameter class as defined by the SFM. Harvest of timber is generally allowed in all diameter classes in case the real stem number is exceeding the benchmarks as defined in the SFM. No concept of a minimum harvestable diameter like in conventional forest management in Viet Nam is applied.
- (iv) All timber extraction is intended as forest improvement by reducing imbalances between the SFM and the real forest status.
- (v) Elaboration of 5-year Forest Management Plan.
- (vi) Five-year forest management plans are elaborated by local forest users under guidance from technical staff for each of the defined forest blocks, in which the data of forest inventory and assessment and sustainable forest protection and utilization measures) to be implemented by community in the five-year planning horizon are proposed.
- (vii) Each of the silvicultural activities to be implemented is described and grouped under main categories, namely utilization, improvement, protection and NTFP/Others.
- (viii) After the five-year planning horizon a repeated participatory forest resource assessment has to be conducted again for the development of sustainable harvest levels for the next five-years, but in the potential blocks only.

e. Approval of 5-year Forest Management Plan

65. Five-year Forest Management Plan is approved by DPC, if necessary, amendments are discussed with VFMB. The detailed proceedings include:

- (i) Completion of approval document.
- (ii) Completed approval forms have to be signed by VFMB.
- (iii) Signed approval forms are submitted to the CPC which is further responsible for timely submission to the DPC.

- (iv) DPC approves the forest management plan after consulting the respective Forest Protection Unit, Agricultural Cadastral Office and other relevant agencies.
- (v) In case amendments have to be made prior to approval, CPC is responsible for informing the VFMB.
- (vi) After approval, respective documents are sent back to CPC.
- (vii) CPC is hands over the approved five-year Forest Management Plan during a village meeting.

f. Elaboration of Annual Work Plan

- (i) Activities detailed in the five-year forest management plan are broken down into annual work plans.
- (ii) Annual Work Plan is an operational plan that describes in detail the timing, contents of work, quantity and responsibilities of silvicultural interventions planned for one year, and are signed by VFMB.
- (iii) For the forest utilization operation (harvests of timber and other forest products), all the annual harvest amounts do not exceed the total harvest amount mentioned in the approved five-year forest management plan.

g. Approval of Annual Work Plan

- (i) Annual Work Plan has to be submitted to CPC for review and approval before VFMB mobilizes and organizes the village community to implement.
- (ii) CPC is responsible for doing timely endorsement of the community's annual work plan and report it to DPC.

5. Village Forest Protection and Management Fund

a. Fund Establishment

66. The Village Forest Protection and Management Fund is intended to provide money to the community to be used for financing forest protection and forest management activities until the forest can provide sufficient finance from sustainable timber harvest alone.

67. Completed forest land use plan and forest allocation, approved forest protection and development regulations, operational village forest management board and approved five-year village forest management plan are prerequisites for a community to be eligible for receiving a Village Forest Development Fund.

68. The Village Forest Protection and Management Fund is established as a bank account at a local bank under the name of the VFMB leader.

69. Total funding is to be defined on a per hectare basis for a period of six years.

b. Village Forest Protection and Management Fund management

- (i) The VFMB is the main responsible body for the fund management and is regulated in the Village Forest Management Board regulations which have been agreed upon by majority vote during a plenary village meeting.
- (ii) On a quarterly basis the Village Forest Management Board during a plenary village meeting is providing payments for the village forest protection group.
- (iii) Additional forest management activities are to be documented under the village forest management plan and sustained through village internal funding.

- (iv) The plan describes activities to be financed, the responsibilities for the implementation and the amount of finance needed.
- (v) Within the period of Project support (six year period) the plan has to be provided to the District Project Implementation Unit and signed before money can be withdrawn from the bank.
- (vi) The VFMB has to provide evidence on the use of funds (receipts, checking of implementation results etc.)
- (vii) The usage of the Village Forest Protection and Management Fund is decided by the community, however three compulsory principles of the fund have to be ensured:
 - a. Minimum sustainable funding period of 6 years.
 - b. The Village Forest Protection and Management Fund has to be sufficient to ensure labour compensation for forest protection group and village forest management board.
 - c. The fund has to be sufficient to ensure financing of activities as detailed in the five-year village forest management plan.

c. Some Information Supporting the Implementation of CFM plan

i. Administrative Procedures for Trial Logging

- (i) VFMB submit to CPC a proposal for trial logging based on the annual work plan that has already been endorsed by CPC. The document of trial logging is comprised of:
 - a. Application for trial logging.
 - b. Approved 5 - year forest management plan.
 - c. Endorsed annual work plan which shows the potential forest block(s) reserved for trial logging.
 - d. The benefit sharing mechanism that has already been endorsed by CPC.

Note: PPMU in coordination with DPMU to help VFMB to make the application for trial logging and collection of these documents.
- (ii) CPC establishes a CFM working group (CWG) to help the community prepare the required legal papers and assist DPC on demand. The structure of CWG consists of:
 - a. Local ranger.
 - b. Commune forestry staff.
 - c. Representatives of VFMB.
 - d. Note: DPMU has the responsibility to advise and explain related issues to DPC as required, and coordinate with other agencies to support community during the process of proceeding administrative procedures.

70. Community uses the hammer seal of Provincial Sub-Department of Forestry (PSDF) to mark the selected trees to be logged on the field under the instruction of local ranger and make a list of logging trees. District Forest Protection Unit (DFPU) helps community do borrows the harmer seal from PSDF. CWG helps community develop the required loggings design which consists of:

- (i) Logging design (backgrounds for logging design, aims of logging, general information about the harvest block(s), SFMs, histograms of current forest structure, harvesting measures to be applied, volume and output of logs, plan for monitoring of logging activities, map of logging locations, timber extraction routes, log-yard).
- (ii) List of logging trees.
- (iii) Minutes of on-field agreement.
- (iv) Regulations on logging monitoring approved by DPC.

- (v) DPC approves the logging design (with technical assistances of DFPU, DPIU and district Agro- forestry office) grant of trial logging permit to community.
- (vi) CFM working group is responsible for cooperate with VFMB for implementation and supervision of the logging operations.
- (vii) After the trial logging has been assessed by local authorities and relevant forestry agencies as a successful performance and abide by the project's criteria, village community will reserve the right to implement the annual logging as planned.

d. Administrative Procedures for Annual Harvest

i. For timber:

- (i) Annually, community decides quantity of logging trees which is included in the endorsed annual work plan (including: number of trees per diameter classes, logging locations, implementation time, method of log extraction, etc.) and submit it to CPC for endorsement (note: the total of trees cut within 5 consecutive years mustn't be in excess of those proposed in the approved 5 - year forest management plan).
- (ii) After annual work plan is endorsed by CPC, the VFMB reserves the right to mobilize community to select and mark (encode) the selected logging trees on the field with red paint (at breast height and below the felling scarf) under the instruction of local ranger. The hammer seal of PSDF is used only for trees of ≥ 25 cm in diameter.
- (iii) Local ranger and commune forestry staff help VFMB prepare the annual logging design and submit it to DPC for approval.
- (iv) Within 3 working days from receipt of the annual logging design, if it is found not valid DPC shall notify the community to supplement.
- (v) Within 10 working days from receipt of the annual logging design, if it is valid DPC shall approval it and grant of annual logging permit to the community (copies of the approved annual logging design are at the same time sent to DARD, DFPU and CPC. The deadlines for implementing the DPC's logging grant is 12 months counting from the date of issue.
- (vi) VFMB is responsible for arrangement and implementation of logging activities in accordance with the quantity of trees showed in the approved annual logging design.
- (vii) Logged trees must be fully listed, including: tree numbered codes, tree species, trunk length, and diameter, number of processed logs as the basis for timber sale and calculation of natural source tax. List of selected trees and list of logged trees must be compared with each other for establishing the legal procedures for harvested timber.
- (viii) After being logged, timbers are gathered at a suitable location (at any log-yard selected by the community) and reported to local ranger for confirmation of total logging trees that whether it is alike or different in comparison with the approved one.
- (ix) VFMB in cooperation with local ranger are responsible to supervise the logging activities. Community's logging plan and log amount must be assessed and confirmed by CPC on a yearly basis. Logging carried out in community forest should be limited to one time per year during dry season.

ii. For NTFP:

71. Only the harvest amount is summarized and reported to CPC. And this way is applied only for NTFP of large amount.

e. Benefit Sharing Arrangements

i. Commercial Timber

- (i) Communities are eligible to enjoy revenues from sale of commercial timber after paying natural resource taxes, deduction of harvesting costs and 5% of the net income as a contribution fee for CPC.
- (ii) Logs for commercial sale have to be recorded at the log yard. District Forest Protection Unit (FPU) officers (local ranger) checks and records the harvested amount in a timber list and provides the legal hammer mark on each log as stipulated in Decision 44/2006/QD-BNN.
- (iii) VFMB is responsible for providing the local ranger with harvest plan and the timber list.
- (iv) In order to comply with the Government's Ordinance on Natural Resources Taxation, stem numbers for commercial purpose have to be converted into volume (cbm) and are recorded in a timber list (species, mid-diameter, length, volume, tax group) signed by FPU. This task is done by local ranger (with support of VFMB).
- (v) Community has the right to independently select timber buyers for commercial timber sale based on the information provided in the project's management information system (MIS).
- (vi) Community is allowed to sale the commercial timber which is sealed with legal hammer mark right at the log yard, to timber buyer who is responsible for further transportation.
- (vii) Natural resource tax is paid following the detailed stipulations on implementation of Ordinance on Natural Resources Taxation as defined by Government Decree 05/2009/ND-CP and prices of natural resources tax regulated by PPC (the table of natural resources tax applied for timber logs from group I to group VIII issued by the national level which is available at District Sub-Department for Taxation for reference).
- (viii) Natural resources tax is paid by the VFMB to the District Sub-department for Taxation which in return is issuing the legal tax receipts for community.
- (ix) Based on the community's Regulations for Forest Protection and Development that have been approved by DPC, benefits from the commercial timber are allocated for general village development, forest development and/or distributed amongst the households of the village according to individual needs and work input.

ii. Self-consumption Timber

- (i) The entire self-consumption timber exploited from community forest is exempted from natural resource tax (as stipulated in Circular 153, Chapter IV, section 4 by the Ministry of Finance) and also from any of contribution fees paid to local authorities. Consequently, no hammering of self-consumption logs by FPU is required.
- (ii) However, after having received the self-consumption timber, households have to pay a certain compensation fee to VFMB as regulated by the community themselves.
- (iii) VFMB is responsible for manage the contribution fees from the self-consumption timber which are used for forest management, village development activities, for the operation of VFMB and VFPG.

Table 1: Matrix of CFM Responsibilities

Forest management activity	Individual Household & Protection team members	Village Forest Management Board	Commune (CPC + local forest rangers)	District
Forest inventory (following Circular 38 & additional requirements under carbon monitoring during 1 st cycle) (Repeated inventory with simplified procedures for SFMP elaboration and REDD+ reporting)	<u>Authority:</u> <ul style="list-style-type: none"> - Participate in forest inventory and border demarcation <u>Duties:</u> <ul style="list-style-type: none"> - Support implementation when appointed by VFMB 	<u>Authority:</u> <ul style="list-style-type: none"> - Assign individual households to take part in forest inventory. <u>Duties:</u> <ul style="list-style-type: none"> - Ensure participation of village members - Keep inventory records for CFM plan elaboration 	<u>Duties:</u> Commune cadastral staff participate in border demarcation in the field	<u>Authority:</u> <ul style="list-style-type: none"> - Recheck data of forest inventory (if required) - Supervise service provider <u>Duties:</u> <ul style="list-style-type: none"> - Provide technical advice (DPIU). - Approve inventory data and forest status map as part of FLA dossier - Forward carbon reporting to sub-national level

Forest management activity	Individual Household & Protection team members	Village Forest Management Board	Commune (CPC + local forest rangers)	District
Protection (fire break; patrolling; dissemination; grazing; solving conflicts; applying punishment / compensation)	<u>Authorities:</u> <ul style="list-style-type: none"> - Stop forest violators and temporarily confiscate illegally harvested forest products and logging/hunting equipment. - Elect village forest protection team during plenary village meeting <u>Duties:</u> <ul style="list-style-type: none"> - Participate in forest protection activities - Support protection team in law enforcement - Report violation cases to village forest management board - Protection team conduct regular patrolling and reporting 	<u>Authority:</u> <ul style="list-style-type: none"> - Apply compensation to violators and confiscate illegally harvested products. - Supervise the elaboration of forest protection and development regulations. - Check the activities of protection team, stop/ deduct payment to protection teams if their activities not follow the village regulations - Organize plenary village meeting to proposal replace the whole protection team or some its members if violations of the team are discovered <u>Duties:</u> <ul style="list-style-type: none"> - Inform commune/district to solve severe violation cases. - Inform village community about violation cases during quarterly village meetings. - Elaborate quarterly reports and forward to DPMU. - Regular propaganda of forest protection situation. - Conduct quarterly payment to protection team members. 	<u>Authority:</u> <ul style="list-style-type: none"> - Treat violator within legal mandate of commune authority - Support implementation of VFMB and protection team (if requested) - Organize meeting with district and village concerning forest protection issues. - Call for meeting to solve inter-village issues <u>Duties:</u> <ul style="list-style-type: none"> - Send violation cases to higher level if required - Timely provide support to community in solving violation cases 	<u>Authority:</u> <ul style="list-style-type: none"> - Deal with violation cases reported by commune authorities - Solve conflicts between neighbouring communes. <u>Duties:</u> <ul style="list-style-type: none"> - Request provincial level to take part in settlement of conflicts between neighbouring districts.
Sustainable Forest Management Plan (5 year)	<u>Authority:</u> <ul style="list-style-type: none"> - Participate, comment and vote on VFMB <u>Duties:</u> <ul style="list-style-type: none"> - Strictly comply with management plan during 	<u>Authority:</u> <ul style="list-style-type: none"> - Call members of VFMB and community for participating in setting up the five-year plan. <u>Duties:</u>	<u>Authority:</u> <ul style="list-style-type: none"> - Check planning data and recommend changes if required <u>Duties:</u> <ul style="list-style-type: none"> - Timely submit the plan to 	<u>Authority:</u> <ul style="list-style-type: none"> - Review and approve SFMP. - Enforce implementation <u>Duties:</u> <ul style="list-style-type: none"> - Monitor village's

Forest management activity	Individual Household & Protection team members	Village Forest Management Board	Commune (CPC + local forest rangers)	District
	implementation.	<ul style="list-style-type: none"> - Document SFMP - Submit plan to commune level for acknowledgement - Strictly comply with management plan 	district level for approval.	implementation of SFMP. <ul style="list-style-type: none"> - Support community to implement plan - Provide technical support (DPIU, FPU)
Harvesting timber and NTFP	<u>Authority:</u> <ul style="list-style-type: none"> - Harvest and utilize forest products according to SFMP - Benefit from NTFP - Preselect trees for harvesting with oil paint mark <u>Duties:</u> <ul style="list-style-type: none"> - Submit application for subsistence harvesting. - Comply with permitted harvesting amount and approved harvesting technique. 	<u>Authority:</u> <ul style="list-style-type: none"> - Define quantity of trees to be harvested based on SFM model - Check and supervise forest harvesting carried out by individual households - Apply punishment/compensation to cases involved in non-compliant harvest - Submit tree list to CPC and DPMU for acknowledgment. <u>Duties:</u> <ul style="list-style-type: none"> - Give fair endorsement on harvesting applications. - Supervise harvesting activities. 	<u>Authority:</u> <ul style="list-style-type: none"> - Random-check and supervise forest harvesting carried out by individual households - Apply punishment/compensation to cases involved in non-compliant harvest. <u>Duties:</u> <ul style="list-style-type: none"> - Submit tree list to DPMU for acknowledgment. 	<u>Authority:</u> <ul style="list-style-type: none"> - If desired conduct random checks in the forest - In case harvest design does not correspond with SFMP, request adjustments <u>Duties:</u> <ul style="list-style-type: none"> - Inform community within two weeks time in case of non-agreement. - Provide technical support
Benefit sharing	<u>Authority:</u> <ul style="list-style-type: none"> - Enjoy all forest products. - Define rate of compensation to be contributed to Village Development Fund. <u>Duties:</u> <ul style="list-style-type: none"> - Compensate community for individual forest product utilization through financial contribution to the village fund. 	<u>Authority:</u> <ul style="list-style-type: none"> - Collect household contribution to Village Development Fund. <u>Duties:</u> <ul style="list-style-type: none"> - Organise village meetings to discuss on harvest fee. - Conduct accountable and transparent bookkeeping 	<u>Duties:</u> <ul style="list-style-type: none"> - Support community to solve conflicts. 	<u>Duties:</u> <ul style="list-style-type: none"> - Provide technical support and solve conflicts.

6. Reforestation

72. The objectives of the reforestation are to:

- (i) improve biodiversity conservation through the expansion of the effective area of habitats by connecting fragmented forest areas;
- (ii) improve water quantity and quality for hydro-power generation, irrigation and human domestic and industrial consumption by re-establishing forest cover on steep sloping land in the upper reaches of river basins; and
- (iii) sequester carbon through tree growth to offset emissions of CO₂ from human activities in Viet Nam or elsewhere.

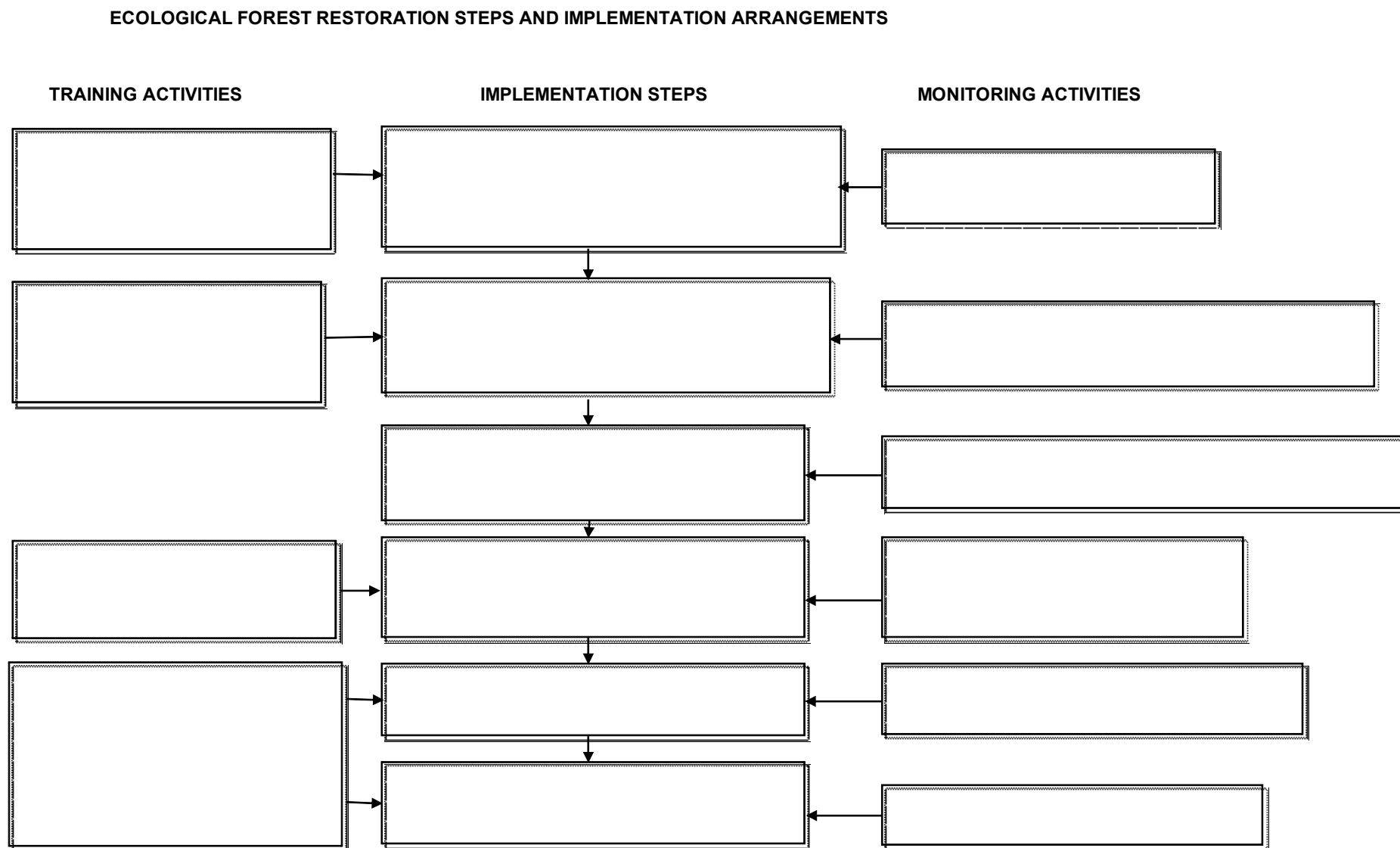
73. The Project intends to identify the rich and medium forests and integrate these in links of stepping-stone forests or a mosaic connecting the corridor parts with the protected areas. In each of the communes that fall within the Biodiversity Corridor, areas of former forest land will be identified during the participatory land use planning and zoning process for restoration in consultation with the users of the forest land in order to avoid any displacement or restriction of access. Where the land has been deforested as a result of shifting cultivation and where this is still practiced by the local communities, an agroforestry system will be adopted that will restore forest cover and sequester carbon in the longer-term and will provide useful products and some cash income in the short-term. Since harvesting will be restricted to NTFPs, it will have no impact on the environmental values of the forest as the tree canopy will not be affected, but the supply of useful products in the early years will help to improve livelihoods and income for the communities involved.

74. The land will be planted with a mixture of locally indigenous tree species that form the upper canopy of nearby areas of intact or lightly disturbed natural forest at a density of 100 trees per ha (10 x 10 m spacing). Because one selection criterion is that the land slopes more than 20%, these trees will not be harvested, and so will not bring cash income, but they will have a value through carbon sequestration and a contribution to biodiversity. In between these trees, perennial fruit trees, NTFPs and multi-purpose trees that can provide fuelwood, fodder, resins and other useful products will be established. These latter trees will include locally indigenous pioneer leguminous species that will provide additional nitrogen for the soil. The use of *Acacia mangium* or *A. auriculiformis* should be avoided as these are exotic species and are likely to dominate the site and exclude many ground flora that are important for biodiversity.

75. The trees will be planted at an overall density of about 1,100 trees per ha and will be weeded regularly during the first, second and third growing season to ensure good survival and growth. Where it is the local custom to allow livestock to graze free range, the planted area will need to be fenced to a specification appropriate for the type of livestock. Live fences (green hedges) may be established around the area for the longer-term to demarcate the area clearly. These hedges will provide useful habitats for a range of species. The advantage of this approach is that a revenue stream can be generated from the NTFPs in the early years.

76. In the design of the sub-project, attention must be paid to: (i) risk of possible mix of indigenous with alien or invasive species; (ii) associated disturbance of natural forest, (iii) any potential of habitat loss and fragmentation or damage to environment; and (iv) any pollution. Risks need to be assessed. In this case, however, the risks seem to be low and impact can readily be avoided through proper design measures and prevention through proper planning, location (site) selection and monitoring of activities.

Figure 4. Ecological Forest Restoration Steps and Implementation Arrangements



7. Site mapping

77. Forest restoration sites selected during the VLUP are technically investigated according to their site potential. This process is called site mapping. The most important results of site mapping are:
 - (i) The definition of the site group (A, B, C, D);
 - (ii) The selection of the forest establishment model (ecological forest planting or natural regeneration);
 - (iii) The selection of the range of suitable tree species for forest restoration areas which match with the prevailing site conditions in the field (site-species matching); and
 - (iv) The selection of the tree species. Based on the table for matching site species the farmers (or their representatives in the village support groups) select the tree species of their choice for each site group in their village.
78. Other outputs of site mapping are:
 - (i) A site map 1:10000 or 1:5000 indicating the four site groups for the areas earmarked for forest restoration and natural regeneration;
 - (ii) A special forest site report about site conditions prevailing in the specific area, including a list of suitable species for each site group;
 - (iii) A simple forest restoration plan in which the forest restoration targets per plot and household are described; and
 - (iv) Site mapping results are the basis for any nursery planning.
79. At the end of the field exercise the results are discussed with the villagers, the villagers select species, and simple forest restoration plans are elaborated.
80. Site mapping is implemented either by well-trained district project staff or by a contracted agency specialized in this field of expertise (contracted by DPIU). Site mapping results are appraised by the PPMU (with participation of DARD and randomly by CPMU) and approved by the PPMU.
81. For more details on site mapping implementation and appraisal please refer to the project guidelines.

8. Area measurement and land allocation

82. The results of the planning steps 1 and 2 provide the basis for the final step of the fieldwork during forest restoration planning, the area measurement and plantation design. Plots sizes are measured and plot boundaries are marked.
83. The projects tolerate area measurement errors of up to 3% if the slope degree is $> 25^\circ$ and the accepted temporary errors in the natural regeneration area can be reached 5%. The work is done by external contracted organizations legally eligible for this type of work (this work should be contracted by DPIU and monitored or supported by CPIU).
84. In the traditional Vietnamese system this step (plantation design) is the most important planning exercise and includes aspects of site selection, site mapping, species selection, afforestation planning, determination of investment and area measurement. It has to be ensured that the area measurement teams understand the difference to their normal task and respect and built on the previous planning steps. Training in project planning principles is compulsory for the teams.
85. The results of the area measurement and the plantation design work are:

- (i) A list of participants, plot number and plot size of species.
 - (ii) A sketch map of the plot.
 - (iii) Forest plantation design maps at scale of 1: 5,000 for village and 1: 10,000 for commune.
86. Results of area measurement are rechecked by an outside unit contracted by the CPMU or PPMU (with participation of DARD). Results are approved by the PPMU and are the basis for the detailed planning of implementation activities and following land allocation.

9. Land allocation

87. Allocation of land and award of the land use certificate (Red Book) is in the responsibility of the Division for Natural Resources and Environment (former Division for Land Administration-DLA) at district level and the FPD. These agencies receive the necessary maps and planning material from the project. The decision which land to reserve for forestland allocation is based on the agreements reached during the land use planning process.

88. It is recommended to form a Land Allocation Committee in each commune (or the CPIU) to steer the overall process. It is further recommended to allocate all forestland village by village.

89. While it would be desirable to have the full process of land allocation completed at the start of the forest restoration activities, in reality this has proven to be rather ambitious. To allow mobilization of project investment it is required that all steps towards land allocation up to the point of written application for issuance of a land use certificate are completed.

90. The implementation steps are:
- (i) Dissemination of information pertaining to land reform, land law, taxes etc. during meetings.
 - (ii) Identification of local land users' requirements based on the land use planning results.
 - (iii) Application of land users for specific plots using simple formats.
 - (iv) Development of a proposal for land allocation based on applications.
 - (v) Demarcation of boundaries in the field.
 - (vi) Recording of boundaries on maps and in a field record book.
 - (vii) Approval of the maps by the PC district.
 - (viii) Issuance of the certificates by the PC district.
91. DPIU will supervise the land allocation process.

10. Provision of materials for forest restoration

92. Nursery planning is done in three different steps:
- (i) A rough estimation of seedling demand is done at the end of the site mapping field exercise, when the forest restoration types per household are defined. Results are aggregated on district level for a preliminary planning.
 - (ii) Final determination of seedling demand is done after completion of the area measurement.
 - (iii) Final nursery planning and signing of the contract between DPIU and nursery owner.
 - (iv) Final nursery planning has to include the needs for refilling planting.

93. If it is possible, seedlings are encouraged to be secured through existing nurseries wherever possible. Alternately they may be produced in small-scale private decentralised village-based nurseries (farmer owned and managed nursery, less than 4 km from forest restoration site, ~ 50,000-60.000 seedling gross output).

94. Advantages of raising seedlings in village-based nurseries include:
- (i) Benefits from cash earnings are more widely distributed in villages taking part in forest restoration. Additionally, labour opportunities are created at village level.
 - (ii) Nursery technology is transferred to the village level.
 - (iii) Transportation risks are minimized. As a result, there is a wider flexibility with regard to production methods, timing of seedling distribution and planting.
 - (iv) Nursery planning is an integral element of village forest restoration and the forest management plan.
 - (v) Forest farmers and their interest groups are actively involved in the decision where to buy their seedlings.
 - (vi) Site and species can be matched better due to the high flexibility.
 - (vii) Forest extension service can improve its capability to provide services to private forest farmers.

11. Provision of other inputs

95. Regarding the general nursery inputs, supply is in the responsibility of the nursery owner.

96. As for the fertilizer for the plantations, the PPMU and the DPIU jointly select the unit where the fertilizer will be purchased by comparing 3 offers. The DPIU is responsible to sign the contract while the PPMU will monitor fertilizer quality and application method.

12. Forest restoration

a. Implementation

97. The projects have elaborated technical guidelines for forest restoration. These guidelines focus on the following aspects:
- (i) A short ecological and economic description of the species;
 - (ii) Techniques of seedling production;
 - (iii) Detailed forest restoration techniques;
 - (iv) Technical details regarding stand treatment such as tending and protection; and
 - (v) Brief description of further silvicultural treatments.

98. In general, these guidelines aim at district technical field staff advising project participated smallholders and interested farmers. The forest restoration guidelines include new forest planting and natural regeneration for selected species.

b. Monitoring and controlling of quality

99. The project's plantation monitoring and controlling systems (= acceptance check) aim at two different objectives:
- (i) Assisting the PMU's at all levels to realistically assess quantity and quality of the established plantations in order to guarantee necessary adaptations of the implementation program.
 - (ii) Providing the framework to carry out the payments for seedlings, fertiliser and deposit accounts (first installment, subsequent withdrawals).

100. The acceptance checks focus on two different issues:
 - (i) Area measurement (= quantity check); and
 - (ii) Plantation quality such as survival rate, spacing, seedling quality (size and health situation), tending situation, grazing damages and site-species suitability.
101. The acceptance checks are implemented in two different steps:
 - (i) Internal monitoring executed by the DPIU under the supervision of the PPMU (=acceptance check); and
 - (ii) External monitoring (=“re-check”) organised by the CPMU under the participation of either (i) a specialised and contracted third party (private company or public institution) and/or (ii) the consultant.
102. The schedule for the acceptance checks and re-checks is as follows:
 - (i) The first acceptance check of plantation quality is carried out as soon as the plantation season has finished (1-2 months after afforestation); and
 - (ii) The further acceptance checks of the plantation quality are carried out after completion of the forest tending season during the whole duration of labour support by the project for forest tending and protection (Year 2, 3, 4).
103. The re-checks are carried out as soon as the results of the internal acceptance check results are available during the first three years after plantation establishment. Since acceptance checks and re-checks are the precondition for project payments, their timely implementation is of uppermost importance.
104. The DPIU will carry out the acceptance check for 100% plots (participating households). The re-check areas lay between 10% (early stage of the project) and 8% (later stage of the project) of the total area respectively the total number of participating households.

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations - Roles and Responsibilities

Table 2: Roles and Responsibilities

Project Implementation Organizations	Management Roles and Responsibilities
Executing agency (EA) Ministry of Natural Resources and Environment (MoNRE)	<p>MONRE will be responsible for overall project coordination through CPMU. CPMU will be responsible for environmental safeguards, policy guidance, climate change support, and reporting on project implementation to the GMS Working Group on Environment (WGE). In particular, MONRE will be responsible for:</p> <ul style="list-style-type: none"> • overall monitoring of the Project; • environmental safeguards; • liaising with the WGE; • coordinating GMS regional exchanges with the neighboring countries; and • providing policy guidance on climate change.
Central Project Management Office	<p>MONRE will establish a CPMU responsible for the day to day implementation of project activities at national level. Among others, the CPMU will be responsible for:</p> <ul style="list-style-type: none"> • overall coordination and management of the Project including work plan coordination and review; • establishment and management of first generation imprest account (FGIA); • recruitment of LIC; • recruitment of national consultants for preparation of feasibility studies, detailed design; bid documents, and construction supervision; • recruitment of safeguard monitoring entities or individuals; • procurement of training services; and • procurement at national level of office equipment, and vehicles.
Provincial Peoples Committees (PPC)	<p>The PPCs of Quang Nam, Quang Tri and Thua Thien Hue will be in-charge of implementing, managing, and monitoring all activities in their provinces. The Vice-Chairperson in charge of Agriculture and Forestry will (i) review work plans and approve budgets of the PPMU; (ii) approve Feasibility Studies and Subproject Investment Reports (SIRs); and (iii) preside over inter-agency coordination meetings.</p>
Provincial Project Management Units (PPMUs)	<p>PPMUs will be established within the Departments of Natural Management Unit Resources and Environment (DONRE) in Quang Nam, Quang Tri, and Thua Thien Hue respectively to be responsible for day to day implementation and management of subprojects. Among others, the PPMUs will be responsible for:</p> <ul style="list-style-type: none"> • establishment and management of the imprest subaccounts; • preparation of the overall and annual workplan of their respective province; • procurement of office equipment and infrastructure subprojects; • securing agreement in-kind contribution (labor, right of way, any land required etc.) for priorities demand driven subprojects relating to livelihoods and small scale infrastructure as requested by beneficiaries; • ensuring no physical displacement, denial of access to resources, or involuntary resettlement activities through subprojects; • monitoring of implementation of subprojects; • coordination of project activities at provincial level; • liaison with the DPIUs; • supervising activities implemented by the DPIUs; and • report on progress of implementation.

Project Implementation Organizations	Management Roles and Responsibilities
	The PPMU will also provide secretariat services to the Inter- Provincial Steering Committee.
Implementing Agencies (IAs)	
District Project Implementation Unit (DPIU)	<p>DPIUs will be established by the DPC. The DPIU will assist in implementation at the district level, and will be responsible for:</p> <ul style="list-style-type: none"> • open and manage imprest subaccounts; • preparation of the overall and annual workplan of their respective district; • assistance with all commune consultation and development activities; • assistance with survey/reports; • approve commune land use plans and district biodiversity corridor demarcation and delineation; • approve and issue land use certificates (individual and collective); • implementation of all CFM, forestry and livelihood related activities, including the commune development funds; • coordination of environment management activities; • coordination of all other safeguard and gender activities; • assistance in the identification of business development and enterprise activities or initiatives; and • report on progress of implementation.
Commune Project Implementation Unit (CPIU)	CPIUs will be established in each participating commune and will be active in implementation of project activities; in particular, the CPIUs will report on CDF and block grant activities
Financiers	
Asian Development Bank	<ul style="list-style-type: none"> • provide financing for 88.0% of the Project cost through an Asian Development Fund (ADF) Loan; • monitor project implementation arrangements, disbursement, procurement, consultant selection, and reporting; • monitor schedules of activities, including funds flow; • review compliance with agreed procurement procedures; • review compliance with Loan Covenants; • monitor effectiveness of safeguard procedures; • monitor project conformity with ADB anti-corruption policies; • undertake a periodic review mission; and • undertake midterm project review jointly with the Government.

Table 3: Summary of Roles and Responsibilities by Project Activity

Project Management Functions								
Output/ Tasks	Guidance/planning	Technical Review/Consultation	Approval	Procurement Responsibility	Contracting	Implementation	Monitoring	Audit/Checking
Output 1								
Interprovincial Corridor Plan and Climate Change Assessment	CPMU	PPMU	MONRE	CPMU	CPMU	CPMU	MONRE	n/a
Prov Biodiversity Corridor Plan	CPMU/LIC	DARD,DONRE	PPC	n/a	n/a	PPMU	CPMU	LIC
PVLUP	CPMU/LIC	PPMU	PPC (for approval of the implementation plan) DPC (for approval of planning)	PPMU (shp)	PPMU	DPIU	PPMU	CPMU/LIC
CIP (SSI)	PPMU	CPMU/LIC	PPC	n/a	n/a	PPMU	CPMU	CPMU/LIC
CIP (livelihood/forestry)	PPMU	CPMU/LIC/DARD	PPC (for approval of the implementation plan and CIPs)	n/a	n/a	DPIU	PPMU	CPMU/LIC
Land Use certification	PPMU	DPC/District Natural resources and Environment Office	DPC (for issuing red books for individuals and CFM committees) PPMU (for approval of the implementation plan)	n/a	n/a	DPIU	PPMU	CPMU/LIC
Output 2								

Output/ Tasks	Guidance/planning	Technical Review/Consultation	Project Management Functions					
			Approval	Procurement Responsibility	Contracting	Implementation	Monitoring	Audit/Checking
CFM guidelines	CPMU/LIC	PPMU	PPC authorizes for DARD to approve (for Quang Nam) PPC (for Quang Tri and TTHue)	n/a	n/a	See output 2 rows below	See output 2 rows below	See output 2 rows below
CFM scope and sites	See above rows (according to CMF guidelines)	PPMU	DPC	See VPLUP	See VPLUP	DPIU	PPMU	CPMU/LIC
CFM Establishment Implementation	See above rows (according to CMF guidelines)	PPMU	DPC(for approval of 5 year forest management plans + land, forest assignment plans) CPC (for approval of 1 year forest management plans)	n/a	n/a	DPIU (LUP teams)	PPMU/Provincial LIC	CPMU/LIC
CFM boundary Demarcation	See above rows (according to CMF guidelines)	PPMU (of the implementation plan)	PPC (for approval of the implementation plan)	DPIU (shp/CPP) with supports of PPMU	DPIU	DPIU/communities	PPMU	CPMU/LIC
Community Patrolling (CFM)	See above rows (according to CMF guidelines)	PPMU	DPC (for approval of the implementation plan)	DPIU (CPP) with supports of PPMU	DPIU	DPIU/village patrolling teams with supports from local forest protection groups	District Forest Protection Unit	PPMU/LIC
Forest Planting Plan and Implementation – for biodiversity objective (CFM)	See above rows (according to CMF guidelines)	DARD	PPC (for TTHue) PPMU (for Quang Nam and Quang Tri)	DPIU Shp (Seedling/fertilizer) CPP (labor)	DPIU	DPIU for shopping of seedlings and fertilizer Communities for planting with	PPMU for shopping of seedlings and fertilizer DPIU for planting	CPMU/LIC/PPMU Indep Monitoring (15% sample)

Project Management Functions								
Output/ Tasks	Guidance/planning	Technical Review/Consultation	Approval	Procurement Responsibility	Contracting	Implementation	Monitoring	Audit/Checking
						supports of PPMU (Quang Nam)		
Output 3								
Livelihood strategy/plan	CPMU/LIC	PPMU	PPC	n/a	n/a	See output 3 rows below	See output 3 rows below	See output 3 rows below
Agriculture demonstration	PPMU/LIC (as part of livelihood strategy/plan)	DPIU DPC (Agriculture Office) or DARD appraises	PPC (for TTHue) PPMU (for Quang Nam and Quang Tri)	DPIU (shopping for service providers and CPP for implementation)	DPIU	DPIU/ service providers/communities	PPMU	CPMU/LIC
Forestry plantation for livelihood objective	PPMU/LIC	DPIU for consultation DARD (Forestry Department) for appraisal of the forestry plantation design	PPC (for TTHue) PPMU (for Quang Nam and Quang Tri)	DPIU (shopping for design, seedlings, fertilizers/CPP for planting)	DPIU	DPIU for design Communities for planting	PPMU for shopping of seedlings and fertilizer DPIU for planting	PPMU/CPMU/LIC Indep Monitoring (15% sample)
Business Development model	CPMU/consultants	PPMU/LIC	See above rows under output 3	See above rows under output 3	See above rows under output 3	See above rows under output 3	See above rows under output 3	PPMU/CPMU/LIC
CDF Operation	CPMU/CDF consultants	PPMU/LIC	PPC (for the regulations) CPMU (for the handbook)	CPMU	CPMU	CDF management committees (to be transferred to Women's Union after 2 years of implementation)	DPIU	PPMU/CPMU/LIC
Small Scale Infrastructure Plan	PPMU	CPMU/LIC	PPC	n/a	n/a	PPMU	CPMU	n/a
Small Scale Infrastructure Design (design + feasibility)	SSI design consultants	CPMU/LIC SSI specialist/Social and environmental	PPC authorizes for PPMU (for Quang Nam) PPC (for Quang	PPMU (CQS)	PPMU	SSI design consultants/ SSI consultants and Social and	PPMU	CPMU/LIC

Output/ Tasks	Guidance/planning	Technical Review/Consultation	Approval	Project Management Functions				
				Procurement Responsibility	Contracting	Implementation	Monitoring	Audit/Checking
reports/economic-technical reports		safeguard specialists (for consultation) Professional agencies/consultants for verification	Tri and TTHue)			environmental safeguard specialists		
Small Scale Infrastructure Construction	n/a	SSI supervision consultants	n/a	PPMU (SHP/NCB)	PPMU	Contractors	PPMU/SSI supervision consultants	CPMU/LIC SSI specialist/SSI supervision consultants

B. Key Persons Involved in Implementation

Table 4: Implementation Contacts

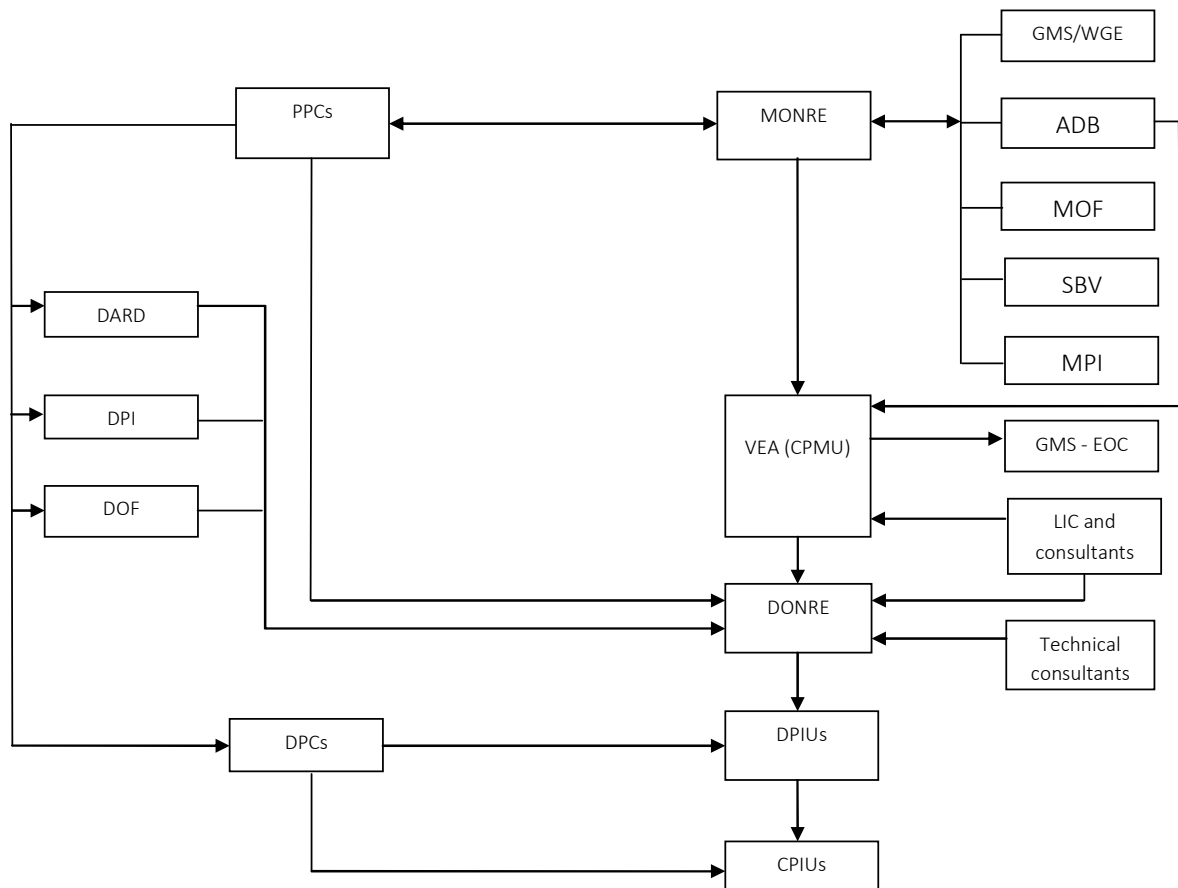
Executing Agency MONRE	<p>Name: Dr Prof. Bui Cach Tuyen Designation: Vice Minister Telephone: +84 907 995 559 Email address: buicachtuyen@gmail.com</p> <p>Office Address: No.10 Ton That Thuyet Str., Hanoi, Vietnam</p>
PPC's	<p>1. PPC Quang Nam Name: Mr Huynh Khanh Toan Designation: Vice-Chairman of PPC Quang Nam Telephone: +84 913 480 369 Email address: Office Address: 62 Hung Vuong, Tam Ky, Quang Nam</p> <p>2. PPC Quang Tri Name: Mr Nguyen Quan Chinh Designation: Vice-Chairman of PPC Quang Tri Telephone: +84 913 485 193 Email address: Office Address: 45 Hung Vuong, Dong Ha, Quang Tri</p> <p>3. PPC Thua Thien Hue Name: Mr Phan Ngoc Tho Designation: Vice-Chairman of PPC Thua Thien Hue Telephone: +84 993 233 171 Email address: Office Address: 16 Le Loi, Hue city.</p>
CPMU /MONRE	<p>Name: Dr.Nguyen The Dong National Project Director, MONRE Telephone: +84 913 229 041 Email address: thedong.nguyen@gmail.com</p> <p>Office Address: Central Project Management Unit C/O MONRE No.10 Ton That Thuyet, Hanoi, Viet Nam</p>
ADB Agriculture, Environment and Natural Resources Division	<p>Mr Jiangfeng Zhang Director South East Asia Department Telephone No.: +63 2 632 6234 Email address: jhmir@adb.org</p>
Mission Leader	Thuy Trang Dang

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 Telephone No. +63 2 632 5827
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C. Project Management Organization

Figure 5: Project Management Organization Chart

D. Implementation Arrangements



1. Work Planning

105. Preparation of the annual work plans continued to be delayed until the Midterm Review in August 2014. The reasons for the delays include (i) unclear work planning responsibilities; (ii) prolonged and iterative approval processes; and (iii) unclear levels of delegation for implementation and management of some project activities. During 2013 and 2014 increased devolution of implementation responsibility to the District level has increased the need for input from DPIU staff responsible for implementation details.
106. The scope and complexity of work planning will increase as investments are implemented. Many project activities including participatory land use planning, boundary demarcation, commune forest management with the associated forest planting and livelihood tasks, the implementation of small scale infrastructure etc.

require sequential tasks across multiple years requiring activities specified in the technical guidelines and Government policies some of which will be implemented over the remaining project life.

107. A strengthened work planning program will be adopted. Planning of donor projects requires two planning processes (i) an annual operating plan for government approval to access counterpart funding; and (ii) a donor operating plan for approval of work program by government and donor. For (i) above, the BCC Project will require planning and approval processes both provincially and nationally to access provincial and national counterpart funds. This planning process reflects the requirements of the PPC and National EA for approved annual operating plans that are submitted to respective Departments of Planning and Investment, Ministry of Planning and Investment and Ministry of Finance (MOF) before the end of August each year to secure counterpart funding for the following calendar year. The planning and approval includes the following steps (dates approximate):
 - (i) First Draft of the Annual operating plan identifying the tasks, activities, timing, quantity, and financial resources from both donor and counterpart to be submitted by each PPMU/DPIU's to the CPMU/MONRE for comments by 30 June;
 - (ii) CPMU's and Project Steering Committee's comments to be provide by 15 July;
 - (iii) PPMU and DPIU prepare second draft incorporating comments and submitting for PPC approval by 30 July;
 - (iv) PPC official approval before 15 August and from MONRE by 31 August; and
 - (v) The Provincial allocation of counterpart funds will be defined by the end of August.
108. The second planning process produces the donor operating plan with the process starting from October of each year by reviewing implementation progress and activity effectiveness of the previous operating plan which by this time is supposed to 9 months implemented. The review is combined with the approved annual operating plan from planning process (i) above. From now on, the following steps will be followed to ensure its approval by 31 December annually:
 - CPMU with assistance from LIC will prepare the guidance to develop the annual work plan, in consideration of the DIPs, and send to PPMUs by end of October. The work plan should be prepared based on the project needs to achieve the project targets in the DMF, with precise cost estimates in VND.
 - PPMUs are requested to work with DPIUs to submit the draft annual work plan to CPMU/LIC for comment and relevant provincial departments for appraisal by end of the second week of November. CPMU are to provide comments to PPMUs and relevant provincial departments appraise the work plan in November.
 - PPMUs will submit the final draft work plan incorporating all received comments to CPMU for consolidation and then CPMU will submit the final draft of CPMU's and PPMUs' annual work plan to ADB for NOL by 5 December.
 - After getting NOL from ADB, PPMUs will submit their final draft work plan to the respective PPCs for approval by 15 December and then submit their approved annual work plan to CPMU for information; CPMU will submit CPMU's final annual work plan to VEA for approval by 15 December. The approved work

plans of both CPMU and PPMUs will also be sent to ADB for information by 31 December annually.

Note: Adjustments to the annual work plan require approval by PPC with no objection from ADB by August latest. Uncompleted activities approved within the current year work plan that are funded using ADB Loan funds can continue to be implemented in the following year if required, with disbursement recorded accordingly.

109. The CPMU will:
 - (i) Formalize and approve a project management regulation that covers the roles and responsibilities of all government stakeholders in the BCC project, specifies the required planning processes, deadlines, and approval processes;
 - (ii) Implement an awareness and training (by doing) program for the above procedure before 31 July 2015
110. The CPMU, through the LIC, will contract/mobilize a work planning and project management expert for a period of 6 months input to assist with the development and implementation of a comprehensive work planning system.

2. Subprojects Identification and Selection

111. All subprojects eligible for financing under the Project will be screened to ensure consistency with the overall Project objective and compliance with ADB and Viet Nam social and environmental safeguards and gender targets in the Project gender action plan. The following eligibility criteria, agreed between the Government and the ADB are used during the subproject identification and screening phase. The subproject is:

- (i) contributing to the overall Project conservation objective (by reducing threats to the protected areas and the conservation corridors);
- (ii) one of the top three priorities of the beneficiaries in the commune documented through participatory, multi-stakeholder consultations conducted by the project;
- (iii) affordable within the block allocation set aside for the commune;
- (iv) technically feasible (engineering wise) and satisfies criteria of mountainous area community based conditions;
- (v) conforms with land use plans in the Commune and the biodiversity corridor;
- (vi) directly or indirectly benefiting ethnic minorities and poor households and bringing benefits in the form of income generation and/or other benefits (nutritional intake, protein etc.) to households in the target commune (men, women, or both, and/or families/hh);
- (vii) creating no negative impacts on ethnic minorities' traditional socio-cultural and belief practices (e.g. child-rearing, health, education, arts, and governance);
- (viii) enhancing livelihood systems of ethnic minorities (e.g., food production system, natural resource management, crafts and trade, employment status);
- (ix) avoiding areas (land or territory) that will result in physical displacement from traditional or customary lands occupied, owned, or used by ethnic minorities by reviewing alternatives to the project design. Where involuntary resettlement is unavoidable, affected people particularly those identified as vulnerable and marginalized should be assisted to restore/ improve their quality of life with reference to pre-project conditions;
- (x) demonstrated local commitment to the subproject with confirmation by beneficiaries (inclusive of women and ethnic groups), participating communes, and district authorities to that effect;

- (xi) complying with all environmental safeguards issues as reflected in the Environmental Assessment and Review Framework as described in Section VII of the PAM below;
- (xii) Complying with all social safeguards as reflected in the Project Ethnic Minorities Development Framework and the Resettlement Framework;
- (xiii) ensuring that only activities that have a minimal negative impact on the environment (given the location of the project in the immediate vicinity of protected areas), are selected, and that the requirement for impact assessment, monitoring and management are met in a cost-effective way;
- (xiv) complying with ADB's environmental safeguard requirements as stated in the ADB Safeguard Policy Statement 2009 and with the national law on environmental protection must be achieved in an efficient and pragmatic manner, as reflected in the present procedures to be used for subprojects under the Loan. Specifically all subprojects conform with Category B subprojects of ADB's environmental classification system and also with category as outlined in Viet Nam's regulations/ decrees on environmental impact assessment;
- (xv) having arrangements satisfactory to the project have been made for undertaking operations & maintenance (O&M);
- (xvi) not covered under any other on-going programs or projects (duplication avoidance); and
- (xvii) not located in any area where a major development, such as a new hydropower scheme, a mine, or a Special Economic Zone, is planned.

E. Summary Procedures for Infrastructure Subproject Preparation: Design, Approval and Implementation

112. Careful planning of project activities requires consideration to the timing of the rainy season, which lasts from May to October every year. Recruitment of national consultants for carrying out community-based consultations, preparation of detailed design, bidding documents and supervision of construction, will begin shortly after Loan effectiveness. Implementation of subprojects is planned to begin in early 2014. Subprojects will undergo the following preparation steps:

- (i) **Steps under Commune Investment Plan (CIP)**
 - a. Introduce the BCC Project, its impacts, outcome, outputs and activities, based on which undertake consultations in each of the selected communes and update the prioritization and selection of livelihood interventions; and
 - b. After confirmation of the subproject selection as one of priorities, the Social Safeguards specialist will conduct an assessment of the impacts and benefits of the subproject on ethnic minorities and gender and will clearly document these.
- (ii) **Steps under the Feasibility Study (or Economic and Technical Report (ETR) by Vietnamese regulations)**
 - a. The feasibility study or ETR for each group of subprojects will include but will not be limited to (i) rationale, (ii) detailed technical drawings of the main work and other related items; (iii) detailed cost estimates for the construction; (iv) economic analysis; (v) environmental safeguards such as the initial environmental examination and the environmental management plan in line with the Project's environmental assessment and review framework; (vi) social safeguards including indigenous peoples plan and resettlement plan if required in line with the project

ethnic minority development framework and resettlement framework, and (vii) gender considerations in line with the Project's gender action plan.¹

- b. The CPMUs with technical support of LIC will request services of the contracted design consulting firms (enterprises) to carry out field survey and prepare the ETR which in general includes detailed technical design, cost estimates and technical justification. Normally the design consulting firms do not have good experience on preparation of environment and social safeguards and economic viability justifications. The CPMU's related consultants (both from the individual ones and from LIC) will provide training and further technical assistance for finalization of the ETRs.
- c. The Social Safeguards Specialist and the Environmental Safeguards Specialist will check if the technical designs (as part of the ETRs) are going to have any significant adverse impact (involuntary resettlement or environmental damage) and hold consultations with the beneficiary groups to receive consensus or document any objections. The DPC will be requested to provide a written environmental protection commitment, which concludes the Government compliance; and the monitoring is the responsibility of DONRE.
- d. ETRs will be submitted to the either Provincial People's Committees (PPCs) or District People's Committees (DPCs) for approval (depending on the investment decision decentralization of each province).
- e. The first feasibility study or ETR of each group of subprojects will be submitted to ADB for no objection. If the feasibility study or ETR is considered adequate by ADB, subsequent feasibility study or ETR will be submitted to ADB upon request on a random basis.

(iii) Construction Procurement

- a. Procurement consultant hired by PPMU and the National Infrastructure Specialist of LIC then assist PPMUs in preparation of bidding documents.
- b. Bidding for construction works, bid evaluation, contract negotiations with the bid winners will be implemented by PPMUs with technical support of CPMU.

(iv) Construction of subprojects

- a. Construction of infrastructure subprojects to be implemented.
- b. During construction phase, the Social Safeguards and Environmental safeguards Specialists and LIC Infrastructure Specialist will make site visits to document any significant adverse impacts from construction and seek to address these through proposed mitigation measures.
- c. The compliance with ADB environmental and social safeguards will be assessed through the regular ADB supervision missions and reporting.

(v) Handling over and Operation and Maintenance:

- a. Each Project Province executes with MONRE a memorandum of understanding, acceptable to ADB. Such memorandum of understanding shall include provisions to (i) prepare a maintenance management plan that includes estimates of the physical works and associated costs required for routine and periodic maintenance, as well as provisions for emergency repairs for the duration of the Project facilities; (ii) include the operation and maintenance management plans in its annual budgets; (iii)

¹ Inputs on social, environmental safeguards and gender will be provided by the Project's social safeguards specialist and environmental safeguard specialist.

provide adequate funds in a timely manner from provincial budgets to implement the operation and maintenance management plans; and (iv) establish mechanisms for the safe and proper use for each of the Project facilities in accordance with national regulations and practice.

- b. The completed subprojects will be handled over to the beneficiaries under a three party meeting: the Contractor; the commune representing beneficiaries and the Project authority.
- c. The beneficiaries at commune will receive training on technical maintenance and its repair.
- d. The benefiting households will draw up a plan for operations and maintenance (O&M) that will include provision of labor inputs for maintenance work.
- e. The PPMU will report on the successful completion of the subproject to the CPMU and provide a beneficiary feedback from showing level of satisfaction. This will be accompanied by reports from the Social and Environmental Safeguards Specialists on the due diligence and orderly implementation of the subproject as per guiding principles and safeguard criteria of the ADB and Government.

3. Detailed guidance on some procedures mentioned above

113. The preparation of ETRs, and preparation of bidding documents will be carried out by national consulting firms (the small scale infrastructure design consultants) to be recruited by the PPMUs.

114. The role of LIC and CPMU's social safeguards and environment specialists on the ETRs will provide support to the small scale infrastructure design consultants particularly in the areas of preparation of social and environmental safeguard studies. In addition to providing technical guidance to the engineering design firm in preparation of the ETRs, these consultants will assist the CPMU and PPMUs in the review of the feasibility justification as well as the social and economic viability of the subprojects. The review must confirm the eligibility of each subprojects based on the original eligibility criteria.

115. In particular, the review will ensure that the subprojects meet the following criteria:

- (i) subproject is shown to be technically feasible and the expected benefits have been clearly identified including the identification of unquantified benefits to justify the eligibility of the subproject for financing. It is also noted that the expected benefits can be calculated for groups of similar subprojects;
- (ii) procurement packages have been clearly identified as well as the methods of procurement, cost estimates have been clearly identified and recorded and all sources of funding have been identified and agreed/confirmed;
- (iii) the relevant ETR contains a detailed financing plan for operation and maintenance, including: the operations company is specified, and both a sufficient budget amount and corresponding source of funding are specified and agreed upon by the relevant Project province and other concerned parties;
- (iv) public hearings on the subproject proposal have been held in concerned communes, and measures for future public consultation and supervision;
- (v) a subproject is shown to have no major negative or significant environmental or social adverse impacts, and mitigation measures have been defined for minor impacts;
- (vi) a subproject is shown to have no significant resettlement impacts, and if such Subproject is categorized as Category B, a resettlement plan has been prepared in accordance with the Resettlement Framework, and Viet Nam's laws and regulations, and ADB's Safeguard Policy Statement 2009;

- (vii) where necessary, a Resettlement Plan and an Ethnic Minorities Development Plan have been prepared and included in the ETR for approval; and
- (viii) where relevant, the subproject is in line with the gender targets reflected in the Gender Action Plan.

116. In case that a candidate subproject does not meet the criteria discussed above, it will be replaced by the next priority candidate subproject for the respective commune.

117. After carefully review of by LIC and CPMU's IC consultants, CPMU will randomly select three ETRs from each project provinces, translate into English and submit to ADB for review and giving no-objection. Some key drawings should be attached to the submission to ADB. After having ADB comments, all ETRs will be amended, if necessary and submitted to PPC/ DPCs for approval. Upon ADB's and PPC/DPC's approval of the first ETRs, subsequent ETRs can be submitted to ADB on a post review basis.

4. Preparation of Bidding Document

118. Once the detailed designs of infrastructure subprojects are approved, PPMU will give the order to proceed to the national consultants to prepare bid documents following National Competitive Bidding (NCB) procedures or Shopping procedures following ADB Procurement guidelines (2013, as amended from time to time). The bid documents will be prepared based on ADB standard format documents. The draft English language version of the procurement documents for the first two contracts will be submitted for ADB review and prior approval regardless of the estimated contract amount. ADB-approved procurement documents will be translated into Vietnamese and used as a model for all subsequent NCB/shopping procurement and will only require post approval of ADB. The CPMU's Procurement Specialist will review the bidding documents before they are submitted to ADB the for clearance.

5. Procurement of Works Contracts

119. Procurement of civil works contract for the subprojects will be carried out by the PPMUs following NCB procedures or Shopping procedures in accordance with ADB's Procurement Guidelines (2013, as amended from time to time). The first two contracts, following ADB standard documents, will require prior approval of ADB regardless of the value of the contracts. Subsequent contracts will only be submitted to ADB for post approval. Contract awards will be approved by PPC/ or DPC before works can start. The CPMU's Procurement Specialist and LIC's Infrastructure Specialist will assist the PPMUs in bid opening; bid evaluation, contract award and negotiations.

6. Construction Supervision and social safeguard monitoring

120. Upon mobilization of the contractors, PPMUs will contract consulting firm/individual to carry out supervision of construction works. Consultant Qualification Selection (CQS) or IS procedures will be applied for these. The CPMU will also recruit safeguard monitoring entities to monitor the implementation of social and environmental safeguard measures identified in the Resettlement Plan (RP), the Environmental Management Plan, the Gender Action Plan (GAP) and the Ethnic Minorities Development Plan. The monitoring entities will be recruited following CQS procedures. The DPIU will provide assistance and support to both the national consultants and the safeguard monitoring entities in supervision and monitoring of the implementation of the subproject.

IV. COSTS AND FINANCING

A. Detailed Cost Estimates by Expenditure Category

Item	(Dong Billion)			(US\$ '000)			% Foreign Exchange	% Total Base Costs
	Local	Foreign	Total	Local	Foreign	Total		
I. Investment Costs								
A. Civil Works								
1. Small Scale Infrastructure	79.8	-	79.8	4,200.5	-	4,200.5	-	13
2. Resettlement	-	-	-	-	-	-	-	-
Subtotal	79.8	-	79.8	4,200.5	-	4,200.5	-	13
B. Vehicles and Equipment								
Vehicles	3.4	0.9	4.4	180.7	50.0	230.7	22	1
Equipment	11.9	-	11.9	624.8	-	624.8	-	2
Subtotal	15.3	0.9	16.3	805.5	50.0	855.5	6	3
C. Goods and Services	204.5	21.8	226.3	10,760.4	1,146.8	11,907.1	10	37
D. Livelihood Inputs	87.7	-	87.7	4,607.5	-	4,607.5	-	14
E. Consultancy Services								
Locally Contracted Services	26.6	-	26.6	1,391.9	-	1,391.9	-	4
LIC Contract	49.5	-	49.5	2,606.7	-	2,606.7	-	8
Subtotal	76.2	-	76.2	3,998.6	-	3,998.6	-	12
F. Capacity Building, Training, Workshops	20.8	1.1	21.9	1,090.6	55.3	1,145.8	5	4
G. Project Implementation Management	41.4	-	41.4	2,127.8	-	2,127.8	-	7
Total Investment Costs	525.7	23.8	549.5	27,590.9	1,252.0	28,842.9	4	89
II. Recurrent Costs								
A. Central Government Expenses	27.7	-	27.7	1,456.8	-	1,456.8	-	4
B. Provincial Government Expenses	25.3	-	25.3	1,331.8	-	1,331.8	-	4
C. O & M Commune Infrastructure	16.2	-	16.2	850.0	-	850.0	-	3
Total Recurrent Costs	69.1	-	69.1	3,638.5	-	3,638.5	-	11
Total BASELINE COSTS	594.8	23.8	618.6	31,229.5	1,252.0	32,481.4	4	100
Physical Contingencies	5.4	0.4	5.8	282.3	22.7	305.0	7	1
Price Contingencies	35.1	0.2	35.3	497.6	2.9	500.5	1	2
Total PROJECT COSTS	635.3	24.4	659.7	32,009.3	1,277.6	33,286.9	4	102
Interest During Implementation	2.8	6.9	9.7	142.3	351.6	493.9	71	2
Total Costs to be Financed	638.1	31.3	669.4	32,151.6	1,629.2	33,780.8	5	104

B. Allocation and Withdrawal of Loan Proceeds

GREATER MEKONG SUBREGION BIODIVERSITY CONSERVATION CORRIDORS PROJECT				
CATEGORY				ADB FINANCING
Number	Item	Total Amount Allocated for ADB Financing (SDR)		Percentage and Basis for Withdrawal from the Grant Account
		Category	Subcategory	
1	Civil Works	2,654,330		100 percent of total eligible expenditure
2	Vehicles and Equipment	541,861		
2A	Vehicles		390,080	100 percent of total eligible expenditure
2B	Equipment		151,781	100 percent of total eligible expenditure
3	Goods and Services	7,776,766		100 percent of total eligible expenditure
4	Livelihood Inputs	2,988,736		100 percent of total eligible expenditure
5	Training and Others	2,560,681		100 percent of total eligible expenditure
6	Consulting Services	753,740		100 percent of total eligible expenditure
7	Project Management	1,458,886		100 percent of total eligible expenditure
8	Recurrent Costs	427,000		100 percent of total eligible expenditure
	Total	19,162,000		

C. Detailed Cost Estimates by Financier

Item	ADB		Government		Provinces		Beneficiaries		Total		For. Exch.	Local (Excl. Taxes)	Duties & Taxes
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%			
A. Civil Works													
1. Civil Works	4,200.5	100.0	-	-	-	-	-	-	4,200.5	12.4	-	3,780.5	420.1
2. O & M Commune Infrastructure	-	-	-	-	-	-	-	-	-	-	-	-	-
Subtotal	4,200.5	100.0	-	-	-	-	-	-	4,200.5	12.4	-	3,780.5	420.1
B. Goods and Services	14,587.6	100.0	0.0	-	-	-	-	-	14,587.6	43.2	972.9	13,609.5	5.1
C. Livelihood Inputs	2,901.8	100.0	0.0	-	-	-	-	-	2,901.8	8.6	-	2,852.8	49.0
D. Consulting Services													
Locally Contracted Services	1,445.6	100.0	-	-	-	-	-	-	1,445.6	4.3	-	1,445.6	-
International Consultants	2,606.7	100.0	-	-	-	-	-	-	2,606.7	7.7	-	2,606.7	-
Subtotal	4,052.3	100.0	-	-	-	-	-	-	4,052.3	12.0	-	4,052.3	-
E. Capacity Building, Training, Workshops	879.3	100.0	0.0	-	-	-	-	-	879.3	2.6	34.7	831.6	13.1
F. Project Implementation and Management													
1. Project Implementation and Management	3,026.9	100.0	-	-	-	-	-	-	3,026.9	9.0	270.0	2,726.9	30.0
2. Government Support	-	-	1,456.8	40.0	1,331.8	36.6	850.0	23.4	3,638.5	10.8	-	3,638.5	-
Subtotal	3,026.9	45.4	1,456.8	21.9	1,331.8	20.0	850.0	12.8	6,665.4	19.7	270.0	6,365.4	30.0
Total PROJECT COSTS	29,648.4	89.1	1,456.8	4.4	1,331.8	4.0	850.0	2.6	33,286.9	98.5	1,277.6	31,492.0	517.3
Interest During Implementation	351.6	71.2	142.3	28.8	-	-	-	-	493.9	1.5	-	-	-
Total Disbursement	30,000.0	88.8	1,599.0	4.7	1,331.8	3.9	850.0	2.5	33,780.8	100.0	1,277.6	31,492.0	517.3

D. Detailed Cost Estimates by Outputs/Components

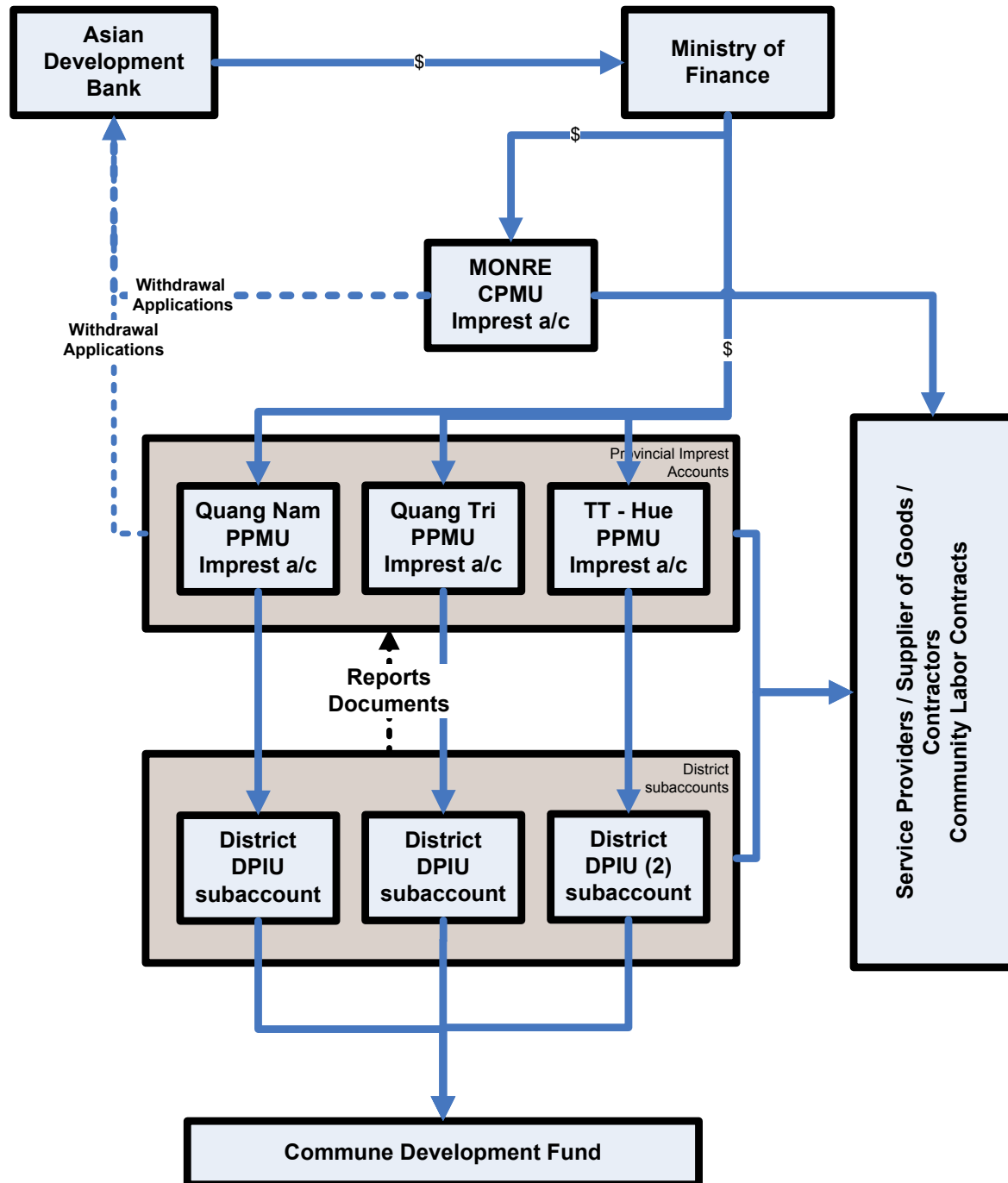
Item	(Dong Billion)			(US\$ '000)			%	% Total
							Foreign	Base
	Local	Foreign	Total	Local	Foreign	Total	Exchange	Costs
1. Institutional & Community Strengthening	27.6	5.5	33.1	1,451.7	289.8	1,741.5	17	5
2. Biodiversity Corridors, Restoration, Protection	220.9	17.1	238.0	11,625.4	899.3	12,524.6	7	39
3. Livelihood and Small Scale Infrastructure	181.9	0.2	182.2	9,565.8	13.0	9,578.8	-	29
4. Project Management and Support	164.4	0.9	165.3	8,586.6	50.0	8,636.6	1	27
Total BASELINE COSTS	594.8	23.8	618.6	31,229.5	1,252.0	32,481.4	4	100
Physical Contingencies	5.4	0.4	5.8	282.3	22.7	305.0	7	1
Price Contingencies	35.1	0.2	35.3	497.6	2.9	500.5	1	2
Total PROJECT COSTS	635.3	24.4	659.7	32,009.3	1,277.6	33,286.9	4	102
Interest During Implementation	2.8	6.9	9.7	142.3	351.6	493.9	71	2
Total Costs to be Financed	638.1	31.3	669.4	32,151.6	1,629.2	33,780.8	5	104

E. Detailed Cost Estimates by Year

Items	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
1. Institutional & Community Strengthening	54.8	83.9	201.7	297.4	228.3	424.2	276.7	174.5	-	1,741.5
2. Biodiversity Corridors, Restoration, Protection	50.5	70.8	144.7	954.3	2,617.2	2,950.0	2,944.3	1,522.1	1,270.7	12,524.6
3. Livelihood and Small Scale Infrastructure	104.7	108.9	160.9	445.2	2,974.0	3,369.4	1,583.2	784.5	48.0	9,578.8
4. Project Management and Support	167.0	432.3	1,539.2	1,078.5	1,612.3	1,399.6	918.7	861.1	628.0	8,636.6
Total BASELINE COSTS	377.0	695.9	2,046.5	2,775.5	7,431.8	8,143.2	5,722.8	3,342.1	1,946.7	32,481.4
Physical Contingencies	-	-	-	20.0	60.5	82.9	83.1	34.2	24.4	305.0
Price Contingencies										
Inflation										
Local	-	-	-	36.0	223.1	373.7	447.9	410.2	333.1	1,824.1
Foreign	-	-	-	0.0	1.3	1.3	0.3	0.0	-	2.9
Subtotal Inflation	-	-	-	36.1	224.4	375.0	448.3	410.2	333.1	1,827.0
Devaluation	-	-	-	-24.6	-157.6	-266.1	-328.5	-304.9	-244.9	-1,326.6
Subtotal Price Contingencies	-	-	-	11.5	66.8	108.9	119.8	105.3	88.2	500.5
Total PROJECT COSTS	377.0	695.9	2,046.5	2,806.9	7,559.2	8,335.0	5,925.6	3,481.6	2,059.3	33,286.9
% Total Project Costs	1.13	2.09	6.15	8.43	22.71	25.04	17.80	10.46	6.19	100.00

F. Disbursement S-curve

G. Fund Flow Diagram



V. FINANCIAL MANAGEMENT

A. Financial Management Assessment

121. A risk assessment was carried out for the Project and a risk management plan was prepared. The main findings of the risk assessment regarding financial management are summarized below.
122. There is a significant risk associated with shortfall in counterpart fund allocations with donor-assisted projects particularly in the provinces. For this reason, financial obligations of the participating provinces have been minimized by financing all taxes and duties associated with subproject investments from Loan funds. This will ensure that there are no unrealistic demands on provincial or lower level budget resources.
123. There is a medium risk associated with lack of accountability with respect to utilization of public and donor funds. To reduce this risk, financial management training will be provided to accounting and financial management personnel appointed to the CPMU, as well as to PPMUs immediately upon project effectiveness. In addition financial management at province and district level will be monitored closely, and corrective actions such as incremental training and/or commendation will be implemented if needed. Cash payments will also be minimized through the use of project bank accounts to ensure that Loan funds (and counterpart funds) are used properly and in accordance with the requirements of the Project.
124. The potential of leakage of project funds is considered low. Nevertheless, to further reduce the risk associated with this a number of measures have been built into the project design, including (i) the use of complete legal documents and project procedures on investment management and proper procurement/bidding; (ii) the introduction of investment monitoring from subproject preparation to implementation through a project website and other public monitoring mechanisms; (iii) strengthening inspection and control through the appointment of internationally qualified auditors to conduct independent audits which would identify opportunities for potential leakage; and (iv) introduction of international accounting software for the CPMU using double entry accounting procedures that allow a trace of transactions to be followed during audit and other reviews.

B. Disbursement

125. The Loan proceeds will be disbursed in accordance with ADB's Loan Disbursement Handbook (2015, as amended from time to time), and detailed arrangements agreed upon between the Government and ADB.
126. Pursuant to ADB's Safeguard Policy Statement (2009) (SPS), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS. All financial institutions will ensure that their investments are in compliance with applicable national laws and regulations and will apply the prohibited investment activities list (Appendix 5 of the SPS) to all subprojects.

C. Imprest Accounts

127. After Loan Effectiveness, the CPMU at MONRE and the three PPMUs (DONRE) in Quang Nam, Quang Tri, and Thua Thien Hue) will each establish an imprest account in a commercial bank acceptable to MOF and the ADB to receive ADF Loan funds for the Project. In addition, imprest subaccounts will be established and managed by the

DPIUs in the six districts (Tay Giang, Nam Giang, Huong Hoa, Dakrong, A Luoi and Nam Dong). The imprest accounts will be used to meet national and provincial level project costs including CPMU operations cost, and consulting services contracts and subproject costs. The Subaccounts will be used to meet district and commune cost items which is involved livelihoods, including CDFs, and forestry activities. The imprest accounts will be replenished in accordance with standard procedures outlined in the ADB's Loan Disbursement Handbook. All accounts will be audited annually by an independent auditor.

128. Each imprest account will receive an advance amounting to an estimated 6 months of project expenditure or a maximum of \$750,000 each, whichever is lower. This account will be replenished on a monthly basis to assure liquidity of funds or when the account is drawn down by 20% of the initial deposit. Funds in the first generation imprest accounts will be used to establish advances in the respective imprest subaccount. The maximum ceiling of each Subaccount will be equivalent to 6 months estimated expenditures to be funded from each Subaccount or \$300,000 whichever is lower. Subaccounts are intended to provide cash resources for the operations of the DPIU and other field activities at commune level (CPIU), which are substantial. District-located imprest subaccounts will be replenished upon presentation of documented liquidation of expenditures as outlined in ADB's Loan Disbursement Handbook.
129. DPIU will use the imprest subaccounts to pay the project expenditures in district and commune levels. The payment from the sub-account will be substantiated by the full suite of documentary evidence required by ADB. The DPIUs will prepare liquidation and replenishment requests for their sub-accounts. The disbursement supporting documents will demonstrate, among other things that the goods and/or service were produced in or from ADB members, and are eligible for ADB financing. The requests and the copies of supporting documents (the original documents should be kept in DPIUs) will be submitted to the PPMUs, which will verify and consolidate the request before sending them to the Ministry of Finance (via CPMU). Authorized Withdrawal Applications will be forwarded to ADB for processing and for replenishment to the FGIA. The district accountant have to submit (i) Statement of Expenditures with the copies of the supporting documents; (ii) bank sub-account statement; (iii) reconciliation of the subaccount to respective PPMU for replenishment when expenditure reaches \$20,000 or on a monthly basis, whichever is lower. The PPMU is checking documentation and replenish the sub-account from the balance within the imprest account prior to it receiving the ADB replenishment. The DPIU also need to send PPMU contract awards and liquidation along with a monthly forecast of expected procurement and liquidations to enable the PPMU manage Project cash flow risk.
130. Payments made by CPMU, PPMUs, and DPIUs will be supervised by the Treasury (at central, provincial and district levels respectively) upon receipt of payment documents in compliance with the Government of Viet Nam regulations.
131. The request for initial advance to the imprest account prepared by CPMU and PPMUs should be accompanied by an Estimate of Expenditure Sheet setting out the estimated expenditures for the first six (6) months of project implementation, and submission of evidence satisfactory to ADB that the imprest account has been duly opened. For every liquidation and replenishment request of the imprest account, the Imprest Account holders (CPMU and PPMUs) will furnish to ADB (i) Statement of Account (Bank Statement) where the imprest account is maintained; (ii) the Imprest Account Reconciliation Statement reconciling the above mentioned bank statement

against the executing agency's records; (iii) signed withdrawal application; and (iv) Statement of Expenditures.

D. Direct Payment and Statement of Expenditures

132. If required, loan proceeds may be disbursed directly to contractors and consultants by ADB in accordance with the approved contracts between the executing agency and the contractors, using direct payment procedures. For payments up to \$100,000 from the imprest accounts or subaccounts, ADB's Statement of Expenditures (SOE) procedure may be used to reimburse eligible expenditures and to liquidate advances. Sample forms for withdrawal of Loan proceeds, replenishment of imprest accounts, and SOE can be downloaded from the ADB website. SOE records should be maintained and made readily available for review by ADB's disbursement and review missions or upon ADB's request for submission of supporting documents on a sampling basis, as well as for independent audit. CPMU will be responsible for ensuring that SOEs are operated in accordance with ADB's requirement.
133. Before the submission of the first withdrawal application, the recipient shall submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the recipient, together with the authenticated specimen signatures of each authorized person. CPMU and PPMUs will submit the withdrawal application on a quarterly basis, or when the minimum value of the application reaches 50,000, whichever is lower. The CPMU and PPMUs is to consolidate claims to meet this limit for reimbursement and imprest account claims. Withdrawal applications and supporting documents will demonstrate, among other things that the goods, and/or services were produced in or from ADB members, and are eligible for ADB financing. In the withdrawal applications, all contracts should already have a PCSS number assigned by ADB. PPMU should request the PCSS for all contracts signed on a monthly basis via CPMU

E. Disbursement and Liquidation Procedures for Counterpart Funds

134. The items are to be financed from Government counterpart funds: (i) Government recurrent costs covering salaries of staff seconded to the Project which will be financed through the regular payroll mechanism for Government employees and any bonus adjustments as per Government rules and regulations; (ii) project full time staff and other government stakeholders participated in project activities; (iii) expenses for appraisal of design cost estimates, technical reports, supervision cost of sub-projects and other miscellaneous that are not covered in annual workplan financed by ADB
135. The CPMU, PPMUs and DPIUs need to ensure that sufficient counterpart funds for Project Management are in place as activities required. The CPMU shall ensure that (i) counterpart funding is identified in all annual work plans and budgets; (ii) the agreement over the amount and use of counterpart funds from each Province and the EA clearly communicated to ADB; and (iii) availability of counterpart funds are reported in all quarterly reports including both the amount and the timing of availability for each cost center.
136. The CPMU will issue a project implementation manual with a focus on financial management and submit to ADB, MONRE for concurrence.

F. Accounting

137. The CPMU, PPMUs and DPIUs will maintain separate project accounts and records that identify goods and services from loan proceeds, funding sources received, all expenditures incurred in connection with the Project and use of Government counterpart fund. CPIUs transactions will be recorded in the DPIU accounting systems. Project accounts will be established and maintained in conformity to the Government accounting laws and regulations and follow international accounting principles.
138. The CPMU and PPMUs, DPIUs will be responsible for (i) preparing for disbursement projections; (ii) requesting budget allocation for counterpart funds (for CPMU and PPMUs); (iii) collecting supporting documents; (iv) collecting and verifying replenishment request from DPIUs (for the PPMUs); and (v) preparing and sending Withdrawal Applications to Ministry of Finance and ADB (for CPMU and PPMUs).
139. Directors and Chief Accountants of CPMU, PPMUs and DPIUs will be responsible and accountable to the Government and ADB for managing the budget and for all expenditures related to the projects in accordance with the conditions of the loan agreements, government and ADB regulations and other legal documents.
140. The PPMUs will review and consolidate the accounts and records of the DPIUs monthly. The CPMU will review and consolidate the accounts and records of the PPMUs monthly and have them audited annually in accordance with sound accounting practices by auditor acceptable to ADB.
141. The CPMU is responsible for procurement of the accounting software package for overall Project and to provide technical support for assisting the CPMU and PPMU financial management staff to undertake a comprehensive project management and financial systems design process. The output of the process will be used to (i) define the Projects' requirement for software customization that should include management accounting and project implementation tracking including a contract management module that enables contract awards and liquidations to be recorded and reported in a consistent manner; (ii) finalize reporting formats, data access, and input systems; and (iii) design and deliver a training program on the resultant systems to all BCC financial management staff including the provincial and district level staff.

G. Internal control

142. Within each of the 10 Project accounting units (i.e., CPMU, PPMUs (3), DPIUs (6)) internal control systems need to be established and implemented. The scope of the internal controls should include at least the following:
 - (i) cash controls;
 - (ii) control of accounts at commercial banks;
 - (iii) control of imprest accounts;
 - (iv) control of counterpart fund accounts;
 - (v) procurement controls;
 - (vi) PMU expenditure controls;
 - (vii) contract management controls; and
 - (viii) controls of receivables and payables (of which control of advance payments to PPMU personnel are a special category).
143. The above control systems need to be supported with Project internal expenditure regulations and procedures that are consistent across all accounting units.

H. Project Reporting

144. The CPMU is responsible to submit the quarterly progress reports on overall project implementation, service provided, implementation issues, and recommended measures for improvement and submit to ADB on the 15th day after the end of each quarter. The attachment to the quarterly report will be the information on disbursements of loan proceeds and counterpart funds details by components and contact awarded and liquidation. The CPMU also have to prepare the project consolidated reports and submit to Ministry of Planning and Investment and Ministry of Finance using the formats of these agencies.
145. The DPIUs is responsible to report to PPMUs, which will report to CPMU monthly, quarterly, and annually using the CPMU formats. The time of reporting is stipulated by the CPMU.
146. All 10 Project accounting units (i.e., CPMU, PPMUs (3), DPIUs (6)) have to prepare the project financial statements and submit the relevant government agencies in conformity with the government regulations.

I. Auditing

147. The CPMU will cause the detailed consolidated project accounts to be audited in accordance with international standards on auditing by an auditor acceptable to ADB. The audited accounts will be submitted in the English language to ADB within 6 months of the end of the fiscal year by the executing agency. The annual audit report will include a separate audit opinion on the use of the imprest accounts, subaccounts, and the SOE procedures. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.
148. The Government and the CPMU have been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of the audited accounts (covering failure of submitting audited accounts and financial statements by the due dates). In case of delays in submission of audited account and financial statements, a formal warning will be issued, and disbursements may be suspended, for accounts more than 6 months overdue.

VI. PROCUREMENT AND CONSULTING SERVICES

A. Assessment of Procurement Capacity

149. Assessment of procurement capacity of MONRE at central level shows that capacity in procurement needs strengthening. Hence, a procurement specialist has been included in the LIC team. In addition, advance contracting will enable preparation of bid documents and preparation for RFPs including prequalification / shortlisting of potential suppliers.
150. The provincial DARDs have adequate capacity and experience with procurement under large multilateral assistance programs (including ADB). The procurement specialist in the LIC team can review the current procedures and provide guidance on harmonizing, if applicable, ADB and Government procedures, in order to speed up procurement processes.

B. Advance Contracting

151. All advance contracting will be undertaken in conformity with ADB's Procurement Guidelines (2013, as amended from time to time)² and ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).³ The issuance of invitations to bid under advance contracting and retroactive financing will be subject to ADB approval. The recipient, CPMU and PPMUs have been advised that approval of advance contracting and retroactive financing does not commit ADB to finance the Project.
152. The CPMU will conduct advance action for the recruitment of LIC. Consulting services are necessary for smooth implementation of the Project and to strengthen community participation in subproject design and subsequent operations and maintenance. Prompt appointment of consultants for implementation support is critical to ensure efficient implementation. Late recruitment of consultants is a significant factor in delayed project implementation and is also likely to have a negative impact on achievement of project benefits. The CPMU will initiate recruitment of LIC consultants including issuing invitation for expressions of interests, short-listing of potential firms, invitation to submit proposals and evaluation of proposal. ADB support of advance contracting does not commit ADB to approve the Loan project or to finance the recruitment cost.

C. Procurement of Goods, Works and Consulting Services

153. All procurement of goods and works to be financed under the ADB Loan will be undertaken in accordance with ADB's Procurement Guidelines (2013, as amended from time to time). Civil work packages will comprise a number of small works scattered in remote areas of the three provinces, and are not likely to attract international bidders. Packages for works valued at less than \$1 million but more than \$100,000 or equivalent shall be procured following NCB procedures described in Section C below. For works below \$100,000 equivalent, shopping procedures may be followed. Packages for goods costing less than \$500,000 equivalent but more than \$100,000 shall be procured through NCB procedures. Smaller packages for goods valued at less than \$100,000 may be procured using shopping procedures. Smaller packages for goods valued at less than \$10,000 may be procured using

² Available at: <http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-Procurement.pdf>

³ Available at: <http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-Consultants.pdf>

direct contracting procedures. Most of the reforestation activities, forest protection payment (patrolling), livelihood improvement block Loans, and CDF seed capital are community based services; and hence, community participation works and services valued at less than \$30,000 per contract or per transaction (e.g. transfer of seed capital into eligible CDF accounts) will be procured using direct contracting procedures.

154. Before the start of any procurement, ADB and the Government will review the public procurement laws of the Government to ensure consistency with ADB's Procurement Guidelines.
155. An 18-month procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages and national competitive bidding guidelines is in Section D below.
156. All consultants will be recruited according to ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).⁴ The proposed Project will require two types of consulting services to assist and support the CPMU and PPMUs with: (i) project implementation support including policy development at national level; and (ii) preparation of subprojects and safeguards monitoring during implementation. The outputs and deliverables from all consulting services shall be in accordance with the Government policies, and in support of the provincial development strategies and the needs of the beneficiaries.
157. LICs will be recruited by the CPMU through a firm using Quality- and Cost- Based Selection (QCBS) procedures using a ratio of 80:20 in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The CPMU will also recruit national consultants to assist in the preparation of feasibility studies, detailed design, preparation of bidding documents, and supervision of construction of subprojects from national firms or individual consultants using CQS or ICS procedures. CQS/ICS procedures are justified because: (i) the quality of the output is critical for the assessment of the subprojects' environmental and social impacts, as well as the design of necessary mitigation measures; and (ii) recruitment time will be critical to ensure expeditious and efficient project implementation. The CPMU will also be responsible for recruitment of national institutes such as nongovernment organizations (NGOs), universities to monitor implementation of social and environmental safeguard measures. These institutes will also be recruited using CQS/ICS procedures. The packages for these entities are considered small and would not justify the preparation of detailed technical proposals. Furthermore, CQS/ICS procedures will reduce recruitment time to ensure timely implementation of these critical inputs. The detailed terms of reference (TOR) for all consulting services are in Section D below.

⁴ Checklists for actions required to contract consultants by method available in e-Handbook on Project Implementation at: <http://www.adb.org/documents/handbooks/project-implementation/>

D. Procurement Plan

Basic Data

Project Name: GMS Biodiversity Conservation Project	
Project Number: 40253	Approval Number: Loan 2721
Country: VIET NAM	Executing Agency: Ministry of Natural Resources and Environment
Project Financing Amount: \$ ADB Financing: \$30 million Non-ADB Financing: \$4.07 million	Implementing Agency:
Date of First Procurement Plan: 10 December 2010	Date of this Procurement Plan: 9 April 2015

A. Methods, Thresholds, Review and Overall Procurement Plan

1. Procurement and Consulting Methods and Thresholds

Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

Procurement of Goods and Works		
Method	Threshold	Comments
National Competitive Bidding (NCB) for Works	Below \$1 million but \geq \$100,000	<p>Prior/Post</p> <p>The draft English language version of the procurement documents should be submitted for ADB review and approval regardless of the estimated contract amount. ADB approved procurement documents should be used as a model for all subsequent NCB procurement financed by ADB. Prior review for the first 2 contracts, ADB will review subsequent bid evaluation report and award of contract on a post-review basis.</p> <p>CPMU/PPMU to procure all NCB packages.</p>
National Competitive Bidding for Goods	Below \$500,000 but \geq \$100,000	Same as NCB Works above
Shopping for Works (SW)	Below \$100,000	<p>Post review</p> <p>The draft English language version of the procurement documents should be submitted for ADB review and approval, regardless of the estimated contract amount.</p>
Shopping for Goods (SG)	Below \$100,000	Post
Direct Contracting for Goods	\leq \$100,000	Prior review

		Subject to ADB prior review and approval. Conditions to use this method should be compliant with PAI 3.06, Paras. 12-15.
Direct Contracting for Works	<= \$10,000	Prior Subject to ADB prior review and approval. Conditions to use this method should be compliant with PAI 3.06, Paras. 12-15.
Community Participation in Procurement (CPP) for works, services and transactions (seed capital, block funds)	<= \$30,000 per contract	Prior review of sample contract; subsequent contracts follow post review

Consulting Services	
Method	Comments
Quality and Cost Based Selection (QCBS)	80:20 The CPMU will recruit implementation consultants from a firm, using full technical proposals. Prior review
Consultants' Qualifications Selection	Involves small contracts with specialist organizations or individuals for time critical work, using Biodata Technical Proposals (BTP) Prior review
Individual Consulting Services	Involves small contracts with specialist organizations or individuals for time critical work Prior review

2. Goods and Works Contracts Estimated to Cost \$1 Million or More

The following table lists goods and works contracts for which the procurement activity is either ongoing or expected to commence over the next 18 months.

Package Number	General Description	Estimated Value	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments

3. Consulting Services Contracts Estimated to Cost \$100,000 or More

The following table lists consulting services contracts for which the recruitment activity is either ongoing or expected to commence over the life of the project.

Package Number	General Description	Estimated Value (\$'000)	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal
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D5C1	Assessment of the Potential Climate Change Impacts on Biodiversity corridors	\$100	CQS	Prior	Q1 2015	BTP
D8C8	Monitoring and Evaluation Multiyear	\$150	CQS	Prior	Q1 2015	BTP
D7N1	Infrastructure Design and Supervision for Quang Nam	\$200.2	CQS	Prior	Q3/2014	BTP
D7H5	Infrastructure Design and Supervision for Thua Thien Hue	\$162	CQS	Prior	Q2 2014	BTP

4. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000 (Smaller Value Contracts)

The following table groups smaller-value goods, works and consulting services contracts for which the activity is either ongoing or expected to commence over the next 18 months.

Goods and Works								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertise ment Date (quarter/ year)	Comments
D8C1	GIS Equipment	\$80	1	SG	Post		Q1 2015	
D8C2	Satellite images	\$100	1	Direct contracting	Prior		Q2 2015	Conditions on Direct contracting should be met (PAI 3.06, paras. 12-15)
D8C3	GPS	\$15	1	SG	Post		Q1 2015	
D8C4	Software costs	\$30	2	SG	Post		Q1 2015	
D8C5	CFM Equipment	\$52.5	1	SG	Post		2015-2016	
D8C6	CF Patrolling Equipment	\$101.7	1	SG	Post		Q2 2015 to Q3 2016	
D8C7	Agriculture and Forestry Tools	\$90	1	SG	Post		Q2 2015 to Q3 2016	
D6T1	Boundary Delineation & Demarcation	\$81	12	Direct contracting	Prior		Q2 2015 to Q3 2016	Conditions on Direct contracting should be met (PAI 3.06, paras. 12-15)
D6T2	Community Forest Management Patrolling	\$756	>25	CPP	Post		Q1 2015 to Q3 2016	Prior review of sample contract; subsequent contracts follow post review
D6T3	CFM Ecological Forest Planting	\$3,071.5	>25	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review will

Goods and Works								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertise ment Date (quarter/ year)	Comments
								only be for the contract template)
D7T1	Agriculture Livelihood inputs	\$130.3	>40	SG	Post		Q1 2015 to Q3 2016	
D7T2	Forest Livelihood	\$499	>40	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)
D7T3	NTFP/ Agro processing /Business development	\$99.9	3	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)
D7T4	Small scale Infra Works – Quang Tri	\$1,522.0	>20	SW	Post		Q2 2015 to Q3 2016	NCB-Post if more than \$100k; prior review of the procurement documents required
D8T1	Office equip District	\$10.0	1	SG	Post		Q1 2015	
D6H1	Boundary Delineation and demarcation	\$67.5	10	Direct contracting	Prior		2016-2016	Conditions on Direct contracting should be met (PAI 3.06, paras. 12-15)
D6H2	Community Forest Management Patrolling	\$270	Multiple >20	CPP	Post		Q2 2015 to Q3 2016	Post review will be used for Labor (prior review will only be for the contract template)
D6H3	CFM Ecological Forest Planting	\$2,819.7	>30	SG	Post		Q2 2015 to Q4 2016	CPP-Post review will be used for Labor (prior review will only be for the contract template)

Goods and Works								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertise ment Date (quarter/ year)	Comments
D7H1	Agriculture Livelihood inputs	\$139.4	>20	SG	Post		Q2 2015 to Q4 2016	CPP-Post review will be used for Labor (prior review for the contract template)
D7H1	Forest Livelihood	\$555.8	20	SG	Post		Q2 2015 to Q4 20176	CPP-Post review will be used for Labor (prior review for the contract template)
D7H2	NTFP/ Agro processing /Business development	\$99.9	3	SG	Post		Q1 2015 to Q6 2016	CPP-Post review will be used for Labor (prior review for the contract template)
D7H3	Small scale Infra works-TTH	\$1,200	>20	SW	Post		Q1 2015 to Q3 2016	NCB-Post review if more than \$100k; prior review of the procurement documents required
D8H1	Office equip District	\$10.0	1	SG	Post		Q1 2015	
D6N1	Boundary Delineation and demarcation	\$81	13	Direct contracting	Prior		Q1 2015 to Q3 2016	Conditions on Direct contracting should be met (PAI 3.06, paras. 12-15)
D6N2	Community Forest Management Patrolling	\$694.2	>40	CPP	Post		Q1 2015 to Q3 2016	CPP-Post review will be used for Labor (prior review for the contract template)
D6N3	CFM Ecological Forest Planting	\$2,876.3	>40	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)
D7N1	Agriculture Livelihood inputs	\$193.6	26	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)

Goods and Works								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments
D7N2	Forest Livelihood	\$509	>26	SG	Post		Q1 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)
D7N3	NTPF/ Agro processing /Business development	\$99.9	3	SG	Post		Q3 2015 to Q3 2016	CPP-Post will be used for Labor (prior review for the contract template)
D7N4	Small scale Infra works – Quang Nam	\$1,560.5	>20	SW	Post		Q1 2015 to Q3 2016	
D8N1	Office equipment District - Quang Nam	\$10.0	1	SG	Post		Q1 2015	

Consulting Services								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
D7T5	Infrastructure Design Team for Quang Tri	\$90	1	CQS	Prior	Q1 2015	BTP	
D8N1	District Accountants - Quang Nam	\$48	2	ICS	Prior	Q1 2015		Recruitment to be endorsed by respective DPIU
D8N2	Technical staff - District Coordinators – Quang Nam	\$72	2	ICS	Prior	Q1 2015		Recruitment to be endorsed by respective DPIU
D8H1	District Accountants– Thua Thien Hue	\$48	2	ICS	Prior	Q1 2015		Recruitment to be endorsed by respective DPIU
D8H2	Technical staff - District Coordinators – Thua Thien Hue	\$72	2	ICS	Prior	Q1 2015		Recruitment to be endorsed by respective DPIU
D8T1	District Accountants	\$50.4	2	ICS	Prior	Q1 2015		Recruitment to be

Consulting Services								
Package Number	General Description	Estimated Value (\$'000)	Number of Contracts	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
	– Quang Tri							endorsed by respective DPIU
D8T2	Technical staff District Coordinators – Quang Tri	\$75.6	2	ICS	Prior	Q1 2015		Recruitment to be endorsed by respective DPIU
D8C17	Business Development (18pm)	\$27.0	1	ICS	Prior	Q1 2015		
D8C13	Environment Safeguards Specialist (21pm)	\$31.5	1	ICS	Prior	Q2 2015		
D8C14	Social safeguard Specialist (12pm)	\$18.0	1	ICS	Prior	Q2 2015		
D8C15	Social Development Specialist (9pm)	\$13.5	1	ICS	Prior	Q2 2015		
D8C16	LUP Site map specialist (12pm)	\$18.0	1	ICS	Prior	Q1 2015		
D8C17	Independent social safeguards monitoring (6pm)	\$12	1	ICS	Prior	Q2 2015		
D8C18	Independent environmental safeguards monitoring (3pm)	\$6	1	ICS	Prior	Q2 2015		
D8C19	Unallocated (3pm)	\$6	1	ICS	Prior	n/a		

B. Indicative List of Packages Required Under the Project

The following table provides an indicative list of goods, works and consulting services contracts over the life of the project, other than those mentioned in previous sections (i.e., those expected beyond the current period).

Goods and Works							
Package Number	General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Comments

0008	Social Safeguards Consultant	\$135	\$35	ICS	Q3/2012	15 Nov 2012	Be Quynh Nga 15 Jan 2013
0032	Business Development Consultant	\$36	\$14	ICS	Q2/ 2013	27 Aug 2013	Giang Hoang Hieu 20 Sep 2013
0039	Monitoring and Evaluation Consultant	\$18	\$18	ICS	Q3/2014	1 Nov 2014	Ms Dang Ngoc Dung 1 Dec 2014
0040	Procurement Specialist	\$26.5	\$18	ICS	Q1/2015	5 Mar 2015	Mr. Vu Hai Kien 11 Mar 2015 (replacement)
CPMU staffs							
0034	CPMU Assistant/ Interpreter	\$4.8	\$4.8	ICS	Q3/2014	20 Sep 2014	Luong Thi Anh Dao 20 Oct 2014 (Temporary replacement)
0006	CPMU Accountant	\$96.7	\$31	ICS	Q1/2013	25 Apr 2013	Bui Bao Van 15 th May 2013 (replacement)
0007	CPMU Administration	\$60.8	\$24	ICS	Q1/2012	22 Jun 2012	Vu Thanh Tu 15 th July 2012

2. Completed Contracts

Goods and Works								
Package Number	General Description	Estimated Value (\$'000)	Contract Value (\$'000)	Procurement Method	Advertise ment Date (quarter/ year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
0010	Office Equipment for CPMU (laptop, desktop, etc)	\$38	\$38	Shopping	Q3/ 2012	16 th Sep 2013	1 st Oct 2013	Viet Nam medical equipment and technology JSC. 4 th Sep 2013
0010	Office Refurbishme nt for CPMU	\$10	\$10	Direct Contracting	n.a	16 th Sep 2013	24 th Aug 2012	Golden Style Company 10 th Aug 2012
0002	4 WD Motor Vehicles	\$180	\$179	NCB	Q1/2012	16 th Sep 2013	5 th March 2013	An Dan investment and trade JSC. 1 st Feb 2013
0003	41 Motorbikes	\$52	\$51	Shopping	Q2/2013	16 th Sep 2013	27 th Aug 2013	T&H Trading Co., Ltd 5 th Aug 2013
0010	Accounting Software	\$12	\$12	Shopping	Q1/2013	16 th Sep 2013	25 th Oct 2013	Bravo Software JSC. 14 th Mar

								2013
	Office Equipment for QN PPMU (laptop, desktop, etc.)	\$58	\$58	SG	Q2/2013	23 Aug 2013	23 Nov 2013	Nhat Vinh SJC. 23 rd Aug 2013
	Office Equipment for QT PPMU (laptop, desktop, etc.)	\$58	\$58	SG	Q3/2012	29 December 2012	29 Mar 2013	Quang Tri Information Technology Development Center 29 th December 2012
	Office Equipment for Hue PPMU (laptop, desktop, etc.)	\$61	\$61	SG	Q3/2012	12 Dec 2012	12 Mar 2013	Thai Minh Company 12 Dec 2012
	Office Refurbishment for QN PPMU	\$30	\$30	SG	n.a			Multi Suppliers
	Office Refurbishment for QT PPMU	\$30	\$30	SG	n.a			Multi Suppliers
	Office Refurbishment for Hue PPMU	\$40	\$40	SG	n.a	12 Dec 2012	12 Mar 2013	Thai Minh Company 12 Dec 2012

Consulting Services								
Package Number	General Description	Estimated Value (\$'000)	Contract Value ⁵ (\$'000)	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
0011	Thua Thien Hue Accountant	\$7	\$7	ICS	Q1/2012	16 Sep 2013	16 July 2013	Tran Thi Thu Hang 17 th July 2012
0012	Quang Tri Accountant	\$7	\$7	ICS	Q1/2012	16 ^h Sep 2013	16 ^h July 2013	Le Thi Kim Chi 17 July 2012
0013	Quang Nam Accountant	\$4	\$4	ICS	Q1/2012	16 Sep 2013	16 July 2013	Nguyen Thi My Anh 17 July 2012

⁵ Completed contract amount

0004	CPMU Assistant/Interpreter	\$72.8	\$19	ICS	Q3/2012	12 Nov 2012		Ha Thi Hong Lan 15 Nov 2012 (maternity leave)
0005	CPMU Accountant	\$12	\$8	ICS	Q1/2012	22 Jun 2012	30 March 2013	Nguyen Minh Huong 17 th July 2012 (not renewed)
0009	Environment Safeguards Specialist	\$135	\$35	ICS	Q3/2012	15 Nov 2012	31 Dec 2014	Nguyen Nhu Dung 15 Jan 2013 (not renewed)
0015	Procurement Specialist	\$36	\$18	ICS	Q2/2013	21 Oct 2013	15 Jan 2015	Ms Dang Thanh Hoa 15 Nov 2013 (not renewed)

D. Non-ADB Financing

The following table lists goods, works and consulting services contracts over the life of the project, financed by Non-ADB sources.

Goods and Works				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Comments

Consulting Services				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Comments

E. National Competitive Bidding

1. General

The laws to be followed for national competitive bidding are set forth in (i) the Law on Procurement No. 43/2013/QH13 of 26 November 2013, (ii) the Construction Law no. 50/2014/QH13 of 18 June 2014 and (iii) the processes described in Decree No. 63/2014/ND-CP of 26th June 2014 on “Guiding Implementation of Procurement Law”. Whenever any

procedure in the national procurement laws is inconsistent with the ADB Procurement Guidelines (April 2010, and as amended from time to time), the ADB Guidelines shall prevail, amongst others on the following.

2. Registration

- (i) Bidding shall not be restricted to pre-registered firms and such registration shall not be a condition for participation in the bidding process.
- (ii) Where registration is required prior to award of contract, bidders: (i) shall be allowed a reasonable time to complete the registration process; and (ii) shall not be denied registration for reasons unrelated to their capability and resources to successfully perform the contract, which shall be verified through post-qualification.
- (iii) Foreign bidders shall not be required to register as a condition for submitting bids.
- (iv) Bidder's qualification shall be verified through pre- or post-qualification process.

3. Eligibility

- (i) National sanction lists may only be applied with approval of ADB⁶.
- (ii) A firm declared ineligible by ADB cannot participate in bidding for an ADB financed contract during the period of time determined by ADB.
- (iii) A firm which has been engaged by the borrower to provide consulting services for the preparation or implementation of a project, and any of its affiliates, shall be disqualified from subsequently providing goods, works, or services, resulting from or directly related to the firm's consulting services for such preparation or implementation.

4. Prequalification and Post qualification

- (i) Post qualification shall be used unless prequalification is explicitly provided for in the loan agreement/procurement plan. Irrespective of whether post qualification or prequalification is used, eligible bidders (both national and foreign) shall be allowed to participate.
- (ii) In the event where pre-qualification is used, interested firms shall be given no less than 42 days to prepare their pre-qualification submission.
- (iii) When pre-qualification is required, the evaluation methodology shall be based on pass/ fail criteria relating to the firm's experience, technical and financial capacities.

⁶ Section 52 of the Integrity Principles and Guidelines allows ADB to sanction parties who fail to meet ADB's high ethical standards based on the decisions of third parties, such a decision can only be made by the Integrity Oversight Committee on the basis of ADB's own independent examination of the evidence. As such, the process should follow the normal assessment and investigative processes prescribed by the Integrity Principles and Guidelines. <http://www.adb.org/Documents/Guidelines/Integrity-Guidelines-Procedures/integrity-guidelines-procedures-2006.pdf>

- (iv) Qualification criteria shall be clearly specified in the bidding documents, and all criteria so specified, and only criteria so specified, shall be used to determine whether a bidder is qualified. The evaluation of the bidder's qualifications should be conducted separately from the technical and commercial evaluation of the bid.
- (v) In carrying out the post-qualification assessment, the Employer/ Purchaser shall exercise reasonable judgment in requesting, in writing, from a bidder missing factual or historical supporting information related to the bidder's qualifications and shall provide reasonable time period (a minimum of 7 days) to the bidder to provide response.

5. Preferences

- (i) No preference of any kind shall be given to domestic bidders or for domestically manufactured goods.
- (ii) Regulations issued by a sectoral ministry, provincial regulations and local regulations which restrict national competitive bidding procedures to a class of contractors or a class of suppliers shall not be applicable.
- (iii) Foreign bidders shall be eligible to participate in bidding under the same conditions as local bidders, and local bidders shall be given no preference (either in bidding process or in bid evaluation) over foreign bidders, nor shall bidders located in the same province or city as the procuring entity be given any such preference over bidders located outside that city or province

6. Advertising

- (i) Invitations to bid (or prequalify, where prequalification is used) shall be advertised in Government Public Procurement Bulletin. In addition, the procuring agency should publish the advertisement in at least one widely circulated national daily newspaper or freely accessible, nationally-known website allowing a minimum of twenty-eight (28) days for the preparation and submission of bids and allowing potential bidders to purchase bidding documents up to at least twenty-four (24) hours prior the deadline for the submission of bids. Bidding of NCB contracts estimated at \$500,000 or more for goods and related services or \$1,000,000 or more for civil works shall be advertised on ADB's website via the posting of the Procurement Plan.
- (ii) Bidding documents shall be made available by mail, or in person, to all who are willing to pay the required fee, if any.
- (iii) The fee for the bidding documents should be reasonable and consist only of the cost of printing (or photocopying) the documents and their delivery to the bidder. (Currently set at 1 Mln VND, increase subject to approval of ADB)

7. Standard bidding documents

- (i) The Borrower's standard bidding documents, acceptable to ADB, shall be used. The bidding documents shall provide clear instructions on how bids should be submitted, how prices should be offered, and the place and time for submission and opening of bids.
- (ii) Bidders shall be allowed to submit bids by hand or by mail/ courier.

8. Bid Opening

- (i) All bids received after the deadline for submission indicated in the bidding documents will be rejected.
- (ii) All bids received before the bid submission deadline shall be opened except those with proper notice of withdrawal.
- (iii) A copy of the bid opening record shall be promptly provided to all bidders who submitted bids.

9. Bid Evaluation

- (i) Merit points shall not be used in bid evaluation.
- (ii) Bidders shall not be eliminated from detailed evaluation on the basis of minor, non-substantial deviations.⁷
- (iii) Except with the prior approval of ADB, no negotiations shall take place with any bidder prior to the award, even when all bids exceed the cost estimates.
- (iv) A bidder shall not be required, as a condition for award of contract, to undertake obligations not specified in the bidding documents or otherwise to modify the bid as originally submitted.
- (v) Bids shall not be rejected on account of arithmetic corrections of any amount. However, if the Bidder that submitted the lowest evaluated bid does not accept the arithmetical corrections made by the evaluating committee during the evaluation stage, its bid shall be disqualified and its bid security shall be forfeited.

10. Rejection of All Bids and Rebidding

- (i) No bid shall be rejected on the basis of a comparison with the owner's estimate or budget ceiling without the ADB's prior concurrence.
- (ii) Bids shall not be rejected and new bids solicited without the ADB's prior concurrence.

11. Participation by Government-owned enterprises

Government-owned enterprises shall be eligible to participate as bidders only if they can establish that they are legally and financially autonomous, operate under Enterprise law and are not a dependent agency the contracting entity. Furthermore, they will be subject to the same bid and performance security requirements as other bidders.

⁷ Minor, non-substantial deviation is one that, if accepted, would not affect in any substantial way the scope, quality, or performance specified in the contract; or limit in any substantial way, the Contracting entity rights or the Bidder's obligations under the proposed contract or if rectified, would not unfairly affect the competitive position of other bidders presenting substantially responsive bids.

12. Participation by Foreign contractors and suppliers. Joint Ventures and Associations

- (i) Foreign suppliers and contractors from eligible countries shall, if they are interested, be allowed to participate without being required to associate or form joint ventures with local suppliers or contractors, or to subcontract part of their contract to a local bidder.
- (ii) A bidder declared the lowest evaluated responsive bidder shall not be required to form a joint venture or to sub-contract part of the supply of goods as a condition of award of the contract.
- (iii) License for foreign contractors operation in Viet Nam would be provided in a timely manner and will not be arbitrarily withheld.

13. Publication of the Award of Contract. Debriefing.

- (i) For contracts subject to prior review, within 2 weeks of receiving ADB's "No-objection" to the recommendation of contract award, the borrower shall publish in the Government Public Procurement Bulletin, or well-known and freely-accessible website the results of the bid evaluation, identifying the bid and lot numbers, and providing information on: i) name of each bidder who submitted a bid; ii) bid prices as read out at bid opening; iii) name and evaluated prices of each bid that was evaluated; iv) name of bidders whose bids were rejected and the reasons for their rejection; and v) name of the winning bidder, and the price it offered, as well as the duration and summary scope of the contract awarded.
- (ii) For contracts subject to post review, the procuring entity shall publish the bid evaluation results no later than the date of contract award.
- (iii) In the publication of the bid evaluation results, the borrower shall specify that any bidder who wishes to ascertain the grounds on which its bid was not selected, should request an explanation from the procuring entity. The procuring entity shall promptly provide an explanation of why such bid was not selected, either in writing and / or in a debriefing meeting, at the option of the borrower. The requesting bidder shall bear all the costs of attending such as debriefing. In this discussion, only the bidder's bid can be discussed and not the bids of competitors.

14. Handling of Complaints

The national competitive bidding documents shall contain provisions acceptable to ADB describing the handling of complaints in accordance with Chapter XII of Decree No. 63/2014/ND-CP, read with Articles 91 and 92 of the Law on Procurement No. 43/2013/QH13.

15. ADB Member Country Restrictions

Bidders must be nationals of member countries of ADB, and offered goods, works, and services must be produced in and supplied from member countries of ADB.

16. Fraud and Corruption

ADB will sanction a party or its successor, including declaring ineligible, either indefinitely or for a stated period of time, to participate in ADB-financed activities if it at any time determines that the firm has, directly or through an agent, engaged in corrupt, fraudulent, collusive, or coercive practices in competing for, or in executing, an ADB-financed contract.

17. Right to Inspect/ Audit

Each bidding document and contract financed from by ADB shall include a provision requiring bidders, suppliers, contractors to permit ADB or its representative to inspect their accounts and records relating to the bid submission and contract performance of the contract and to have them audited by auditors appointed by ADB.

E. Consultant's Terms of Reference

1. Consultants approved prior to Midterm Review (MTR)

158. **Background.** Consultants to be financed from ADB resources include the LICs, national consultants to assist in the preparation and supervision of subproject works, and entities to monitor the implementation of social and environmental safeguard measures. All consultants and institutes will be selected and engaged in accordance with the ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The CPMU will recruit the LICs from a consulting firm following QCBS (80:20) procedures. National consultants for preparation of feasibility studies, detailed design, preparation of bidding documents, supervision of construction, safeguard monitoring entities and CDF technical support will be recruited by the CPMU following CQS/ICS procedures. The TOR outlined herein relate to the LICs and CQS/ICS. Any additional detailed TORs will be incorporated in the PAM at a later date. The outputs and deliverables from all consulting services shall be in accordance with the Government policies, and in support of the provincial development strategies and the needs of the beneficiaries.

159. The LICs comprise a total of 529 person-months including 43 person-months of international specialists and 486 person-months of national specialists. Advance action for recruitment of LIC has been approved by ADB to facilitate the timely mobilization of consultants and the advertisement for their recruitment was posted on ADB's website on 24 September 2010.

160. To assist in the implementation of the Project, the CPMU will engage a qualified international consulting firm (including national consultants) to provide consulting services in a range of specialties including: (i) Forestry / Biodiversity; (ii) GIS / Land use planning; (iii) agroprocessing/NTFP; (iv) social and environmental safeguards (international); and (v) accounting and other unidentified areas. CPMU will engaged individual national consultants for (i) gender/ community; (ii) social safeguards; (iii) environmental safeguards; (iv) business development; and (v) procurement. The consulting services contract is expected to commence in June 2011 and will continue for approximately 94 months until completion of the Project. The estimated cost of consulting services contract is US\$2.472 million.

161. Advance action will be initiated to ensure that the team is fielded shortly after Loan effectiveness to provide continuous support and advice to the CPMU and the PPMUs throughout the project, with a greater concentration in the first 4 years of implementation. Approximately 80% of the person-months are planned to be utilized by 2015.

a. Rationale for the Level of Consultancy Support

162. The relatively high level of support proposed for the CPMU and PPMUs is based on recent experience with pilot phase between 2006-2009. The early selection and fielding of consultants is considered critical in view of the different approach followed for this project which features sample subprojects that have already been discussed / pre-screened and is based on beneficiary choice or prioritization. The level of support is also justified given that the designs are likely to be more challenging in the mountainous terrain as well as the fact that the designs will attempt to minimize any potential impact from climate change.

b. Recent Experiences

163. The complex government procedures and approval processes for the selection of consultants together with the process of ratification by ADB often leads to extensive delays in the recruitment of consulting services. This process is particularly more complex for QCBS

procedures there is a risk that LICs may not be mobilized on a timely basis and will not be available in the early period of implementation when they are most needed. Such delays will have repercussions in the preparation of subprojects and subsequently on Loan disbursement. National staff appointed to project management structures may lack familiarity with ADB procedures and LICs are needed to perform a very necessary function filling this capacity deficit in the early implementation of the Project.

c. Subproject Pre-selection and Preparation

164. During project preparation, a number of sample subprojects were pre-screened (community water supply, reforestation, rattan planting, fish ponds) against a set of selection criteria. Pre-screening was carried out to provide samples that could be used to accelerate the start-up phase so that subproject preparation could commence shortly after Loan effectiveness. National consultants to be recruited by the CPMU will be responsible to prepare detailed feasibility studies comprising social and environmental safeguard studies as well as economic analysis of each subproject. Previous experience suggests that local companies lack the social safeguards experience to prepare such studies to a standard acceptable to ADB. The LICs are expected to play an important role in guiding and reviewing the studies prepared by the national consultants to ensure that their work meet the ADB requirements. Furthermore, the LICs will be required to prepare SIRs summarizing the outcome of the feasibility studies. The SIRs will be a key document for the approval of the subprojects by the PPC/PSC. It is therefore necessary for specialists experienced in ADB social and environmental safeguards to be recruited to ensure that ADB's specific areas of interest are accommodated. By providing external technical assistance in these critical areas, there are less likely to be delays in approvals needed from ADB.

d. Terrain and Quality Factors

165. As the proposed Project is to be implemented in the challenging environment of remote and mountainous areas of central Viet Nam, the application of standard designs to reforestation, livelihood improvement, biodiversity corridor establishment, and small-scale rural infrastructure will require technical support and intensive extension work.

e. **Loan Implementation Consultant Inputs by Duty Station**

Table 5: Loan Implementation Consulting Services approved prior to MTR

Position	Unit	2011	2012	2013	2014	2015	2016	2017	2018	Old PAM	LIC contract
A: International											
Team Leader (Forestry Biodiversity)	month	0	0	6.86	8.47	7	4	3		30	30
Int. Consultant Social Safeguards	month			3.18						3	3
Int. Environment Specialist	month			3.04						3	3
Int. Unallocated Short term Consultant	month			4.22						7	4
International Total				17.12	8.47	7	4	3		43	40
B: National											
Deputy Team Leader (Forestry Biodiversity Specialist)	month			11.25	11.68	12	12	12	12	90	74
Nat. Consultant (GIS & Land Use)	month			9.09	3.79	3	4	1.12	3	36	24
Forest Plantation& Nursery Assistant	month			33.19	28.62	34.4	34.4	34.4		180	165
Agriculture Extension Assistant	month			30.76	38.41	36	36	23.83		180	165
Community Forest management Consultant					6.26	5.74					12
SSI consultant					5.52	10.48					16
Economist				0.48							6
PPMU accountants											\$80.000
Unallocated shortterm consultant											
National Total	month	0	0	84.29	94.28	101.62	86.4	71.35	15	484	462 ++

Table 6: Consulting Service – CPMU Direct Hire approved prior to MTR

Position	Unit	2011	2012	2013	2014	2015	2016	2017	2018	Total
Nat. Social Safeguards Specialist	month			11.4	12	4	4	4		36
Nat. Social Development Specialist	month					3	3	3		9
Nat. Env Safeguard Specialist	month			11.4	12	7	7	7		45
National Procurement Specialist	month			1	5.3	12	5.7			24
M&E specialist	month				2.4	9.6				12
Business Development Specialist	month				5	7	6	5		23
District Technical staff for DPIUs (approved before MTR)	month			13.7						13.7
National Total	Month	15	36	126 30	120 30	10218	546	16	12	627153

Table 7: CPMU and PPMU Direct Hire Staff approved prior to MTR

Position	Unit	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
CPMU Interpreter	month		2	12	12	12	12	12	12	12	86
CPMU Administrative Assistant	month		6	12	12	12	12	12	12	12	90
CPMU Accountant	month		6	12	12	12	12	12	12	12	90
PPMU Accountants (before these positions were moved into LIC contract)	month		18	21							39
PPMU Technical Staff	month										
Total	Month		32	57	36	36	36	36	36	36	305

2. Terms of Reference of Loan Implementation Consultants approved prior to MTR

166. **International Forestry and Biodiversity Specialist/ Team Leader - (total 30 pm, 16pm⁸ completed)**. The International Team Leader (Forestry and Biodiversity Specialist) will in close cooperation with the National Project Director and the ADB project Officer:

- (i) Assume overall responsibility for implementing the technical support, including preparation and implementation of work plans, and provide team leadership, coordination, financial management and administrative input, and ensure timely deployment of consultants and guidance on following ADB requirements on Statement of Expenditure (SOE) guidelines;
- (ii) Ensure that all consultants are fully briefed on local situation and their tasks. Review, and modify when necessary all consultant terms of reference in consultation with the National Director and the ADB Project Officer and oversee international and national consultants and provincial level teams in planning, preparation and completion of the sub-projects (commune investment plans - CIPs) and follow up on forest resource management plans in all provinces;
- (iii) Develop a comprehensive capacity development plan and oversee its implementation;
- (iv) Monitor progress against project implementation schedule and collate and coordinate preparation and submission of periodic progress reports and technical reports on project findings and experience;
- (v) Support Forest Development Plans for the provinces that identify areas where forest restoration should be prioritized to improve connectivity between different management units and provide guidance on demarcation and delineation of the provincial forest estate;
- (vi) Assess any existing technical guidelines for the design of management plans for Protected and Commune/Community Forests and refine as appropriate and advise on the collection and analysis of all data relevant to forest management, including operational costs, prices, labor productivity, wage rates, and recommend improvements to working practices to reduce costs and improve labor health and safety;
- (vii) Advise on the design of forest and biodiversity inventories and assessments of natural forest management units, including sampling procedures, determination of sampling intensity, data recording and analysis and the establishment of a network of permanent and temporary sample plots in the major forest types;
- (viii) Oversee the development of a program for growth and yield monitoring both for key indigenous tree species and for the major mixed species natural forest types that includes assessment of the net sequestration of carbon stocks, and provide guidelines for techniques for assessing timber and carbon growing stock and yield estimation suitable for application by local communities in the project communes/villages;
- (ix) Advise on the preparation of detailed management plans for territorial forest management units that do not yet have comprehensive plans, covering silvicultural and harvesting operations, and including an investment plan that includes access and roads, staff development, and identification of any potential for public use of the forest for recreation and tourism. The plans should be sensitive to environmental and landscape considerations;

⁸ All the 'completed' input under this section is as of 31 December 2014

- (x) Prepare guidelines for environmental protection and biodiversity conservation and for the defining areas within Protected forest areas that require special protection due to their importance as unique habitats, feeding sources (e.g. salt licks and water) nesting sites etc. to ensure that the protection value is maximized and ensure their incorporation into management plans and advise provincial staff on conservation, reforestation, ecosystem restoration and review current management plans and proposed ecotourism plans;
- (xi) Advise on the principles to be adopted for practical Commune Forest Management Plans for inventory, monitoring, silvicultural treatments and the development of a simple harvesting plan that ensures long-term sustainability of the resource and safeguards locally important species such as resin trees and trees of spiritual importance;
- (xii) Oversee the work of the national plantations and nursery consultants, preparing technical guidelines for site and species selection for community restoration of denuded and degraded former forest areas, reviewing current site preparation, establishment, silvicultural and nursery practices and vet recommendations on the most effective disposition of nurseries within the project area to ensure timely supply of best possible quality of planting stock of indigenous tree species and NTFPs for restoration, enrichment planting and livelihood plantations;
- (xiii) Support the Business Development activities for potential new livelihood enterprises or developments of existing enterprises that should be supported by the project;
- (xiv) Make recommendations for market based instruments to capture some of the environmental values from protected lands and forest areas; and
- (xv) Promote the monitoring of prices for major forest products including timber, NTFPs, Carbon/CO₂ and energy to assess the competitiveness of wood for energy and the feasibility of carbon sequestration through forest management and plantations.

167. **National Deputy Team Leader (Forestry and Biodiversity Specialist 90 pm, 26pm completed).** The consultant will in close co-operation with the International Team Leader, National Project Director and the ADB project Officer assist the TL with:
- (i) Technical support, including preparation and implementation of work plans, coordination, financial management and administrative input, and ensure timely deployment of national consultants;
 - (ii) Briefing to consultants and project visitors on local situation and tasks. Support national consultants and provincial level teams in planning, preparation and completion of the sub-projects (commune investment plans - CIPs) and follow up on forest resource management plans in all provinces;
 - (iii) Develop a comprehensive capacity development plan and oversee its implementation;
 - (iv) Monitor progress against project implementation schedule and collate and coordinate preparation and submission of periodic progress reports and technical reports on project findings and experience;
 - (v) Support Forest Development Plans for the provinces that identify areas where forest;
 - (vi) Restoration should be prioritized to improve connectivity between different management units and provide guidance on demarcation and delineation of the provincial forest estate;
 - (vii) Assess any existing technical guidelines for the design of management plans for Protected and Commune/Community Forests and refine as appropriate and

- advise on the collection and analysis of all data relevant to forest management, including operational costs, prices, labor productivity, wage rates, and recommend improvements to working practices to reduce costs and improve labor health and safety;
- (viii) Design of forest and biodiversity inventories and assessments of natural forest management units, including sampling procedures, determination of sampling intensity, data recording and analysis and the establishment of a network of permanent and temporary sample plots in the major forest types;
 - (ix) Oversee the development of a program for growth and yield monitoring both for key indigenous tree species and for the major mixed species natural forest types that includes assessment of the net sequestration of carbon stocks, and provide guidelines for techniques for assessing timber and carbon growing stock and yield estimation suitable for application by local communities in the project communes/villages;
 - (x) Preparation of detailed management plans for territorial forest management units that do not yet have comprehensive plans, covering silvicultural and harvesting operations, and including an investment plan that includes access and roads, staff development, and identification of any potential for public use of the forest for recreation and tourism. The plans should be sensitive to environmental and landscape considerations;
 - (xi) Prepare guidelines for environmental protection and biodiversity conservation and for the defining areas within Protected forest areas that require special protection due to their importance as unique habitats, feeding sources (e.g. salt licks and water) nesting sites etc. to ensure that the protection value is maximized and ensure their incorporation into management plans and advise provincial staff on conservation, reforestation, ecosystem restoration and review current management plans and proposed ecotourism plans;
 - (xii) Commune/Community Forest Management Plans for inventory, monitoring, silvicultural treatments and the development of a simple harvesting plan that ensures long-term sustainability of the resource and safeguards locally important species such as resin trees and trees of spiritual importance;
 - (xiii) Oversee the work of the national plantations and nursery consultants, preparing technical guidelines for site and species selection for community restoration of denuded and degraded former forest areas, reviewing current site preparation, establishment, silvicultural and nursery practices and vet recommendations on the most effective disposition of nurseries within the project area to ensure timely supply of best possible quality of planting stock of indigenous tree species and NTFPs for restoration, enrichment planting and livelihood plantations;
 - (xiv) Support the Business Development activities for potential new livelihood enterprises or developments of existing enterprises that should be supported by the project; and
 - (xv) Take over international team leader duties in his/her absence or leave.

168. **Social Safeguards - Gender, Indigenous Peoples/Ethnic Minorities, and Resettlement Specialists (total 3pm International 3pm completed).** The consultant will review the Project related documentation, including the Feasibility Study and consultants' reports produced during project preparation, to better understand the sociocultural and economic context of the Project. The consultant will be responsible for assessment of the sociocultural dimensions (to include ethnic minorities, resettlement, gender and development, and stakeholder participation and consultation). Specifically, the international social safeguards consultant will:

- (i) Oversee the technical preparation of a socio-economic database at the beneficiary and commune/commune level in a participatory manner that will serve as the benchmark information for the input, output, and outcome monitoring and evaluation indicators for assessing poverty, social, and gender impacts of Project components and for the Project as a whole. Information to be collected through a combination of primary and secondary data gathering as well as quantitative and qualitative approaches; will include but will not be limited to, demographic information of the poor disaggregated by gender and minority/social groupings, poverty in Project sites, relationship of human populations and environment/natural resources, non-economic features of poverty, and institutional bottlenecks to poverty reduction;
- (ii) Using the data gathered, prepare socio-economic and poverty profiles of the prospective stakeholders and beneficiaries to be impacted by the component and/ or subproject, using both quantitative and qualitative and participatory techniques;
- (iii) Prepare methodological procedures and targets and through National Social Safeguards/Gender Specialists, oversee the conduct of social impact assessment and other required survey/census requirements in the Project sites as guided by the Project Social Safeguards frameworks (Ethnic Minority and Development Framework (EMDF) and Resettlement Framework (RF)) and the GAP;
- (iv) Formulate recommendations to bring about greater accountability and transparency in the development process in order to qualify broad community support for the Project sites;
- (v) In consultation with relevant members of the team, carry out an analysis of policy adjustments related to social dimensions such as (but not limited to): land tenure, vulnerability of human settlements and rural livelihoods to climate impacts, micro credit, and institutions for inclusion into a policy dialogue with the government;
- (vi) Prepare appropriate recommendations that enable profitability of conservation and protection for upstream communities, who are most often ethnic minorities, and measures to ensure that such environmental service costs actually reach the communities in the manner and forms they require and benefit them;
- (vii) Based on the social assessment and where ethnic minorities are concerned, recommend culturally appropriate strategies and options to mitigate impacts as a result of new schemes to be introduced and which will potentially change livelihoods and/or demand for socio economic services;
- (viii) Oversee and assess preparation of EMDPs and RPs in accordance with ADB Policies and Guidelines, EMDF, and RF;
- (ix) In consultation with relevant members of the team, propose options for capacity building of various local community groups/organizations that may be involved with implementation of the Project, identifying the means and institutions for such capacity building measures. This can include community-based public education and outreach activities related to climate risk reduction and adaptive water management practices;
- (x) Prepare framework and oversee implementation of Project capacity building/IEC and in particular, that these are in line with results of the SIA and objectives of Social Safeguards documents, as well as the GAP; and
- (xi) Assist the central project implementation unit in any other tasks relevant to the expertise of the Consultant including preparing various reports and other documents required by ADB and concerned government institutions.

169. **International Environment Safeguards Specialists (3pm, 3pm completed).** The International Environmental Safeguarding Specialist (IESS) will be engaged at the start of Project implementation. The IESS will develop a number of critical tools that will be used during Project implementation to ensure its compliance with the environmental safeguarding requirements of ADB and Government. Concurrently with the International Environmental Safeguarding Specialist, a National Environmental Safeguarding Specialist - Infrastructure (NESS-I) will be engaged for one person-month to provide support with the development of the environmental safeguarding guidelines and to facilitate consultations. The IESS will have secondary qualifications and/or experience in forestry. Specifically, the IESS, in collaboration with the NESS-I, the National Environmental Safeguarding Specialist (NESS), other Project staff, implementing partners and stakeholders, will undertake:
- (i) Update the EARF as required;
 - (ii) Develop detailed environmental safeguarding guidelines for project implementation and the identification and design of subprojects tailored to the different implementing partners. Particular focus will be given to the technical aspects of the forestry activities, activities located inside protected areas, and small-scale infrastructure subprojects (the latter with specific inputs from the NESS-I);
 - (iii) Develop screening checklists for subprojects and guidance material on their use;
 - (iv) Develop an appropriate monitoring schedule in function of the subprojects identified; and
 - (v) Train the NESS in applying the EARF and familiarize the NESS with ADB environmental safeguarding procedures and requirements, including reporting.
170. **National Agriculture Extension Assistants (60pm x 3 positions, 69pm completed).** Under the overall supervision of the Project Director, Project Team Leader (Forestry / Biodiversity), and Provincial Agriculture Officers, the Agriculture Extension Assistant(s) will provide technical advice to district and commune agricultural staff aimed at improving the productivity and quality of current agricultural crops and diversifying farming systems in ways that improve livelihoods for the farmers but reduce environmental damage, especially through reducing soil erosion and the need to clear forest. The Assistant will have particular experience of upland farming systems in the GMS and will undertake:
- (i) Undertake a review of current farming practices in the target Communes/villages within the Corridor area, and identify those that are appropriate to the aims and purpose of the project and the local situation in terms of supporting biodiversity and soil and water conservation, and those that are environmentally undesirable through contributing to forest degradation and soil erosion;
 - (ii) Advise local agricultural staff and farmers on ways to modify environmentally damaging practices that will reduce or avoid environmental damage while improving, or maintaining farmers' income;
 - (iii) Assess agroforestry systems suited to the local conditions that are acceptable to local farmers and which will provide sustainable livelihoods in the future;
 - (iv) Advise on the establishment of demonstration plots on farmers' land of a range of agroforestry systems that combine multi-purpose trees (fuel, fodder, fruit and other useful products) and NTFPs with annual and perennial crops that will provide sustainable and diversified income;
 - (v) Liaise with the business development consultant(s) on the production-market value added chain for existing and potential new agricultural crops that will increase revenues for local farmers;

- (vi) Train Commune/village extension staff in the agricultural and agroforestry systems recommended to ensure that they are fully conversant with all the knowledge and requirements for supporting the farmers; and
- (vii) Together with the business development consultant(s) and the Forest plantation and nursery Assistant(s) advise on the micro level income generating projects based on the cultivation of agricultural crops and NTFPs, and advise on, securing funds from CDF and monitoring performance.

171. **National Forest Plantation and Nursery Assistant (60pm x 3 positions, 62pm completed).** Under the overall supervision of the Project Director and the Forestry / Biodiversity Specialist (Team Leader), the Forest Plantation and Nursery Assistant(s) will provide technical assistance for establishment and operation of nurseries, and on site preparation, establishment and silviculture of forest plantations. The Assistant should have previous experience in seed and seedling production, and plantation establishment of broadleaf and coniferous species indigenous to the eco-regions within the corridor. In particular, the Assistants will undertake:

- (i) Undertake a review of current nursery practices used for production seedlings of locally indigenous species in the Districts within the Corridor and assess the quality of the seedlings produced;
- (ii) Assist the provincial and district foresters and potential local entrepreneurs in the target Communes/Villages, without nurseries to identify suitable sites, taking account of the location where the seedlings will be planted, to establish new small nurseries (output 150,000-200,000 seedlings annually) for production of good quality indigenous species;
- (iii) Advise the province and district foresters and entrepreneurs with the establishment of the nurseries, including selection and procurement of equipment (water pumps, hand tools etc.) and materials (seed, fertiliser, polybags, compost etc.) and training of staff and labour;
- (iv) Advise the provincial and district forestry staff on the selection of appropriate locally indigenous species and identification of suitable seed sources;
- (v) If appropriate, advise on the identification and management of seed stands for collection of high quality seed or a range of locally indigenous species;
- (vi) Prepare guidelines for identification of priority sites for forest restoration at Commune/village level, taking account of the need to improve connectivity and improve biodiversity and soil and water conservation;
- (vii) Conduct training sessions for communities and their forestry supervisors in site selection and plantation establishment and maintenance;
- (viii) Review local practice for site preparation, establishment and silvicultural practices and recommend operational prescriptions for all indigenous species;
- (ix) Provide the districts with prescriptions for reviewing and improving existing nursery manuals;
- (x) Prepare guidelines for nursery operations and prescriptions for both commune/village level and district level nurseries;
- (xi) Prepare guidelines for establishment and maintenance of plantations especially on heavily degraded forest for commune/village forestry supervisors; and
- (xii) Undertake random sampling of seedling quality from various nurseries and assist in quality improvement if required.

172. **Land-use Planner and GIS Specialist (4pm International from short term unallocated, 4pm international completed).** Under the supervision of the international Team Leader and in cooperation with the other team members, the Land use / GIS

Specialist (international) sets up the BCI spatial decision support system, and performs spatial analysis and modeling task to support site design, establishment, and monitoring & evaluation of project achievements and impacts. Specifically, the Land use planner's / GIS specialist's work will include, but is not limited to:

- (i) Establish working relationships with national government and non-governmental organizations producing and/or administering spatial datasets relevant to the successful establishment and monitoring of Biodiversity Corridor sites;
- (ii) Supervise the national GIS consultants to collect, process and integrate spatial and statistical data into site-specific, consolidated GIS databases;
- (iii) Perform data needs and quality assessments (geographic datasets, statistical datasets), identify gaps and quality issues, and propose options to fill gaps or improve deficient data sets;
- (iv) Set up a satellite image archive for each site, process the images, and conduct forest cover classifications and change detection analyses that provide project management (districts, provinces and center) with information on a) site integrity (state) and b) land conversion trajectories (trend);
- (v) Supervise the national GIS consultants in conducting field survey/reports to refine / verify accuracy of satellite image interpretation;
- (vi) Develop aggregated vulnerability and land conversion threat maps to support project in geographically prioritizing individual site interventions (short to medium term responses);
- (vii) Develop land demand scenarios from past trends and future development strategies and directives, and translate them into a future land conversion model to support programming of appropriate long term responses;
- (viii) Perform GIS skills assessments and design corresponding GIS conceptual and technical trainings (on-the-job training) for relevant local and national level focal points;
- (ix) Produce 2D and 3D geo-visual materials from the GIS baseline database and the GIS analysis / modelling (usable in the context of land use mapping and landscape planning); and
- (x) Develop GIS based land use and landscape presentations and other knowledge products (e.g. fact sheets, posters) to strengthen communication and progress reporting.

173. **National Land Use/GIS Consultant (total 24pm, 13pm completed).** Under the supervision of the international Land use / GIS Specialist, the national GIS consultant maintains the land use / GIS databases, prepares information for spatial analyses and modeling applications, and delivers RS/GIS training courses in the local language. Specifically, the national land use / GIS Consultant will:

- (i) Review national land use planning frameworks and identify relevant plug in points (institutional, planning tools, etc.) for Biodiversity Corridor interventions;
- (ii) identify and document national GIS data sources and discuss / coordinate with national focal points on how to secure copies of relevant datasets;
- (iii) Collect GIS datasets required for the development of baseline (thematic) maps and configuration of spatial analyses (e.g. threat maps) and modeling tools (e.g. future land conversion);
- (iv) Review spatial and thematic quality of collected datasets and suggest processing steps (or alternative better data sources) to improve overall accuracy;
- (v) Process GIS datasets (conversion, translation, cleanup, documentation) and integrate them into one common BCI GIS database (one for each BCI site);

- (vi) Conduct (GPS-based) field survey/reports as required to refine / verify accuracy of satellite image interpretations and GIS datasets;
- (vii) Facilitate the collection of expert knowledge (legal documents, reports, research papers, expert interviews and questionnaires) and consolidate the findings into a knowledge database that supports the development / configuration of suitability and vulnerability / threat maps and land allocation models;
- (viii) Develop and translate RS/GIS training materials and conduct trainings for national BCI focal authorities;
- (ix) Produce 2D and 3D geo-visual materials as advised by the GIS Specialist; and
- (x) Support the GIS Specialist in other tasks that might be required.

174. **Unallocated Specialists (3 pm International and 22 pm National).** This item is intended to provide resources for as yet unidentified areas of technical expertise or to procure services of Environmental safeguards specialist and international GIS specialist as and when needed for the implementation of the proposed Project. Detailed TORs are to be developed by the CPCU with the support of the grant implementation consultants.

3. CPMU Direct Hire Consultants

175. **National Social Development and Social Safeguards Specialists (total 45 pm, 24pm completed).** The National Social Safeguards/Social Development Specialist is required to be competent in social safeguards and other social aspects such as gender, participation, and community development. He or she needs to meet the qualifications for both social safeguards and social development and can perform the tasks for both expertise. The table below summarizes the expertise, qualifications, tasks and assignment duration

Table 8. TOR of Social Development/Social Safeguards Specialists

Expertise	Social Safeguards (Involuntary Resettlement and Indigenous Peoples Safeguards)	Social Development (Gender, Participation, and Community Development)
Qualifications	<p>Thorough knowledge of ADB's requirements for involuntary resettlement and Indigenous Peoples safeguards as stipulated in the ADB Safeguard Policy Statement and further discussed in (i) Involuntary Resettlement Safeguards: A Planning and Implementation Good Practice Sourcebook, and (ii) Indigenous Peoples Safeguards: A Planning and Implementation Good Practice Sourcebook</p> <p>At least 4 years of work experience in applying safeguard policies for involuntary resettlement of ADB or other multilateral organizations with similar social safeguard policies, and another 4 years for Indigenous Peoples; more experience in one social safeguard area</p>	<p>Thorough knowledge of ADB's Gender Policy and ADB's suite of participation, communication, and disclosure policies and guidelines</p> <p>A thorough understanding of the socio-cultural, environmental, and governance context in Viet Nam; previous work experience in the project areas is preferred</p> <p>Has demonstrated experience in engaging with Indigenous Peoples, affected persons, villagers, and other project stakeholders including civil society organizations</p> <p>Can coordinate and work well with government agencies, village leaders, civil society organizations, and other</p>

	<p>may be allowed but it is imperative that the expert has had applied work experience in both involuntary resettlement and Indigenous Peoples safeguards, and the total work experience will be 8 years</p> <p>A thorough understanding of the socio-cultural, environmental, and governance context in Viet Nam; previous work experience in the project areas is preferred</p> <p>Has demonstrated experience in conducting a thorough social assessment for involuntary resettlement and Indigenous Peoples safeguards, and using social development tools including surveys, ethnographic mapping, transect walks, key informant interviews, and focus group discussions</p> <p>Knows the proper ways to consult and engage with affected persons and Indigenous Peoples; Can coordinate and work well with government agencies, village leaders, and other stakeholders</p> <p>Has conducted training needs assessment for social safeguards, and designed and conducted training sessions on social safeguard topics among project implementers</p> <p>Excellent comprehension and analytical skills; Excellent writing and oral communication skills in English</p> <p>Master's degree in Sociology, Anthropology or related social science course; This qualification can be relaxed provided it is augmented by appropriate work experience</p>	<p>stakeholders</p> <p>Familiarity with ADB's Safeguard Policy Statement</p> <p>Master's degree in community development or the social sciences</p>
Tasks	<p>Ensure that the Resettlement Framework (RF) and the Ethnic Groups Development Framework (EMDF) are applied during project implementation</p> <p>Screen subprojects and project interventions for involuntary resettlement and Indigenous Peoples impacts in accordance with the RF and EMDF, respectively</p> <p>For subprojects or project interventions with involuntary resettlement and</p>	<p>In charge of social dimensions of the project such as gender, stakeholder participation, and poverty</p> <p>Oversee implementation and monitoring of the poverty and social strategy discussed in the Summary Poverty Reduction and Social Strategy (SPRSS); design appropriate monitoring databases and tools</p> <p>Oversee implementation of the Consultation and Participation Plan</p>

	<p>Indigenous Peoples impacts, in charge of preparing Resettlement Plans (RPs) and Ethnic Groups Development Plans (EMDPs) in accordance with the RF and EMDF, respectively, including conducting social assessments and meaningful consultations</p> <p>Provide guidance in implementing RPs and EGDs to project implementers, and provide recommendations to strengthen institutional arrangements and grievance redress mechanisms</p> <p>Conduct a training needs assessment on social safeguard planning and implementation among project implementers, and based on the results, design and conduct appropriate training sessions that will (i) increase awareness of social safeguard requirements among project implementers, (ii) allow them to appreciate their roles in social safeguard preparation and implementation, and (iii) make them more effective in fulfilling their duties</p> <p>Mainstream social safeguard planning and implementation into the overall project cycle and into the administration of project interventions</p> <p>Ensure that ADB's disclosure requirements for involuntary resettlement and Indigenous Peoples are met based on ADB's Public Communications Policy, ADB's Safeguard Policy Statement, RF, and EMDF</p> <p>Design effective monitoring and evaluation tools and databases to capture progress and issues on involuntary resettlement and Indigenous Peoples safeguards, and provide recommendations on how these issues can be addressed; Conduct a training session explaining monitoring and evaluation indicators, how the databases will be filled up and how to use the tools, and who will be in charge of what</p> <p>Work with the National Social Development Specialist to strengthen consultation, participation, disclosure, and gender aspects of involuntary</p>	<p>based on the Project Administration Manual, and ensure participation and empowerment of the poor based on the SPRSS</p> <p>Ensure proper implementation of the Gender Action Plan, and in charge of monitoring that gender indicators in the Design and Monitoring Framework (DMF) are being achieved</p> <p>Conduct gender sensitivity trainings, as needed</p> <p>Work with the National Social Safeguard Specialist to ensure (i) meaningful consultation and effective participation of affected persons and Indigenous Peoples, and (ii) ADB's disclosure requirements for involuntary resettlement and Indigenous Peoples are met based on ADB's Public Communications Policy, ADB's Safeguard Policy Statement, RF, and EMDF</p>
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	resettlement and Indigenous Peoples	
Duration of Assignment	12 person-months (from midterm review mission to end of Project)	9 person-months (from midterm review mission to end of Project)

176. **National Environmental Safeguard Specialist (NESS) (total 45pm, 24 pm completed).**

The Environmental Safeguards Specialist will help the BCC project, including the anticipated additional financing to be funded by the Global Environment Facility, meet 'environmental safeguard requirements' of ADB Safeguards Policy Statement 2009 (SPS) and Vietnamese legislation on environmental safeguards as specified in the Environmental Assessment and Review Framework (EARF). The consultant will develop and provide training for uptake of number of critical tools that will be used during project implementation to ensure its compliance with environmental safeguarding requirements. The consultant will have qualifications or experience in small-scale rural infrastructure development and design.

In collaboration with the National Social Safeguarding Specialist, the Loan Implementation Consultant (LIC) team, and other project staff, and implementing partners and stakeholders, the Environmental Safeguards Specialist will:

- (i) Update the EARF, which covers both the BCC Project and the anticipated additional financing.
 - a. Update the EARF where necessary.
 - b. Develop field guidance and training materials, and conduct training as needed to relevant project stakeholders.
- (ii) Assist in the selection of infrastructure subprojects to avoid and minimize environmental impacts.
 - a. Work with the infrastructure design consultant teams to screen infrastructure subprojects for environmental impacts, avoiding and minimizing environmental impacts.
 - b. Advise the infrastructure design consultant teams to ensure that infrastructure subprojects are designed in a way that does not alter the environmental classification of the Project in accordance with ADB's environmental safeguarding policy and procedures.
- (iii) Ensure participatory consultations at the community level for environmental safeguards.
 - a. Carry out participatory consultations at community level relating to environmental safeguards and guidelines for project activities in livelihoods, forest enhancement, and small-scale infrastructure sub-projects.
 - b. Document these consultations and ensure that the public has access to public documents related to the environmental safeguarding process.
 - c. Assist the CPMU and PPMUs to implement the project's grievance redress mechanisms.
- (iv) Prepare environmental categorization forms and rapid environmental assessment (REA) checklists, and initial environmental evaluations (IEE).
 - a. Assist PPMUs to prepare environmental categorization forms and rapid environmental assessment (REA) checklists all subprojects.
 - b. Assist PPMUs to prepare IEEs for category B subprojects. The IEE shall include the environmental management plan and environmental monitoring plan.
 - c. In the case of category C subprojects, assist the PPMU and CPMU in notifying ADB of the screening findings and the categorization of the subproject.
- (v) Develop an appropriate monitoring schedule of each infrastructure sub-project during

construction, and in operation if necessary, for compliance with the environmental requirements of the project, ADB, and the Vietnamese government.

- a. Develop a work plan for the entire environmental safeguards program.
- b. Develop a monitoring plan for PPMU staff to monitor progress of the environmental safeguards program.
- c. Train PPMU staff and DPIU staff in how to conduct the monitoring.
- d. Coordinate and facilitate all environmental safeguarding monitoring and reporting activities for the project.
- e. Prepare detailed monitoring schedules and final environmental safeguards monitoring reports for inclusion into the project progress report for submission to ADB.

(vi) Training and Supervision

- a. Develop guidance and training materials on the use of screening checklists for all subprojects, and provide appropriate training to project implementing stakeholders and beneficiaries. Collaborate with project monitoring units to harness resulting information in periodical project monitoring.
- b. Provide guidance and support to the Project staff to prepare and submit the environmental impact assessments for subprojects according to the Vietnamese and ADB requirements;
- c. Support the project external monitoring organization (EMO) to develop and conduct appropriate monitoring parameters in function subproject implementation.
- d. Participate in project deliberations regarding definition of project intervention 'hotspots' and 'models' to assess potential environmental impact of project developments, and needs and strategies for mitigation. Similarly, participate in the definition of provincial corridor guidelines to assess and advise on possible environmental impacts of project interventions.
- e. Assist the EMO, PPMUs, DPIUs, and other project stakeholders during the implementation of the project Environmental Safeguard Assessments.
- f. Other related to the main environmental safeguards content of this consultancy, as requested by the BCC Vietnam CPMU.

177. National Procurement Specialist - (total 24pm, 6.3pm completed). Under the guidance of the National Project Director and the ADB Project Officer, the national procurement specialist will:

- (i) Setup the procurement system following the guidelines of the ADB and relevant government provisions for the procurement of goods and services;
- (ii) Assist the project for the preparation of detailed specifications and tender documents for the procurement of goods and services including local shopping, National Competitive Bidding or International Competitive Bidding, community services contracts;
- (iii) Set up a procurement and contract management system for the project to handle all local competitive bidding and local shopping procurements of goods and civil works undertaken by the implementing authorities and for provinces and districts to handle service contracts with communities;
- (iv) Establish a system of block grants and service contracts or seed capital disbursement to communities for services and investments;
- (v) Assist Project Director in recruiting prequalified institutions, commercial organizations, NGOs or private individuals to provide services for developing proposed subprojects into feasibility studies for consideration for project funding;
- (vi) Assist the Project Director in all procedures relating to procurement of equipment and vehicles in accordance with the methods to be used for the purchase of

- supplies for the Project, ensuring that both Asian Development Bank (ADB) and Government requirements are followed; and
- (vii) Provide on the job training in procurement and contract management to the procurement officer at national and provincial levels and other concerned staff.

178. **National Business development Specialist (18pm).** To improve livelihood options and add value to local products, the implementation consulting team will include business development / value chain specialists to assist in improving market linkages between primary producers of NTFPs and buyers / processors / factories / exporters. Under the guidance of the Team Leader and Project Director, the business development / value chain specialists will, in particular, provide assistance to local producers / beneficiaries to:

- (i) identify local products and review community level commodity production plans and priorities for NTFP planting and other livelihood options;
- (ii) review value chains and market linkages of various products that are locally produced or have potential for production;
- (iii) establish contact between major commodity buyers and community/producer group representatives to explore market opportunities;
- (iv) identify opportunities for improving value addition and village/commune-based processing of primary products to gain a better market value for primary producers;
- (v) support the Provincial and District level project offices in identifying appropriate producer groups, processor groups, farmer group enterprises, that have potential in the longer term of formalized collaborative structures with commercial registration;
- (vi) actively explore establishment of market opportunities between primary producers/groups and end processors to improve farm gate value of products and materials sold by beneficiaries to end processors (NTFPs, agro processed products, wood products);
- (vii) Assist in the identification of more post-harvest processing technologies appropriate to specific products;
- (viii) Collaborate with private sector organizations and the market research institutes in identifying and documenting: (a) successful models of public-private partnerships; (b) village level production / processing / marketing groups; and (c) other potential areas of interest for improving livelihoods and adding value to primary products from the biodiversity corridor areas.

179. **National Monitoring and Evaluation Specialist (12pm).** The main objective of the Monitoring and Evaluation Specialist mission is design a 'monitoring and evaluation system for the project, together with guidelines to carry out defined monitoring activities over the course of the project. The project monitoring and evaluation system is to be based on the 'project design framework', which provides output indicators and helps guide project progress. In line with this, tasks under this consultancy assignment are provided below.

- (i) Critically review the project design and monitoring framework shown in the PAM paying particular attention to the targets, indicators, sources of verification, and risks and assumptions, and comment upon any revisions necessary to ensure that the activities and targets match the project goals;
- (ii) Review existing CEP-BCI monitoring framework indicator baselines and all baseline field data related to socio-economic status, forest status and biodiversity within the project area. Ensure that any data gaps will be addressed during the design of the comprehensive monitoring system;

- (iii) Design an overall project M&E system describing objectives, methodology for data collection and analysis, implementation arrangements, expected deliverables, and a total budget split into annual amounts;
- (iv) Monitor all project activities, expenditures and progress towards achieving the project output; Monitor and evaluate overall progress on achievement of results;
- (v) Supervise implementation of the M&E system across the project provinces and liaise with the Ethnic Minorities Office, Social and Environment Safeguards project consultants and all BCC project implementation institutions to ensure consistency of approach and quality control of data;
- (vi) Liaise closely with EOC in Bangkok regarding M&E systems and developments in BCC projects in Lao and Cambodia;
- (vii) Collect M&E data of the whole project and develop a data system of project activities and outcomes;
- (viii) Analyze all data and prepare monitoring and evaluation reports highlighting the impact of the project on income levels of participating households, gender and ethnic minority mainstreaming, forest condition, watershed function and biodiversity richness;
- (ix) Liaise with ADB concerning key issues to prioritize during ADB Review, mid-term and project completion evaluation missions;
- (x) Undertake 'training of trainer' (ToT) sessions for selected project staff;
- (xi) Host annual monitoring and evaluation (M&E) workshops to disseminate findings;
- (xii) Make recommendations for improvements to the M&E system (both impact monitoring and forest/biodiversity, socio-economic monitoring); and
- (xiii) Perform other duties as required.

4. CPMU and PPMU Direct Hire Staff approved prior to MTR

180. **CPMU Accountant (90pm).** The Project Accountant will work for CPMU in Hanoi. The incumbents have the following tasks:

- (i) Participate in preparing annual and quarterly work-plan for the project;
- (ii) Prepare quarterly advance requests to get advance funds from Viet Nam and ADB in the format applicable;
- (iii) Assist National Project Director (NPD) in the Project's budget monitoring and project budget revision;
- (iv) Set up accounting system, including reporting forms and filling system for the project, in accordance with the Project document;
- (v) Maintain petty cash transactions. This includes writing of receipts, preparation of payment request form, receipt and disbursement of cash and clearance of advances;
- (vi) Prepare cheques and other work as required with the bank;
- (vii) Prepare the Project's financial reports (annual and quarterly) and submit to NPD for clearance and furnish to ADB as required;
- (viii) Reconcile all balance sheet accounts and keep a file of all completed reconciliation;
- (ix) Check and ensure that all expenditures of projects are in accordance with Viet Nam and ADB procedures. This includes ensuring receipts to be obtained for all payments;
- (x) Check budget lines to ensure that all transactions are booked to the correct budget lines;
- (xi) Ensure documentation relating to payments are duly approved by the NPD;
- (xii) Bringing any actual or potential problems to the attention of the NPD;

- (xiii) Follow up bank transfers. This includes preparing the bank transfer requests, submitting them to the bank and keeping track of the transfers;
- (xiv) Ensure Petty Cash to be reviewed and updated ensuring that there is up-to-date records;
- (xv) To continuously improve system & procedures to enhance internal controls to satisfy audit requirements;
- (xvi) Bank statements should be collected from the banks on the 2nd working day of each month;
- (xvii) Bank accounts should be reconciled and reported on or before 3rd of each month;
- (xviii) Prepare monthly bank reconciliation statement, including computation of interests gained to be included into reports;
- (xix) Maintain the inventory file to support purchases of all equipment/assets;
- (xx) Support to procurement of the accounting software package for overall Project and provide technical support for assisting the project financial staff in PPMUs and DPIUs to use it for undertaking a comprehensive accounting and project implementing management;
- (xxi) Manage the project implementation in CPMU including contract management; disbursement management, etc.;
- (xxii) Control the Imprest Account assigned to the CPMU. This includes payments from the account, disbursements from ADB, reconciliation with the service bank;
- (xxiii) Monitor and supervise the financial and accounting works of the PPMUs and DPIUs. This includes guideline, training and consolidation of reports, focal point for problem resolving;
- (xxiv) Finalize reporting formats and reporting timing for overall project;
- (xxv) Review and consolidate the account and records of the PPMUs and submit to ADB and the other relevant government agencies monthly/quarterly and annually;
- (xxvi) Cause the detailed consolidated project accounts to be audited in accordance with international standards on auditing by an auditor acceptable to ADB; and
- (xxvii) Undertake other relevant matters assigned by the NPD.

Qualifications as follows:

- (i) University degree in Accounting, Finance or related fields;
- (ii) Minimum 3 years experience in finance and/or, accounting;
- (iii) Strong organizational skills and understanding of administrative procedures;
- (iv) Strong financial skills and understanding of accounting procedures;
- (v) Demonstrated ability to work in a multicultural environment, and establish harmonious and effective working relationships, both within and outside the organization.
- (vi) Advanced computer skills (Word; Excel; Outlook Express; PowerPoint; etc.);
- (vii) Ability to communicate effectively with people from different backgrounds;
- (viii) Good English command; and
- (ix) Knowledge of ADB project's procedures would be an asset.

181. **PPMU Accountants (full time).** Three Project Accountants will work for PPMUs in Quang Nam, Quang Tri and Thua Thien Hue. The incumbents have the following tasks:
- (i) Participate in preparing annual and quarterly work-plan for the project;
 - (ii) Prepare quarterly advance requests to get advance funds from Viet Nam and ADB in the format applicable;
 - (iii) Assist Provincial Project Director (PPD) in the Project's budget monitoring and project budget revision;
 - (iv) Set up accounting system, including reporting forms and filling system for the project, in accordance with the Project document;

- (v) Maintain petty cash transactions. This includes writing of receipts, preparation of payment request form, receipt and disbursement of cash and clearance of advances;
- (vi) Prepare cheques and other work as required with the bank;
- (vii) Prepare the Project's financial reports (annual and quarterly) and submit to PPD for clearance and furnish to ADB as required;
- (viii) Reconcile all balance sheet accounts and keep a file of all completed reconciliation;
- (ix) Check and ensure that all expenditures of projects are in accordance with Viet Nam and ADB procedures. This includes ensuring receipts to be obtained for all payments;
- (x) Check budget lines to ensure that all transactions are booked to the correct budget lines;
- (xi) Ensure documentation relating to payments are duly approved by the PPD;
- (xii) Bringing any actual or potential problems to the attention of the PPD;
- (xiii) Follow up bank transfers. This includes preparing the bank transfer requests, submitting them to the bank and keeping track of the transfers;
- (xiv) Ensure Petty Cash to be reviewed and updated ensuring that there is up-to-date records;
- (xv) To continuously improve system & procedures to enhance internal controls to satisfy audit requirements.
- (xvi) Bank statements should be collected from the banks on the 2nd working day of each month;
- (xvii) Bank accounts should be reconciled and reported on or before 3rd of each month;
- (xviii) Prepare monthly bank reconciliation statement, including computation of interests gained to be included into reports.
- (xix) Maintain the inventory file to support purchases of all equipment/assets.
- (xx) Manage the project implementation in the province including contract management; disbursement management, etc.;
- (xxi) Control the Imprest Accounts assigned to the respective PPMUs. This includes payments from the accounts, disbursements from ADB, reconciliation with the service bank, advance and replenishment to sub imprest accounts owned by DPIUs;
- (xxii) Monitor and supervise the financial and accounting works of DPIUs. This includes guideline and training, focal point for problem resolving;
- (xxiii) Review and consolidate the account and records of the DPIUs and submit to CPMU monthly/quarterly and annually; and
- (xxiv) Undertake other relevant matters assigned by the PPD.

Qualifications as follows:

- (i) University degree in Accounting, Finance or related fields;
- (ii) Minimum 3 years experience in finance and/or, accounting;
- (iii) Strong organizational skills and understanding of administrative procedures;
- (iv) Strong financial skills and understanding of accounting procedures;
- (v) Demonstrated ability to work in a multicultural environment, and establish harmonious and effective working relationships, both within and outside the organization;
- (vi) Advanced computer skills (Word; Excel; Outlook Express; PowerPoint; etc.);
- (vii) Ability to communicate effectively with people from different backgrounds;
- (viii) Good English command; and

- (ix) Knowledge of ADB project's procedures would be an asset.
182. **CPMU Project Administration Assistant (90pm).** This Project Administration Assistant will work for Central Project Management Unit CPMU at Biodiversity Conservation Agency, VEA, MONRE. The incumbent will work at the Project Office in Hanoi and have the following detail task:
- (i) Assists the Project Director/Deputy Director/Coordinator in establishing the administrative systems and procedures consistent with ADB and Viet Nam regulations;
 - (ii) Assists the Project Director/ Deputy Director/Coordinator in carrying out various administrative activities
 - (iii) Maintains an active file of all personnel, consultants and subcontractors under the project;
 - (iv) Logistical arrangements. This includes visa, transportation, hotel bookings for project staff, consultants and invited guests coming for project activities;
 - (v) Prepares and maintains an updated inventory of all supplies and equipment;
 - (vi) Makes arrangements for the logistical requirements in training, workshops, and other Project activities;
 - (vii) Assists the project staff, consultants and other project players in various administrative matters, whenever necessary;
 - (viii) Assist in preparation of project work plan and reports;
 - (ix) Assist with preparation of TORs and contracts for consultants/experts for project activities; and
 - (x) Undertake any other actions related to the project as requested by National Project Director/Deputy Director/ Coordinator.
183. **CPMU Project Interpreter/Assistant (86pm).** This Project Interpreter/Assistant will work for Central Project Management Unit CPMU at Biodiversity Conservation Agency, VEA, MONRE. Duty and responsibilities as follow:
- (i) Provide interpretation services to the Project activities, including meetings, relevant workshops and events; acting as interpreter for Project team and international consultants when necessary;
 - (ii) Translate project documents, materials, papers, etc. from Vietnamese into English and vice versa as needed;
 - (iii) To interpret on occasional basis during official meetings with other participants to the process;
 - (iv) Arrange external and internal meetings (including meetings related to the proposal consultative process, among others), workshops, seminars, roundtables, field trips;
 - (v) Prepare project work plan and reports;
 - (vi) Prepare TORs and contracts for consultants/experts for project activities;
 - (vii) Assist in implementation of project activities;
 - (viii) Assist in monitoring and evaluation of project activities;
 - (ix) Contribute inputs into technical matters of the project; and
 - (x) Undertake any other actions related to the project as requested by National Project Director/Deputy Director/ Coordinator.
184. **DPIU full time field staff.** The Field Staff will be working closely with and under direct supervision of Head of DPIU and LIC consultants at each DPIU respectively. They will undertake specific tasks assigned by Head of DPIU and conduct project activities, comprising the following activities: Participatory Land-Use Planning within the conservation corridors, forest nursery management & seedling production, forest

restoration & planting, community-based forest management & patrolling, NTFP & livelihood development, at village, commune and district level. The Field Staff will also take themselves the M&E of their activities and report monthly & technically to the Head of DPIU, Provincial Project Coordinator and LIC consultants at each DPIU respectively.

Specific tasks as follow:

- (i) Liaise with relevant agencies in the district to collect information related to plans & policies for forestry development and forest & biodiversity conservation, agriculture extension, forest management, NTFP and livelihood development;
- (ii) Be responsible for assisting the CPIUs, and DPIUs with annual planning through a bottoms-up approach taking account of the needs of villages and communes in particular;
- (iii) Assist the district coordinators in dealing with procedures for technical cost norms for different project activities like corridor planning, nursery, forest restoration, community-based forest management & patrolling, in order to submit to the PPMU and Provincial People's Committee for approval;
- (iv) Carry out/apply DPIU and PPMU's policy/orientations on implementing different project activities;
- (v) Assist the DPIUs to review detailed TORs for contracts with implementing agencies/counterparts to implement project activities related to PLUP (participatory land use planning), corridor planning, site mapping, nursery, forest restoration, community-based forest management and patrolling, livelihoods and agro-forestry;
- (vi) Guide, conduct and monitor the implementation of project activities on PLUP within the conservation corridors, site mapping, forest nursery management & seedling production, forest restoration & planting, community-based forest management & patrolling, NTFP & livelihood and agro-forestry at village, commune and district levels;
- (vii) Assist the DPIU to monitor and evaluate the implementation of different project activities related to PLUP within conservation corridors, site mapping, forest nursery management & seedling production, forest restoration & planting, community-based forest management & patrolling, NTFP & livelihood and agro-forestry;
- (viii) Assess and identify the training needs for all relevant activities of the project, and then produce detailed training and capacity building proposals for different (village, commune, district) levels for submission to PPMU/DPIUs; and
- (ix) Conduct and supervise the implementation of relevant training activities.

5. Other consultants using CQS

a. Small-scale Infrastructure Design (CQS)

185. For each infrastructure subproject, the design consulting firm has to do the following tasks:
 - (i) Elaboration of terms of reference, survey and design of the construction;
 - (ii) Ecological survey in the site of the construction to provide inputs data for design;
 - (iii) Prepare the technical-economic report for construction works in which shows the options of architecture designs for the optimal choice;
 - (iv) Provide the technical design of construction works and related detail technical explanation documents as required by the Construction law:

a. Characteristics of natural conditions:

- i. Research the terrain and geomorphology conditions.
- ii. Climate conditions, hydrogeology, engineering geology.
- iii. Preparation of resettlement plans (if any).

b. Assessing general status characteristics of the construction project's areas:

- i. Assessing the current land use status.
- ii. Assessment of the population: Summary of population data such as: number of households, population rate, and employment rate, labor division structure, the standard of living.
- iii. Assessing the current infrastructure status at the construction project's areas: (a) Overview the infrastructure status in the construction project's areas, which includes: transport, electricity, water supply and drainage. In the project design must be in specific details of each item; (b) Update all the construction status surround the design areas; (c) Conduct the assessment of the construction status in the design areas, providing analysis and recommendations to solve the issues (if needed) in the project profiles.
- iv. Assessing the current status of social infrastructure facilities- Public facilities: Assessment, classify base on the using function, structure, quantity, size, floor area, height and quality of the works.

c. Proposed scale and design criteria: Based on the specifications to determine the technical and economic indicators of projects.**d. Proposed plans and estimated values support compensation for site clearance and resettlement (if any):**

- i. Conduct the survey of the construction's areas includes: structure's status, trees, graves, the households whose are expected affect by the constructions.
- ii. Calculate the investment capital for volunteering resettlement expenditure and compensation expenditure (if any).
- iii. Preparation of resettlement plans (if any).

e. Estimated total investment

- i. Calculate the volume of preliminary construction investment, construction cost includes items designed, planned the implementation phases.
- ii. Calculate the investment rate per square meter of land for construction.
- iii. Calculate the efficiency of investment.
- iv. Provide pre- made categories and sorted by priority.
- v. Plan procurement division project implementation phase.

f. Environmental Impact Assessment of the project:

- i. Conduct the preliminary environmental assessment survey for the planned construction works areas in which consists of: geography, ecology, and technical requirements for the infrastructure works, environmental sanitation conditions.
- ii. Assess the environment impacts of the project's construction works.
- iii. Recommend the solutions to eliminate the environmental pollution issues (if any) within the planned construction works areas: the construction sites, administrative offices, public areas which focuses on both water and solid wastes.

g. Draw Conclusions and Recommendations

- i. Providing conclusions based on the particular condition of the project.
- ii. Proposing the project's implementation measurement.
- iii. Provide the additional proposals.

h. Other Requirements: The Consultant is responsible for presenting and providing the clarification for project documents, basic design and investment cost estimated for these infrastructure works as requested by the Client (following the construction appraisal division's requirements). The Consultant is also in charge of revising the detailed design documents as required by the Clients in order to complete the design approval process:

- i. Hand over the measuring marks system and the leveling loop to the Client.
- ii. The number of dossiers handed over to the Client after the project as follow: (a) 5 sets, Geological Survey Reports; 3 sets, First draft of the Basic Design Reports for appraisal; (c) 7 sets, Final basic design reports, revised due to the appraisal recommendations; and (d) the detailed drawings and cost estimated reports.

All the documents revised due to the appraisal's recommendations have to be clearly marked as "approved records number" before submitted to the Client.

- iii. Documentation of appraisal and submission for approval;
- iv. The list of the infrastructure works for the designing: The following list is for reference only and it is subjected to change. The Client will provide the final list of the infrastructure construction works for the Designer consultant. This final list needs to obtain the official approval from the ADB and related Government authorized agencies.
 - a. During the construction period, the consulting firm has to do the function of the Designer supervision as regulated by the Government.
 - b. Outputs: sets of Detailed Outlines of consulting services; Survey Result Report, Detailed design Drawings and supporting reports, Cost Estimates for the Design based on the contract progress.

b. Construction supervision for small-scale infrastructure subprojects (CQS)

186. For each small-scaled infrastructure subprojects, the Construction supervision consulting form will assist the project owner in following government procedures in:

- (i) Checking commencement conditions of constructions as in line with Article 72 of Code of Construction;
- (ii) Checking capacity of constructing firm based on their bidding documents and contract, including, but not limited to: (a) Human resources and construction equipment of contractor; (b) Quality management system of construction contractor; (d) License of machine, equipment and materials with safety requirements; and (e) Lab and units producing materials, outriggers, products for construction used by the contractor.
- (iii) Checking and supervising quality of materials, equipment to be installed provided by the contractor at request of design, including: Manufacturers' CQ, test results from standard labs and equipment's quality test results certified by state bodies who are authorized to certify the quality of materials, parts, construction products, equipment before construction and installation;
- (iv) Check the materials and equipment installed by the Contractor.
- (v) Monitoring and ensuring the constructing firm implement all safeguards mitigation measures specified in the bidding documents and contract, in accordance with the overall Project and subprojects safeguard documents.
- (vi) Providing supervision during construction, including: (a) Construction methods implemented by the Contractor; (b) Regular and systematic supervision of the contractor's on-site implementation, and recorded in monitoring logs or minutes

as regulated; (c) Verify as-built drawings; (d) Acceptance of construction as complied with Article 23 of Decree 209; (e) Consolidate and check documents for acceptance check of construction, parts of construction, construction period, equipment upon completion; (f) Identify errors and misleading on design for revisions or for request design by the contractor to revise accordingly; (g) Recheck quality of construction parts, construction items and construction works if any suspect detected.

187. The Construction Supervision Consultant shall be in charge of the following tasks:
 - (i) Accept constructions in compliance with the approved design, standards of construction and quality;
 - (ii) Request construction firm to comply with their contracts;
 - (iii) Reserve consultant's opinions on their supervision;
 - (iv) Decline unjustified requirement of stakeholders; and
 - (v) Other rights as stipulated by laws.
188. The obligations of the Construction Supervision Consultant are as follow:
 - (i) Supervise constructions in compliance with current regulations, respect and facilitate Community Supervision Board to undertake their supervision regulations following Decision 80/2005/QD-TTg dated 14/5/2005 by Prime Minister;
 - (ii) Decline to check and accept unsatisfactory constructions quality and technical requirements as identified in their design;
 - (iii) Decline to accept unqualified constructions;
 - (iv) Report unreasonable points of design to the project's owner for timely revisions;
 - (v) Purchase Professional Liability Insurance;
 - (vi) Do not collude with construction contractor, project owner, community supervision board, author supervision and other violations causing misleading on supervision results;
 - (vii) Compensate for misleading on supervision results of unqualified constructions without announcements to project's owner and competent agencies, and other violation causing damage due to their faults; and
 - (viii) Other responsibility stipulated by laws.

c. External Monitoring Organization (EMO) (CQS)

189. External Monitoring Organization (EMO)/Consulting Firm to conduct baseline survey and periodic project progress and performance monitoring, in particular the tasks to be undertaken include (i) planning; (ii) baseline survey; and (iii) implementation to attain (a) performance monitoring results; (b) compliance monitoring results; and (c) impact monitoring results.
190. **Scope of work.** External Monitoring Organization (EMO)/ Consulting Firm will undertake their assignment in Hanoi and three targeted provinces Quang Nam, Quang Tri, and Thua Thien Hue, six districts and 35 treatment communes. Three control communes will be included in those provinces.
191. As mentioned above, the BCC monitoring and evaluation system includes the design and monitoring framework, database, and its monitoring & evaluation guidelines. The M&E system consists of an indicator set to measure the project performance, compliance, and impact results. EMO/Consulting Firm will collect information and data in

line with the designed indicator set, import the collected data into project database, collate and analyze the data, and write the external monitoring and evaluation reports for the project.

192. The performance, compliance and impact reviews/assessment/evaluation will take place at the end of each year and end of project. The information and findings of reviews/assessment/evaluation will be included in the external monitoring and evaluation reports.
193. This assignment will take place every six months (including the baseline survey, mid-year data collection, information and data for annual reviews, and end of project evaluation). The baseline survey has been tentatively planned to undertake in July 2015, while the annual reviews tentatively planned around the end of 2016 and 2017 respectively, and the end of project review at the end of 2018.
194. The EMO/Consulting Firm will conduct an initial baseline survey, periodic project progress, compliance and performance monitoring, and impact evaluation to enable to monitor and report on all project activities, expenditures, and progress towards achieving the project impact, outcomes, and outputs (as per performance target indicators), in particulars:

Table 9. Terms of Reference of External Monitoring Organization

	Main Tasks	Descriptions of the tasks	Expected outputs	Tentative deadline
1	Planning period	<p>In the planning period, the EMO will need to examine the project Design and Monitoring Framework (targets, indicator set, sources of verification, and risks and assumptions), M&E database and guidelines, and other relevant documents if any.</p> <p>Define a workplan for the term of contract to reflect needs into delivery of required tasks, as defined below. This work plan should be in place prior to all other activities related to the terms of reference herein.</p>	<p>Output #1: <u>Detailed workplan reflecting timeframe for the consultancy, and defining milestones (outputs) as required under the various items below.</u></p> <p><i>The workplan must present estimated timeframes for each milestone output, ensure that all aspects and data needs are covered, and determine any data gaps if any to ensure that gaps are addressed during the assignment planning period.</i></p>	<i>The deadline for submission of Draft Workplan is due on 15/10/ 2015</i>
2	Baseline survey	<p>The EMO will collect, analyze, and assess current baseline data related to socio-economic status, forest status, and biodiversity within the project area in line with the project performance indicator set.</p> <p>The EMO will use the project designed tools to collect both qualitative and quantitative data for feeding into the project database – these comprising the first values of the project performance indicators system.</p> <p>After data collection, the EMO will:</p> <p>(a) Clean data and check consistence, accuracy, and credibility before entry; (b) Import collected data into project database,</p>	<p>Output #2a: <u>Project database</u> has been imported the baseline data in line with project performance indicator system</p> <p>Output #2b: <u>Baseline Survey Report</u> (2015), comprising a comprehensive set of baseline values to serve as benchmarks for comparison towards project progress and performance during its lifetime, and impact at end of the project and after project implementation.</p>	Output # 2a imported baseline data and Output # 2b Draft Baseline Survey Report are required to submit on 30/12/2015

	Main Tasks	Descriptions of the tasks	Expected outputs	Tentative deadline
		<p>which will have been integrated into a MapInfo or ArcView geographical information software;</p> <p>(c) Develop a project data system in line with the performance indicator set;</p> <p>(d) Analyze data and information, and (e) Produce the baseline report, with baseline datasets in easily understood tables and annexes.</p>		
3	Implementation of Monitoring and Evaluation	<p>The EMO is to put the project M&E system into operation. Other than undertaking the baseline survey, the EMO will conduct external periodic progress and performance monitoring on a semester basis (every six months). In particular, the EMO will carry out the following tasks:</p> <p>(i) Mid-year data collections/reviews for 2016, 2017, 2018;</p> <p>(ii) Project Annual Reviews for 2016 and 2017; and</p> <p>(iii) End of Project Evaluation in 2018.</p> <p>Mid-year data collections will gather mostly quantitative data following the project performance indicator set.</p> <p>Annual Reviews and End of Project Evaluation will gather both quantitative and qualitative data, and household surveys.</p> <p>After completion of data collection and entry into database, EMO will analyse the collected data (quantitative, and/or qualitative / household survey) and produce the reports to Project Management Units (CPMU/PPMUs).</p> <p>Three types of performance monitoring, compliance (including social and environmental safeguards), and impact monitoring and evaluation will be integrated in the implementation of project monitoring and evaluation activities. See more details below.</p>	<p>Output #3a: <u>Update the project database on the basis of periodic collections, including semi-annual and annual reviews, and end of project evaluation, in line with the project indicator system.</u></p> <p>Output #3b: <i>The EMO will produce Mid-year Results and Performance Monitoring Reports from collections in each of 2016, 2017 and 2018.</i></p> <p><u>Note:</u> <i>Mid-year Reports report on project progress in achieving defined performance target indicators, main outcomes, and impact monitoring.</i></p> <p>Output #3c: <i>The EMO will produce Project Annual Review Reports for 2016 and 2017, and an End of Project Evaluation Report in 2018.</i></p> <p><u>Note:</u> <i>These reports will highlight project achievements and impact on the livelihoods of participating households (including income), gender and ethnic minority mainstreaming, forest progress status, watershed function, biodiversity richness and other.</i></p> <p><i>The EMO will ensure that the monitoring and evaluation reports are concise and provide clear and sufficient information to help 'project management units' (CPMU, PPMUs, DPIUs, CPIUs) make the management decisions to improve project progress and impact.</i></p>	<p>Output # 3a: <i>The database update should be submitted accompanying the respective reports of outputs # 3b and 3c below.</i></p> <p>The deadline for submission of Output # 3b Draft mid-year Results and Performance Monitoring Reports will be on 30/07 of each year of 2016, 2017 and 2018.</p> <p>Output #3c: <i>Draft Annual Review Reports for 2016 and 2017, and an End of Project Evaluation Draft Report in 2018 will be submitted on 30/12 of each year of 2016, 2017 and 2018.</i></p>
3a	Performance monitoring	Measurement and assessment of project progress and performance every six months, in particular to	<i>These outputs are integrated in above outputs #3b and 3c.</i>	<i>See the deadlines of above outputs # 3b and 3c</i>

	Main Tasks	Descriptions of the tasks	Expected outputs	Tentative deadline
		monitor and evaluate: (i) Project implementation achievements, outcomes, impacts;(ii) Project implementation progress against overall schedules and defined milestones, and (iii) Project progress (both activities and expenditures) towards achieving the project's programmed outputs.		
3b	Compliance monitoring	<p>This is an assessment of project compliances with loan covenants and Aid Memoires, conducted by ADB officers during periodical review missions to the project site.</p> <p>However, the EMO will yearly carry out external assessments of project compliances with loan covenants and Aid Memoires, government rules and regulations in project management, financial and procurement management, environmental and biodiversity aspects, social and gender, and project procedures, norms, and criteria.</p> <p>While conducting data collection for project compliance monitoring, the EMO will need to spot risks/ issues (e.g. compliance, safeguards, finance/ procurement, social issues, reputation etc.), and report to CPMU/PPMU for response/adjustments to mitigate risks for the project.</p>	<i>These outputs are integrated in above output #3c.</i>	<i>See the deadlines of above outputs # 3c</i>
3c	Impact monitoring and evaluation	Impact monitoring and evaluation will include following five criteria: Project (i) relevance ⁹ , (ii) impact ¹⁰ , (iii) effectiveness ¹¹ , (iv) efficiency ¹² , (v) sustainability ¹³ .	<i>Impact monitoring outputs are integrated in above output #3b, while impact evaluation outputs are within above output #3c – End of</i>	<i>See the deadlines of above outputs # 3b and 3c</i>

⁹ Relevance is measured by assessing the correspondence of project objectives and programmed outputs with beneficiaries' priority needs and whether relevance to strategy and policy of donor and government.

¹⁰ Impact: *With impact monitoring aspect*, impact criteria concerns whether the project has achieved the defined impact indicators stated in the Designed and Monitoring Framework *while with impact evaluation* it would assess the totality of the effects/consequences of a project, positive and negative, intended and unintended.

¹¹ Effectiveness: *With impact monitoring aspect*, effectiveness is measured by the extent of project outcomes/outputs to be attained (or likely to be) achieved, and in what level through the periodically measuring project outcome/output indicators to see the progress towards the project objectives. *While effectiveness in impact evaluation* concerns the extent to which a project has achieved/produced desired results (achievements) towards its objectives.

¹² Efficiency: *With impact monitoring*, efficiency concerns the relation between the results and means, i.e whether the quantity and quality of results achieved justify the quantity and quality of means used. Efficiency is monitored using the cost-based indicators (e.g the cost per forest mapping ha, etc), and/or performance-based indicators, e.g the time used for the specific task. *With impact evaluation*, efficiency would assess the extent to which the costs of a project can be justified by its results (cost-benefit assessment), and/or achieving maximum productivity with minimum wasted effort or expense (cost-effectiveness assessment).

¹³ Sustainability concerns to the continuation or longevity of positive effects/ benefits from a project after the cessation of development assistance.

	Main Tasks	Descriptions of the tasks	Expected outputs	Tentative deadline
			<i>Project Evaluation Report in 2018.</i>	
4	Annual review workshop to disseminate findings	The CPMU/PPMU will organize regular annual review workshops, where the EMO will participate to disseminate the external M&E findings.	<i>Output #4: <u>Presentations on Annual Workshops</u> to disseminate the external M&E findings</i>	

6. Additional Consultants at MTR

195. Additional consultant requirements were identified and agreed during the Mid Term Review. These involve additional inputs for (i) Direct Hire Consultants; (ii) Direct Hire staff positions; and (iii) positions to be recruited as part of the LIC team following a LIC contract variation.

a. Direct Hire Consultants

196. **LUP and site mapping consultant (12pm national).** The LUP & Forest Site Mapping Expert will undertake specific tasks assigned and conduct project activities, comprising the following activities: (i) Providing specific guidance on the implementation of LUP and support PPMUs performing LUP activities which were implemented but unqualified and have not met requirements; (ii) Conducting an assessment of secondary data sets on provincial priorities on reforestation activities, and soil information; (iii) conducting an assessment of the biological and ecological characteristics and eco-zones for tree species in the corridor landscapes; and (iv) Identifying the key factors of the site-species match suitable for each forest stand to be managed by households or household groups. During the field assessment, he/she should liaise on his/her field activities to the Provincial Project Coordinator at each PPMU respectively.

197. Specific tasks of LUP and site mapping consultant as follow:

- (i) Liaise with the Central Project Implementation Unit (CPMU) and the Loan Implementation Consultants (LIC) to discuss the assessment methodology, logistics and report content.
- (ii) Provide guidance on the application of a guideline on implementing LUP integrated with biodiversity corridors under BCC project.
- (iii) Conduct an assessment on LUP products of 3 pilot communes in 3 provinces as required in LUP guideline issued by the project.
- (iv) Update the LUP guideline after assessing 3 pilot LUP products.
- (v) Support PPMUs completing LUP products of 35 communes (including current land use maps, planning maps, planning descriptions, databases).
- (vi) Conduct an assessment of state and sector orientation on the planning of species distribution area in the three target provinces.
- (vii) Conduct an assessment of parent material and soil groups in the project regions.
- (viii) Conduct a field assessment of soil layers, including soil depth and stone mixture and vegetation indicators.
- (ix) Develop guidelines for site mapping survey and tree species selection for afforestation.
- (x) Conduct trainings on LUP and site mapping survey for project staff and project's stakeholders.
- (xi) Support PPMUs and DPIUs in preparing detailed LUP and site-mapping survey plans for project areas.

(xii) Supervise the implementation of site mapping survey and participate in site mapping appraisal.

(xiii) Cooperate with LIC to appraise LUP and site mapping results of communes as requested by PPMUs.

(a)

198. Requirements and Qualifications as follow:

(i) University Degree preferably in soil science, forestry or related field;

(ii) At least 12 years' experience in working in forestry field and its activities;

(iii) At least 7 years specifically working in site mapping for reforestation, particularly on site mapping assignments for KfW Projects, ADB projects

(iv) Good facilitation skills;

(v) Good computer skills (e.g. Microsoft Word, Excel, Powerpoint);

(vi) Experience with working with local authorities, local communities, and relevant agencies, be highly motivated, have good health to work in remote, arduous working conditions; and

(vii) Be active, responsible, and sociable in working.

(b)

199. **External Monitoring Entity - Social Safeguards (6pm, Intermittent, until 31 March 2019)** The Biodiversity Corridors Conservation Project and the additional financing may entail impacts on ethnic minorities and involuntary resettlement. In accordance with the ADB-approved Ethnic Minorities Development Framework (EMDF) and Resettlement Framework (RF), the services of an external monitoring entity are required to:

(i) Propose and provide an effective tool for assessing implementation of social safeguards;

(ii) Determine if the project is implemented in accordance with the EMDF and RF;

(iii) Verify the findings of internal monitoring and evaluation;

(iv) Conduct independent and periodic monitoring of implementation of social safeguards; and

(v) Evaluate if the objectives of approved frameworks are being/have been met, i.e., affected persons' living standards are at par with their pre-project conditions and Indigenous Peoples' rights are upheld.

200. The external monitoring entity is tasked with the following:

(i) Assess whether ethnic minorities plans and resettlement plans have been prepared in accordance with the approved EMDF and RF, respectively, and provide recommendations to fill in gaps;

(ii) Propose and carry out the mechanism for determining the effectiveness of the implementation of the EMDF, RF, ethnic minorities plans, and resettlement plans including but not limited to:

a. Defining the monitoring system and the monitoring cycle to be followed;

b. Preparing and applying gender disaggregated monitoring indicators and impact indicators;

c. Developing and maintaining a monitoring and evaluation database;

d. Proposing and applying standardized monitoring and evaluation checklists;

e. Determining the effectiveness of institutional arrangements and grievance redress mechanism.

(iii) Provide timely advise to project management on ways to improve implementation of EMDF, RF, ethnic minorities plans, and resettlement plans;

- (iv) Verify internal monitoring reports through field visits and interviews with affected persons, ethnic groups, and other stakeholders;
 - (v) Conduct independent and periodic monitoring of the progress of implementation of EMDF, RF, ethnic minorities plans, and resettlement plans;
 - (vi) Document changes in income and living standards among affected persons;
 - (vii) Document changes in living conditions, cultural practices, and communal ways of life among ethnic minorities;
 - (viii) Verify land donations, if any;
 - (ix) Report on the grievances and concerns of ethnic and affected persons;
 - (x) Advise on the need for corrective action plans, if warranted;
 - (xi) Submit quarterly reports which includes discussion of all the above;
 - (xii) Assess whether affected persons' living standards have been restored or improved by comparing post-resettlement with baseline socio-economic conditions;
 - (xiii) Assess whether IPs received culturally appropriate project benefits, and whether adverse impacts on them were successfully mitigated;
 - (xiv) Prepare evaluation report based on (xii) and (xiii); and
 - (xv) Others as required or agreed upon during engagement of the external monitoring organization.
201. The deliverables of the external monitoring entity are as follow:
- (i) Inception report;
 - (ii) Quarterly progress reports; and
 - (iii) Evaluation report.
202. **External Monitoring Entity - Environmental Safeguards (3 pm, Intermittent, from mobilization expected in 2015 to 2019).** In addition to the services provided by the environmental safeguards specialist (consultant) to the Biodiversity Corridors Conservation Project, the Loan covenants require independent monitoring on the safeguards to ensure that all recommendations and mitigation measures under the Environmental Assessment and Review Framework of the Project are being implemented.
203. One consultant will be required for the Project, to be recruited by the Central Project Management Unit (CPMU) following ADB individual consultant selection (ICS) procedure in conformity with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).
204. The consultant will provide the environmental safeguard monitoring services for the infrastructure subprojects under output 3, which is expected to commence in 2015. No category A subprojects will be selected. The consultant will focus on assessing progress and compliance with the Environmental Monitoring Plans (EMPs) under the Initial Environmental Examinations (IEEs) of the subprojects, thereby identifying constraints and developing remedial actions to effectively address theses.
205. Key responsibilities of the consultant include:
- (i) Review the EARF and the feasibility study reports, IEEs including the EMPs where available of all relevant subprojects under the Project for familiarization of environmental monitoring requirements.
 - (ii) Develop a monitoring and assessment plan. Based on the IEEs, the consultant will

- develop a monitoring and assessment plan responding to the scope of works outlined in these terms of reference, including the detailed field survey plan where necessary.
- (iii) Conduct the field monitoring surveys according to the monitoring and assessment plan.
 - (iv) Prepare the quarterly monitoring reports, which include the results and assessment on the EMPs, and recommendations for any organizational or methodological improvements where applicable.
- (c)
206. Deliverables of the environmental safeguard monitoring services by the consultant include:
- (i) A monitoring and assessment plan responding to the scope of works outlined in these terms of reference including the detailed field survey plan for each mission. Four missions per year will be conducted. All category B subprojects will be monitored twice during construction, and at least 20 per cent of all category C subprojects will be monitored once during construction.
 - (ii) Draft quarterly monitoring report submitted to the CPMU. Hard copies of the reports must be accompanied with soft copies.
 - (iii) Final quarterly monitoring report based on the CPMU comments. Hard copies of the reports must be accompanied with soft copies.

b. Direct Hire Staff Positions at DPIUs

207. **District Project Coordinator (full time)** Coordinator will be recruited by DPIU, with concurrence by PPMU. He/she will be under direct supervision by the DPIU Director, with technical guidance by PPMU Coordinator. He/she will collaborate with project technical staff and Loan Implementation Consultant (LIC) team.

District Project Coordinator is responsible for managing and assigning tasks to group of DPIU's technical staff to implement assigned project activities and all other procedures, tasks related in province. Working period from July 2015 until end of the project in 2019.

(i) **Major responsibilities:**

Planning and programming work

- Collaborate with Commune Project Implementation Units (CPIUs) and PPMU in preparation of DPIU's annual project plan, simultaneously help allocate project plan to project communes from approved annual project plan.
- Preparation of DPIU's weekly and monthly work plan to send to PPMU.
- Make plans for implementation of, then submit for verification and approval of project activities such as technical design, technical trainings, workshops, reforestation; forest plantation maintenance and its acceptance check; payment etc. so that the requirement in terms of quantity, quality and progress of project activity implementation is met.

Management of DPIUs staff

- Ensure that members of DPIU's technical group of technicians are assigned to their specialized field of work; they understand and carry out their task/duty.
- Assign and evaluate the result of work of DPIU's technical group, and of each group member also.

- Assist the DPIU Director for any other tasks related to the BCC Project

Finance

- Cost estimates for the implementation of project activities assigned to DPIU as planned monthly and quarterly.
- Work closely with DPIU's accountants to ensure DPIU always have sufficient funds for the implementation of activities within a plan periods above.

Monitoring and evaluation

- Keep abreast to the current progress of task performance to capture the result, progress, difficulties and obstacles etc. which are regarded as the basis for proposing respective solutions as well as for right decision making by project leaders.
- Preparation and submission of DPIU's periodic work plan as well as work plan of technical project staff to project management bodies involved.
- Prepare and submit reports on time.

Networking

- Keep smooth communication with project managers at both central and local level, with Loan Implementation Consultants (LIC), project contractors, quickly and timely provide project information to project management bodies when required.
- Collaborate with CPIU's officials, project village officials (the village head) to implement timely and efficiently project activities.
- Contact the staff form relevant departments of the District People's Committee (DPC) and Province People's Committee (PPC) and with other related projects in project area to support the implementation of BCC's project activities.

Task fulfillment is demonstrated through:

- DPIU's project activities are periodically planned for implementation, are timely carried out, coordinated reasonably and are ensured not be stagnant.
- The process of implementation of project activities are tracked, monitored, evaluated as having sufficient quantity, good quality, right progress as expected, is reported as required. Project results are recorded and documented systematically.

(ii) Requirements and Qualification:

- The graduate of Forest University, faculty of forestry or equivalent degree.
- Having attended training courses such as community development, gender equality, development of ethnic minorities etc.
- Working experience in programs or projects of forest protection and development, especially in the loan projects of the same field.
- Experience in working with communities, especially ethnic minority in mountainous areas.
- Proficiency in computer software's of Microsoft Word, Excel, Power Point, Internet.
- Have ability to read and understand English.
- Have logical and strategic thinking, management skills.
- Efficient working in group and good teamwork.
- Working professionally independent, proactively and have decision-making skill.
- Dedicate for the common interest, have good health and is consistent to undertake field work on difficult mountainous project areas, with less favorable weather traffic condition.
- Commit to working stably to the end of project time.

208. **Community Forest Management focal point.** The Community Forest Management (CFM) focal point will be placed at the District Project Implementation Unit (DPIU), as a full-time technical resource individual to support the carry out of project CFM-related activities. The focal point individual will work in close liaison with CFM project consultants. A summary of major responsibilities and qualifications are presented below.

(i) **Major responsibilities:**

- a. Brief project participants on goals/ objectives, mechanisms, components, tasks, benefits, and policy of the BCC Project.
- b. Coordinate and assist CFM consultants in establishing demonstration models of CFM, and then help replicate successful models in the locality.
- c. Prepare, and together with CFM consultants, facilitate organization of training courses on CFM (outdoor and indoor activities), and conduct study tours for communities and relevant District and Commune Peoples Committee officials (if and as required).
- d. With assistance and guidance by CFM consultants, develop forest protection and development regulations, guidelines for survey and assessment of forest resources, CFM five-year forest management plans, and CFM annual operational plans.
- e. Closely and periodically supervise sites of CFM models as required by the project management unit (PMU); participate in meetings with villagers to consult with community together with village CFM unit (if required).
- f. Coordinate on CFM related activities, closely with CFM consultants, PMUs at all levels, and relevant district and provincial-level departments, such as the forestry, forest protection, agriculture and rural development, environment and natural resources, commune cadastre officer, and other.
- g. Regularly seek updates on government orientation, policies, regulations related to CFM activities and disseminate these amongst participating CFM communities, helping to address obstacles and difficulties related to CFM as needed
- h. Continuously update information on market of forestry products in order to provide such updated information to villagers in an effort to promote adequate trade in forestry products from community forest areas. Assist involved communities to collect information related to forestry production and markets as needed.
- i. On a monthly basis, synthesize and assess the results of field implementation activities, including advantages, difficulties, strength, weakness. Periodical reports should include proposed solutions for upcoming activities to ensure sustainability of CFM models. Reporting formats will be provided for this reporting task.

(ii) **Qualifications:**

- a. Bachelor degree in forestry with at least three years experience.
- b. Strong interest in CFM activities, and good attitude and view towards local communities.
- c. Good communication skills with communities, ethnic minorities' language is preferred.
- d. Have ability to organize and work well with teams of individuals of mixed capacities.
- e. Strong sense of responsibility, good health, willing to follow-up at project sites
- f. Proficient in accessing internet, using email, Microsoft Word and Excel.
- g. Candidates who can use GPS and work with digital maps are preferred.

209. **Forest Restoration focal point.** The Forest Restoration (FRE) focal point will be placed at the District Project Implementation Unit (DPIU), as a full-time technical resource individual to support the carry out of project forest restoration-related activities. The focal point individual will work in close liaison with project consultants. A summary of major responsibilities and qualifications are presented below.

(i) Major responsibilities:

- a. Brief project participants on goals/ objectives, mechanisms, components, tasks, benefits, and policy of the BCC Project.
- b. Coordinate and assist the land use planning consultant, forestry consultant in community/ village land use planning (PLUP), and activities on site matching for afforestation, forestland allocation, and monitoring of plantation design.
- c. Help establish and strengthen cooperation between the project and target villages and communes, including neighboring ones in terms of land use planning in the landscape.
- d. Guide and co-ordinate participating households for planning and implementation of afforestation, forest enrichment, natural regeneration, and forest management, including tending and protection.
- e. Provide advice and facilitate tree seedling production in accordance to advise, guidance, and requests of nursery owners.
- f. Monitor tree seedling production on the basis of project guidelines on seedlings and nursery quality standards.
- g. Organize and carry out acceptance checks for forest plantation establishment, enrichment planting, and natural regeneration tending and protection activities.
- h. Work on the transfer of forestry technologies in planting, tending, and protection to participating farmer groups and households, in line with project guidelines.
- i. Participate in preparation of basic technical forestry extension materials for participating project households.
- j. Participate, as a resource person, in management and technical training courses organized by the project, and prepare training proposals for training of farmers.
- k. Synthesize results and basic financial and cost/ benefit information, and regularly report on project implementation in responsible areas to the DPIU. Reporting formats will be provided for this reporting task.

(ii) Qualifications:

- a. Bachelor degree in forestry from a university or college.
- b. Preferably three years of experience in relevant forestry activities.
- c. Strong interest in forestry and good attitude and view towards local communities.
- d. Good communication skills with communities, ethnic minorities' language is preferred.
- e. Have ability to organize and work well with teams of individuals of mixed capacities.
- f. Strong sense of responsibility, good health, willing to follow-up at project sites
- g. Proficient in access to internet, using email, Microsoft Word and Excel.
- h. Candidates who can use GPS and work with digital maps are preferred.

210. **Community Development Funds focal point.** The Community Development Funds (CDF) focal point will be placed at the District Project Implementation Unit (DPIU), as a full-time technical resource individual to support the carry out of project CDF-related activities. The focal point individual will work in close liaison with project consultants. A summary of major responsibilities and qualifications are presented below.

(i) Major responsibilities:

- a. Brief project participants on goals/ objectives, mechanisms, components, tasks, benefits, and policy of the BCC Project.

- b. Coordinate with CDF consultants, and in line with project guidelines support CDF management units prepare annual plans, reviewing them before submitting for approval.
- c. Provide assistance to CDF management units in the use and management of CDF funds, and monitor CDF management units as instructed by project guidelines.
- d. Ensure that CDF accounting books are opened, and that records are maintained in compliance with project relevant guidelines and regulations.
- e. Identify needs for strengthening the capacity of CDF management units, and in liaison with project consultants organize trainings on saving and loans to relevant stakeholders.
- f. Communicate with stakeholder communities CDF benefits and procedures, identifying needs, drawing lessons, and recording experiences related to CDF implementation.
- g. Synthesize reports (financial and operational) of all corresponding district CDF management units, for submission to DPIU and PPMU, as regulated.
- h. Monitor and evaluate CDF implementation in the corresponding district, collecting and reporting all issues arising from to the DPIU and PPMU. Reporting formats will be provided for this reporting task.

(ii) Qualifications:

- a. College degree in finance, accounting, economy, rural development or relevant fields.
- b. At least three years of experience in community/ rural development, and working knowledge in participatory planning.
- c. Candidates who have a previous experience in micro-finance/rural finance are preferred.
- d. Strong interest in savings and loans and good attitude towards local communities.
- e. Good communication skills with communities, ethnic minorities' language is preferred.
- f. Have ability to organize and work well with teams of individuals of mixed capacities.
- g. Strong sense of responsibility, good health, willing to follow-up at project sites.
- h. Proficient in access to internet, using email, Microsoft Word and Excel.

211. **Livelihoods Development focal point.** The Livelihoods Development (FDE) focal point will be placed at the District Project Implementation Unit (DPIU), as a full-time technical resource individual to support the carry out of project livelihoods development-related activities. The focal point individual will work in close liaison with project consultants. A summary of major responsibilities and qualifications are presented below.

(i) Major Responsibilities:

- a. Brief project participants on goals/ objectives, mechanisms, components, tasks, benefits, and policy of the BCC Project.
- b. Coordinate and assist the agricultural extension consultant and marketing/ business development consultant to establish, monitor, and replicate agricultural and forest livelihood demonstration models for the purpose of improving local livelihoods.
- c. Participate in developing quarterly and annual work plans that relate to the project livelihoods development activities at the district level.

- d. Guide farmers on the application of advanced technologies in agriculture and forestry production (under the livelihoods aspect), through a program of training of trainers (preferably key farmers) and capacity building.
- e. In liaison with the project business development consultant, define value chains and prospective markets, and encourage the production of agriculture and forestry products that present a good trade potential.
- f. Continuously update information on market of agriculture and forestry products in order to provide such updated information to villagers in an effort to promote adequate trade in such products. Assist involved communities to collect information related to agriculture and forestry production, trade, and markets as needed.
- g. Monitor and evaluate implementation of activities related to livelihood development (agriculture and forestry) in project communes, and propose needed solutions to DPIU and PPMU.
- h. On a monthly basis, synthesize and assess the results of field implementation activities, including advantages, difficulties, strength, and weakness. Periodical reports should include proposed solutions for upcoming activities to ensure sustainability of CFM models. Reporting formats will be provided for this reporting task.

(ii) Qualifications:

- a. College degree in agriculture, economy, or relevant fields.
- b. At least three years of experience in related rural development activities.
- c. Candidates who have a previous experience in livelihood development are preferred.
- d. Have a good and suitable attitudes and views towards local communities.
- e. Good communication skills with communities, ethnic minorities' language is preferred.
- f. Have ability to organize and work well with teams of individuals of mixed capacities.
- g. Strong sense of responsibility, good health, willing to follow-up at project sites.
- h. Proficient in accessing internet, using email, Microsoft Word and Excel.

212. **District Accountant(s)-(60 pm national x 6 districts).** The District Accountant should meet the required criteria of the accountant stipulated in the Accounting Law, which is to have a degree in accounting or auditing or finance, have adequate practical experience in projects funded by external funding agencies, proficiency in computer use and MS-Excel Spreadsheets, capable of reading and writing in English.

213. The District Accountant will responsible the financial and accounting works in the DPIUs, and will:

(i) General Duties:

- a. Prepare the internal expenditure regulations and procedures within DPIU, and get it approved by DPIU Director.
- b. Assure that all financial transactions are accurately and timely recorded in project accounts in accordance with the Government regulations.
- c. Assure contract management recording.
- d. Assure that all expenditures of project for contract payments are carried out according to provisions and conditions of the contract.
- e. Keep all vouchers and financial book according to the Government regulations.

- f. Check that all accounting form is correctly filled in before they are submitted to the Director of DPIU and Chief Accountant for signature.
- g. Prepare withdrawal applications together with the relevant supporting documentation including Statement of Expenditures and send to PPMU for replenishment to sub-account.
- h. Obtain district treasury expenditure verification for each payment.
 - i. Enter data into computerized accounting system.
 - j. Ensure the security of all project financial documents with no original documents permitted to be taken away from the office.
 - k. Work with the project's external auditor.
 - l. Carry out budget preparation and revisions as requested by the DPIU Director.
 - m. Assist the DPIU Director and Chief Accountant in preparation of budget monitoring and control.
 - n. Maintain the Assets Register of the DPIU Office, and make periodical checks of the physical presence and state of asset.
 - o. Advise the DPIU Director and Chief Accountant in time about problems relevant to Project financial management.
- (ii) Monthly Duties:**
 - a. Supervise the closing of accounts, including reconciliation of bank accounts.
 - b. Prepare the monthly/quarterly financial reports to DPC and PPMU.
 - c. Carry out the monthly budget control and prepare the monthly contract management reports.
 - d. Scrutinize all outstanding advances, and other debtors, and report any deviation from agreements to the DPIU Director and Chief Accountant.
 - e. Carry out the monthly reconciliation of DPIU accounts with PPMU accounts.
- (iii) Annual Duties:**
 - a. Supervise the closing of accounts.
 - b. Make necessary year-end adjustments, and supervise the transfer of opening accounts balances to next year.
 - c. Work with the external auditor regarding annual audit according to the audit agreement.
 - d. Prepare annual accounts reports.
 - e. Prepare annual budgets in connection with the preparation of annual project implementation plans.

c. Loan Implementation Consultant Contract Variation

214. During MTR a total of 8 additional specialists for 108 person months of input were added to the LIC contract.

Table 10: Additional LIC Specialists

Specialist	Person Months
Commune forestry (additional input)	12
Commune forestry new position	24
Provincial Procurement support	36
Work planning and Project management	6
Communication and Awareness Expert	24
Financial and Management Accounting System Design	6

Specialist	Person Months
Total	108

i. **Community Forestry Experts (1 new 24pm, 1 existing with 12 pm)**

215. **Expertise.** The specialists will have a detailed knowledge of natural forest management with an undergraduate degree in forestry or forest conservation subjects. The position will require past experience in community participation, the forest sector and natural resource management with extensive periods of time in field based activities. Detailed knowledge and ideally experience with the issues related to Community forest management including local institutional development, forest inventory, forest management regulations and harvest planning are essential prerequisites.
216. **Reporting.** The position will report to the Director of the CPMU of the BCC Project and the Loan Implementation Consultants Team Leader.
217. **Duration of contract.** Contract duration is 24 person months.
218. **Timing.** Mobilization should occur prior to the first quarter 2015.
219. The National Expert Community Forest Management expert will provide support for the implementation of the project's CFM concept in the pilot areas of Quang Tri, Thua Thien Hue, and Quang Nam covering an area of at least 10,000ha. The specialist will be responsible for tasks related to:
- (i) participatory land use planning, forest resource inventory (in line with the specifications of MARD Circular No. 38/2007/TT-BNN);
 - (ii) development of forest protection and development regulations;
 - (iii) development of village forest management board regulations;
 - (iv) delineation of forest blocks and digital mapping of forest blocks (through application of GPS and MapInfo GIS);
 - (v) elaboration of long-term forest management objectives;
 - (vi) derivation of sustainable forest models (in cooperation with other international or national experts);
 - (vii) development of forest management plans (5-year plans and annual plans);
 - (viii) village forest development fund regulations;
 - (ix) harvesting and timber processing procedures;
 - (x) marketing and sale of forest products through timber auctions (including regular updates of MIS database); and
 - (xi) benefit sharing arrangements.
220. **Duties.** The specialists will be expected to:
- (i) operate mostly at the Provincial level or below (a minimum of 80% of time) with at least 50% of working time spent in the field in close cooperation with the CFM village communities;
 - (ii) participate in meetings and workshops at national, province, district, commune and village level dealing with CFM related matters;
 - (iii) Contribute to the development of the legal framework for CFM in Viet Nam (compile library of all relevant Decrees, Circulars, etc);

- (iv) establish contacts and initiate information exchange with other ODA projects dealing with CFM which may at the request of the project director include the organization of study tours for selected key farmers and project staff;
- (v) develop CFM training materials and carry out training courses for village farmers and project staff (extension staff, technicians of DPMUs and PPMUs), as required;
- (vi) prepare brief work plan on activities and time schedule at the beginning of each month (submit to TL and DTL); and
- (vii) prepare brief report summarizing main achievements at the end of each month (submit to TL and DTL) and translation and interpretation from Vietnamese to English and vice versa during meetings and workshops.

ii. Provincial Procurement Support Specialists (3 positions)

221. **Expertise.** The expert shall have a graduate degree in management administration, project management, financial management or a related field. The candidate will have demonstrable experience in the implementation of Donor procurement programs including procurement planning, work planning, preparation of documentation, oversight of bidding and contracting.
222. **Duration.** Contract duration is 12 person-months for each Provincial position.
223. **Reporting.** The specialist will report to the Provincial Project Director and the LIC team leader.
224. **Duties.** The specialist will be responsible for the following tasks:
- (i) Setup the procurement system following the guidelines of the ADB and relevant government provisions for the procurement of goods and services at provincial and district level;
 - (ii) Assist the project for the preparation of detailed specifications and tender documents for the procurement of goods and services including local shopping, community services contracts;
 - (iii) Set up procurement and contract management system for the project to handle all local shopping procurements of goods and civil works undertaken by provincial Project Implementation Unit (PPIU) and District Project Implementation Unit (DPIU) and for provinces and districts to handle service contracts with communities;
 - (iv) Establish a system of block grants and service contracts or seed capital disbursement to communities for services and investments;
 - (v) Assist Provincial Project Director/Deputy Director in recruiting prequalified institutions, commercial organizations, NGOs or private individuals to provide services for developing proposed subprojects into feasibility studies for consideration for project funding;
 - (vi) Assist the Provincial Project Director/Deputy Director in all procedures relating to recruitment of individual consultant services and procurement of works and goods for the Project, ensuring that both ADB and Government requirements are followed;
 - (vii) Provide on the job training in procurement and contract management to the procurement officer at provincial and district levels and other concerned staff;

- (viii) Prepare the annual Provincial Procurement Plan of the project as required by the Government; and
- (ix) Working closely with National Procurement Specialist for maintain and timely updating the Project Procurement Information system.

iii. Work Planning and Project Management

225. **Expertise.** The candidate shall have a minimum of undergraduate University training in subjects relating to business management and administration and project management. Preferred candidates will have a minimum of 5 years work experience directly in the type of outputs specified below and must have direct experience of working in project management for donor funded projects, ideally ADB funded. Project experience in multiple Province and decentralized implementation units are preferred.
226. **Reporting.** The position will report to the Director of the CPMU of the BCC Project and the Loan Implementation Consultants Team Leader. Significant involvement with PPMU and DPIU management and staff will be required.
227. **Duration of contract.** Six person-months input is expected to be continuous but will be defined by the consultant and the Project Director based on the need to provide training and mentoring support.
228. **Timing.** The consultant will mobilize within 4 weeks of LIC contract variation approval.
229. The consultant is expected to have the following outputs:
- (i) **Output 1:** A draft BCC work planning procedures manual with supporting input formats, output formats, delegated responsibility, approval procedures, timing, and budget forecast linkages for the Project 5-year operating plan and detailed annual work plan.
 - (ii) **Output 2:** A detailed awareness program prepared and implemented for all project staff from CFM, Commune, District, Province and National levels to ensure that all persons are fully aware of the work planning systems, their structure procedures, and responsibilities. The program will be integrated with the wider Project Awareness and Communication Awareness program.
 - (iii) **Output 3:** A consolidated 5-year operating plan and detailed annual work plan for 2015 completed as a result of a training program, including on the job training, at each District, Province and CPMU on the work planning and reporting framework.
 - (iv) **Output 4:** A project management regulation developed with detailed roles and responsibilities of all project participants across levels and relevant sectors, including MONRE, National and Provincial Project Steering Committees, CPMU, PPMUs, Provincial People's Committees, Department of Natural Resources and Environment (DONRE), Department of Agriculture and Rural Development (DARD), District People's Committees, DPIUs, Commune People's Committees, CPIUs, and others. The regulation will be based on the implementation arrangements of Project activities presented in the Project Administration Manual.

Tasks and Activities by Output

230. **Output 1:** A draft BCC work planning procedures manual with supporting input formats, output formats, delegated responsibility, approval procedures, timing, and budget forecast

linkages for the Project 5-year operating plan and detailed annual work plan. The expert shall ensure that:

- (i) Work planning is built from the agreed Mid Term Review's change in scope of the BCC project and the agreed outputs, tasks and activities while also supporting the implementation arrangement specified in the Project Administration Manual as revised during the Mid Term Review.
- (ii) The BCC work planning manual will be structured as a bottom-up planning process built from the targeted BCC communes in each District through to Provincial and National level such that a single coordinated/integrated plan is managed by the CPMU/MONRE.
- (iii) The commune level work plans will be structured by project output, task and activities and will include physical targets and budget cost items, and include a cashflow forecast for each District. Commune level planning will be coordinated by DPIU.
- (iv) The initial work plan will construct a whole of life work plan (2015 to 2019) for each commune to ensure that all stakeholders are aware of the scope of work, linkages between years and the different outputs within the Project. The current planning year will be detailed to enable implementation, budgeting and financial cashflows, and responsibilities to be clearly identified.
- (v) Specific district and provincial level outputs, tasks and activities will be planned accordingly again for a whole of project life timeline for the first work plan.
- (vi) The current planning year within the whole of life work plan will specify physical targets and financial cash flows (as opposed to budget lines) on a quarterly basis to support quarterly reporting that will be modified to include planned versus achieved assessments in all quarterly reports from each implementation unit.
- (vii) Work planning will be used to develop and or modify current reporting systems and outputs to enable project management to assess performance quarterly including both physical progress, procurement achievements, financial cash flow, and disbursement at the level of each activity, task and output by implementation unit.
- (viii) Templates will be developed on MS excel for work plan preparation, and supporting budget and performance monitoring. The templates will need to be consistent in terms of coding and structure to enable aggregation from commune to district to Province to BCC Project. Coding and structure will also need to be linked or integrated with the proposed financial management and control systems that will be developed over a similar time period.
- (ix) Each PPMU and CPMU will provide a work plan for their operation in addition to the plans for delivering outputs and activities that they are responsible for implementing.

231. **Output 2.** A detailed awareness program prepared and implemented for all project staff from CFM, Commune, District, Province and National levels to ensure that all persons are fully aware of the work planning systems, their structure procedures, and responsibilities. The program will be integrated with the wider Project Awareness and Communication Awareness program: the expert shall be responsible for the following activities:

- (i) Propose to the CPMU, PPMU, ADB a plan for conducting a project staff awareness raising plan that also include key implementation stakeholders such as CDF and CFM committee members.

- (ii) Prepare resource materials and course / program elements for implementing the awareness program and conduct a pilot presentation to the CPMU/PPMU's to review and modify.
 - (iii) Work closely with the BCC Awareness and Communication specialist to ensure the awareness program is fully integrated with the wider BCC communication and awareness program.
 - (iv) Implement the approved awareness program with all implementation units, during the program the expert shall conduct a rapid training needs assessment for all DPIU, PPMU, and CPMU units.
 - (v) Assess the impact of the awareness program through a feedback session that records questions and concerns of participants. Provide a summary of these back to the Project Directors in each PPMU and CPMU along with recommended remedial actions.
232. **Output 3.** A consolidated 5-year operating plan and detailed annual work plan for 2015 completed as a result of a training program, including on the job training, at each District, Province and CPMU on the work planning and reporting framework.
- (i) Develop a detailed training program that builds skills in the software templates, the planning procedures, budget and cashflow procedures and also builds familiarity and knowledge of the tools and their use.
 - (ii) Work with the CPMU and PPMU to undertake a trainer of trainers program where at least 1 person from each PPMU and CPMU are trained to deliver the work planning and reporting training program.
 - (iii) Work with the trainers to modify and improve training resources, learn by doing case studies, group discussion sessions for the development of work programs, scheduling etc.
 - (iv) Support the trainers to deliver the training program within each of the implementation units involving a one or two day training course to be completed in advance of the actual planning process with the purpose of developing familiarity and knowledge of the processes, formats, tasks and software tools.
 - (v) Provide mentoring to the trainers during the first round of implementation for the development of the first 5 year rolling work plan and the annual work plan for 2015. During this period the expert will spend the majority of their time in the three Provinces.
 - (vi) Assist the CPMU trainer to present a consolidated Project 5-year operating plan and an annual work plan for 2015, following the manual developed in output 1.
233. **Output 4.** A project management regulation developed with detailed roles and responsibilities of all project participants across levels and relevant sectors, including MONRE, National and Provincial Project Steering Committees, CPMU, PPMUs, Provincial People's Committees, Department of Natural Resources and Environment (DONRE), Department of Agriculture and Rural Development (DARD), District People's Committees, DPIUs, Commune People's Committees, CPIUs, and others. The specialist will undertake the following:
- (i) Complete a review of similar project management regulations as defined by MONRE or DARD.
 - (ii) Review the agreed project management implementation arrangements and responsibilities that were agreed during the Mid Term Review.
 - (iii) Prepare a draft regulation outline and present to the CPMU/EA for comment and agreement.

- (iv) Draft the project management regulation covering implementation arrangements, approval and planning processes circulate to each PPMU and the CPMU to review.
- (v) Incorporate comments and provide a final draft to the CPMU for their submission to the Executing Agency for ratification.
- (vi) The regulation will be based on the implementation arrangements of Project activities presented in the Project Administration Manual.

iv. Communication and Awareness Expert

234. **Expertise.** The candidate shall have University training in subjects relating to communication, public relations, media campaigns. Preferred candidates will have a minimum of 5 years work experience directly in these areas with outputs that they are able to demonstrate to the Project.
235. **Reporting.** The position will report to the Loan Implementation Consultants Team Leader and the Director of the CPMU of the BCC Project.
236. **Duration of contract.** Contract duration is 24 person months continuous.
237. **Reporting.** Project Director of CPMU/MONRE and the team leader of the Loan Implementation Consultants.
238. **Timing.** The specialist will mobilize within 4 weeks of LIC contract addendum approval.
239. The Communication and Awareness expert is expected to deliver the following outputs:
- (i) Draft work plan that defines the problem and proposed vision for the BCC communication strategy.
 - (ii) BCC Communication Strategy as a standalone BCC report including a time bound action plan for implementation specified for all levels of the BCC Project implementation that is approved by the Director CPMU following comments from PPMU, DPIU and LIC stakeholders.
 - (iii) Key staff in all offices with a clear understanding of communication strategy.
 - (iv) Training and awareness seminars presented in all Provinces to communicate the strategy.
 - (v) Media packs to update the media on the BCC project.
 - (vi) An Awareness Campaign Design and Implementation Resources based on BCC themes to be defined during the Strategy development but including:
 - a. Knowledge of Biodiversity Conservation and land scape / ecosystems based approaches to biodiversity conservation.
 - b. BCC Project rationale, outputs and impacts.
 - c. BCC Implementation and governance frameworks.
 - d. PVLUP/CFM.
 - e. Livelihoods support.
 - (vii) Key performance indicators for assessing the awareness campaign implementation progress and impact to be included in (a) the Project M&E and (b) in quarterly reporting.
240. **Tasks and Activities by Output**
241. **Output 1.** Draft work plan that defines the problem and proposed vision for the BCC communication strategy.

242. Key tasks will include:
- (i) Review all project documentation and guidelines.
 - (ii) Hold consultative meetings with the LIC, CPMU, PPMUs and selected DPIUs regarding their needs for a communication and awareness program.
 - (iii) Consolidate a needs analysis and propose options to the CPMU/LIC.
 - (iv) Prepare a final work plan within 4 weeks of contracting submit to Director CPMU and Director PPMU for comment and approval including indicative costs.
243. **Output 2.** BCC communication Strategy with time bound action plan for implementation specified for all levels of the BCC Project implementation that is approved by the Director CPMU following comments from PPMU, DPIU and LIC stakeholders including:
- (i) Key staff in all offices with a clear understanding of communication strategy.
 - (ii) Training and awareness seminars presented in all Provinces to communicate the strategy.
 - (iii) Media packs to update the media on the BCC project
244. Key tasks will include:
- (i) Identify key communication requirements within the BCC project including proposed communication channels, communication techniques and media.
 - (ii) Propose internal communication platforms and identify responsibilities for maintaining these at the different levels of the BCC project management structure.
 - (iii) Propose means where informal communication can be shared within and across project management units.
 - (iv) Propose proforma templates for regular communication.
 - (v) Identify and assess options for communicating with officials and other stakeholders within each Province, Districts, and communes including identifying the demand for such communication.
 - (vi) Consult with the media to identify a BCC communication strategy to inform the media and options for doing so.
 - (vii) Compile an overall BCC communication strategy through a series of Provincial and Project workshops.
 - (viii) Submit a draft BCC communication strategy to the Director of CPMU within 2 months of contracting.
245. **Output 3.** An Awareness Campaign design including supporting resource materials based on BCC themes to be defined during the Strategy development but including:
- (i) Knowledge of Biodiversity Conservation and land scape / ecosystems based approaches to biodiversity conservation.
 - (ii) BCC Project rationale, outputs and impacts.
 - (iii) BCC Implementation and governance frameworks.
 - (iv) PVLUP/CFM.
 - (v) Livelihoods support.
246. Key tasks include:
- (i) During the consultations with Project stakeholders identify the current status of understanding in project management staff and the staff of associated agencies specifically DARD, MONRE, DPI.
 - (ii) Working closely with the CPM and LIC develop a proposed awareness campaign on the BCC project and it key strategic elements for:

- a. project management stakeholders
 - b. associated staff/agencies
 - c. external partners of media representative
 - (iii) Prepare an implementation plan and supporting resource materials including PPT presentations for implementing the awareness plan.
 - (iv) Consolidate the awareness campaign into an overall document and submit to the Director CPMU/TL LIC for approval and implementation.
 - (v) Conduct training of CPMU/PPMU staff and mentor their initial implementation of the awareness programs.
247. **Output 4.** Key performance indicators for assessing the awareness campaign implementation progress and impact. Key Tasks include:
- (i) For the communication and awareness strategies provide a detailed set of indicators that will inform management of implementation progress and will be incorporated into quarterly reports.
 - (ii) Identify indicators and their baselines for inclusion in the Project M&E and PPMS system.
 - (iii) Define an annual report format to be prepared by the PPMUs and CPMU on the performance of the awareness programs and to provide input into future work plans.

v. Financial Management Systems Specialist

248. **Expertise.** The candidate shall have University training in finance or management accounting with a minimum of five years experience in the assessment of financial management systems, their design and implementation. Preferred candidates will have detailed knowledge of donor project financing and public sector financing procedures and requirements. Additional experience in the process for customizing software for management accounting is a distinct advantage.
249. **Reporting.** The position will report to the Loan Implementation Consultants Team Leader and the Director of the CPMU of the BCC Project while working closely with PPMU Directors, and Project financial management staff.
250. **Duration of contract.** Contract duration is 6 person-months continuous.
251. **Reporting.** Project Director of CPMU/MONRE and the team leader of the Loan Implementation Consultants
252. **Timing.** The specialist will mobilize within 4 weeks of LIC contract addendum approval.
253. The Financial Management Systems Specialist is expected to deliver the following outputs:
- (i) **Output 1:** Conduct a Project wide participatory review of financial management and accounting systems to ensure that systems for planning, recording and reporting financial transactions, financial control systems and the input and output systems to operationalize the systems are defined, and coordinated between the district, provincial and national level.
 - (ii) **Output 2:** Design an upgraded software system based on a systems designs process for the total financial management system for BCC with customization of

existing software and financial management systems to be used at all levels of the Project.

- (iii) **Output 3:** Prepare and implement a capacity strengthening based on the revised financial management systems.

Tasks and Activities by Output

254. **Output 1.** Conduct a Project wide participatory review of financial management and accounting systems to ensure systems for work planning and budgeting, recording and reporting financial transactions, financial control systems and the input and output systems to operationalize the systems are defined, and coordinated between the district, provincial and national level. The following tasks will be undertaken:
- (i) Work with the project accounting staff in the CPMU and the Project Director to identify financial reporting requirements.
 - (ii) Hold provincial meetings with financial staff from Provincial, District and Commune levels to define roles and responsibilities and align these to the proposed internal controls and transaction systems agreed during the MTR.
 - (iii) For each of the control functions and systems prepare guidelines and draft procedures with the financial management staff to ensure that data capture, processing and reporting systems are consistent with integration capability across levels of administration and project management.
 - (iv) Review the Provincial project financial management procedures and instructions and assist with the drafting of a financial management operational manual that includes the requirements of the CPMU including templates for all steps of data management and reporting, timelines and deadlines for data reporting and sharing, delegation authority levels.
 - (v) Conduct a workshop to all project financial staff on the proposed draft procedure manual and update for submission to the CPMU for approval.
255. **Output 2.** Contribute to a systems design for upgrading or customizing Project financial management software system based on the financial operational procedures manual for the total financial management system for BCC to be used at all levels of the Project. The following tasks will be undertaken:
- (i) Contribute to a systems audit process involving the CPMU accounting staff, BRAVO software support to assess current capacity and systems to support the Financial management procedures in output 1.
 - (ii) Conduct a GAP analysis through mapping current systems against requirements with set of recommended changes to address all gaps including templating the input and output requirements – these may include excel interfaces.
 - (iii) Review the proposed upgrading program to be supplied to CPMU by BRAVO.
256. **Output 3.** Prepare and implement a capacity strengthening based on the revised financial management systems. The following tasks will be undertaken:
- (i) Provide support to the CPMU to develop a training program for introducing the updated software and systems.
 - (ii) Prepare and implement the training program in phases with phase 1: being an awareness of procedures and software processing and phase 2: being detailed application of systems at District and Provincial levels through supporting a monthly transaction processing and reporting for each Province and District.
 - (iii) Conduct an evaluation of the training and experiences and suggest modifications to the operations manual and fine tuning of software customization.

- (iv) Complete a workshop with Project Management staff – Directors and Deputy Directors to introduce participants to the Project monthly, quarterly and annual financial reports. Provide detailed explanation into the use of monthly progress reports that compare planning and budgets with actual performance and how these reports can be used.

VII. SAFEGUARDS

A. Resettlement

257. **Project Description.** The Project aims to result in climate resilient transboundary biodiversity conservation corridors sustaining livelihoods and investments in Cambodia, Lao PDR, and Viet Nam. It is envisaged that by 2017, the GMS Biodiversity Conservation Corridors are established with supportive policy and regulatory framework in the three countries that maintain ecosystem connectivity and services. The project has five components, (i) Institutional and community strengthening; (ii) Biodiversity corridors restoration, ecosystem services protection, and sustainable management by local resource managers; (iii) Livelihood improvement and small scale infrastructure support in target communes and communes/ clusters; and (iv) Project management and support services.
258. The Project investments are geared towards institutionalization of provincial and local instruments that will rationalize and minimize land use conflicts by (i) reducing dependence on forests through generation of alternative livelihood opportunities; (ii) enhancing ecosystem service flows and benefits (e.g. water discharge, climate regulation, NTFPs); and (iii) harmonizing land use regimes and communities use rights over natural resources by strengthening access and tenurial rights. It promotes livelihood support interventions (i.e., access to secure land tenure, community forestry, plantations, local primary processing of wood and nonwood products, ecological farming and ecotourism). The Project aims at providing incentives, funding, and technical assistance enabling local people to grow trees of their choice in their homestead plantations and community forests for subsistence needs as well as for fuelwood consumption and construction. Small loan schemes for micro and small enterprises are to be encouraged for local (wood and nonwood) primary processing to emerge or existing ones to become vibrant. The establishment of management regimes in the corridors shall create jobs for local people.

1. Anticipated Involuntary Resettlement and RF Rationale

259. Three provinces, six districts, and 35 communes are covered by the Project in the Socialist Republic of Viet Nam. Social assessment was conducted in two sample communes per province in June 2010, which resulted in the identification of two activities that trigger Involuntary Resettlement under the Safeguards Policy Statement of ADB (2009), on rural infrastructure. The construction of rural infrastructure will not require land/Right-of-Way (ROW) acquisition as in the case of roads, but will be built on existing alignments and are mere rehabilitation nor will temporary loss be anticipated as this is part of the screening process.
260. However, subprojects will be screened based on the following: (i) it must be one of the three priorities of the beneficiaries in the commune documented through participatory, multi-stakeholder consultations conducted by the Project; (ii) is affordable within the block allocation set aside for the commune; (iii) fulfills all social safeguard criteria as laid out in subproject eligibility section; (iv) is complying with all environmental safeguard issues as described in safeguards section; (v) is in conformity with land use plans in the commune and the biodiversity corridor; (vi) brings benefits in the form of income generation or cost savings in terms of money, time, and effort and benefits households in the target communes (men, women, or both, and/or families/households); (vii) is

technically feasible (engineering wise) and satisfies criteria of mountainous area community based small scale rural infrastructure; (viii) arrangements satisfactory to the project have been made for undertaking operations & maintenance (O&M) if applicable; and (ix) is not covered under any other on-going programs or projects (duplication avoidance). The sub-projects will avoid resettlement, land acquisition, and physical displacement or denial of access to resources currently under use by the beneficiaries without prior and informed consent. Small-scale infrastructure investments will only be undertaken on the basis of demand and agreement of the beneficiaries to in-kind contribution (e.g. labor, land, right of way, and willingness to undertake O&M etc.).

261. The ADB-SPS on Involuntary Resettlement does not apply to negotiated settlements even if among the stakeholders, unless expropriation would result upon the failure of negotiations. Thus, consultation processes, policies, and laws that are applicable to such transactions; third-party validation; mechanisms for calculating the replacement costs of land and other assets affected; and record-keeping requirements will be in line with the Project Resettlement Framework (RF). Based on the above set of criteria, the RF shall ensure asymmetry of information and bargaining power of the parties involved as the set of criteria classifies subprojects to follow government negotiated land acquisition.
262. Should households require compensation for the temporary loss of assets and disturbance, assistance will be made available, according to ADB and the Government requirements.
263. To avoid or minimize the potential resettlement impacts from the project activities, the implementing agencies will:
 - (i) Consider design alternatives, favoring those which meet technical and final requirements as well as other criteria;
 - (ii) Where resettlement impacts are unavoidable, provide the financial and technical assistance to households as prescribed in the RF; and
 - (iii) Ensure adequate monitoring of construction activities to ensure adherence to approved designs, and the Environmental Management Plan for each subproject.

2. Objectives and Principles

264. The basic principles of this RF are as follows: (i) avoid involuntary resettlement by reviewing alternatives to the project design. Where involuntary resettlement is unavoidable, affected people particularly those identified as vulnerable and marginalized should be assisted to restore/ improve their quality of life with reference to pre- project conditions; (ii) ensure meaningful consultations with affected persons, host communities, and concerned nongovernment organizations across project cycle. A grievance redress mechanism shall be crafted and observed; (iii) appropriate and culturally sensitive procedures shall be upheld for Indigenous Peoples affected by the project; (iv) observe gender equality and equity throughout policy application; (v) compensation for loss of land, structures, other assets and income should be based on full replacement cost and paid promptly to include for transaction costs. Replacement of land and cash compensation should be options for compensation in the case of loss of land for displaced persons; (vi) resettlement should be planned and implemented with full participation of affected people and appropriate local government units pertinent to those considered as displaced and as host communities. Participatory measures have to be designed and implemented; (vii) displaced persons who do not have documented title to land should receive fair and just compensation and assistance; and (viii) the Project shall

bear the full costs of preparing RPs, income restoration, and when applicable, compensation and resettlement.

3. Legal Framework

- 265. The project resettlement policy harmonizes relevant Government laws and procedures with those of the ADB-SPS of 2009.
- 266. Other policies that impinge on resettlement issues are those that govern ethnic minorities inasmuch as Viet Nam upholds non-discrimination of ethnic minorities, as well as the 2006 Gender Equality Law.
- 267. Aside from the ADB-SPS of 2009, other ADB policies observed in the framing of this RF are the ADB Policy on Gender and Development and the ADB Public Communications Policy.
- 268. Further, the following ADB safeguards policy principles will also apply to the Project: (i) develop procedures in a transparent, consistent, and equitable manner, if land acquisition is through negotiated settlement in order to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status; (ii) prepare a RP elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule; (iii) disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders; and (iv) monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

4. Affected Persons, Eligibility and Entitlements

- 269. Affected persons (AP) eligible for compensation and/or assistance include: (i) those with formal legal rights to land or other assets; (ii) those who do not initially have formal legal rights to land or other assets but have claims to legal rights based on national laws, possession of documents like land tax receipts and residence certificates, or upon permission of local authorities to occupy or use project- affected areas; and (iii) those who have no recognizable legal right or claim to lands they occupy.
- 270. Based on existing Government laws, decrees, and circulars, as harmonized with the ADB-SPS of 2009, APs will be entitled to the following types of rehabilitation and assistance measures: (i) loss of productive land (agricultural, aquaculture, forest, garden); (ii) loss of residential land and house and other structures; (iii) temporary loss of income; and (iv) loss of community infrastructure.
- 271. Aside from direct compensation for losses, APs will be assisted with the provision of (i) transportation allowance, (ii) subsistence Allowance, (iii) production disruption allowance, (iv) support to employment creation, and (vi) other relocation allowances. An

entitlement matrix has been prepared and summarizes the main types of losses and the corresponding nature and scope of entitlements.

5. Survey/Appraisal Methods

272. The methodologies to be used in fine-tuning assessment for IR concerns in the preparation of RPs are (i) census of APs, (ii) socioeconomic survey, (iii) inventory of loss/detailed measurement survey, and (iv) replacement cost study.

6. Consultation, Participation, and Disclosure

273. Key activities prescribed for social preparation are: (i) identification of subproject APs and other vulnerable people; (ii) mobilization of community organizers to engage local groups for heightened awareness to the Project subprojects and other developmental activities; and (iii) capacity building for eventual institutionalization of local informal structures that will be involved in eventual RP activities. It is also during this stage where stakeholder groups input into the RP preparation of the RP, thereby establishing ownership over its plans, programs, conditionalities and implementation.
274. IEC modalities will be developed to enhance social preparation activities in particular, to convey the following to APs: (i) objectives of the Project and the activities to be carried under a specific subproject; (ii) explain probable adverse impacts; (iii) solicit ideas and suggestions on how to avoid and/or mitigate adverse project impacts; (iv) discuss the project resettlement policy; (v) explain the participatory process, including grievance redress procedures; (vi) explain the tentative schedule of project preparation and implementation; and (vii) provide names and contacts for stakeholders to get in touch with for any queries.

7. Special Considerations for Ethnic Minorities

275. The process of consultation for ethnic minorities begins with consultations with the Provincial Ethnic Minorities Office, also represented in the provincial project working group. The consultation should include a presentation of the project concept to determine the presence of ethnic minorities in the area, or the existence of collective attachment of ethnic minorities to the area affected. Public consultation at the commune/commune level to explore and obtain the affected ethnic minorities' endorsement of the project is ascertained at the provincial level. Project proponents will provide documentation that the projects have indeed been voluntarily and initiated or solicited by affected ethnic minorities. The documentation as validated by the province will reflect that the activity was indeed free from coercion or manipulation, gender and inter generationally inclusive, and conducted with proper disclosure of information and in a manner appropriate to the social and cultural values of the affected ethnic minorities and their condition.
276. Disclosure of the following documents is strongly indicated in the new ADB SPS: (i) draft resettlement plan and/or resettlement framework endorsed by the borrower/client before project appraisal; (ii) final resettlement plan endorsed by the borrower/client after the census of affected persons has been completed; (iii) new resettlement plan or an updated resettlement plan, and a corrective action plan prepared during project implementation, if any; and (iv) resettlement monitoring reports. IEC materials will be produced in popularized form for all APs across implementation levels. The ADB SPS

requirements (SR 2 & 3) as well as the ADB Public Communication Policy will serve as guide. The documents listed above will be uploaded in the Project management information system for interconnectivity as well as the ADB website.

8. Relocation, Compensation, and Income Restoration

277. Should relocation be unavoidable, mitigative activities are in order. Strategies will respond to the AP's immediate need for work and economic opportunities after relocation and in the long term, a sustainable livelihood restoration program that will ensure improved socioeconomic conditions of the APs in project sites. A Resettlement Implementation Committee will calculate the compensation for each affected asset in the subproject using the unit costs set in the replacement cost study.

9. Relocation and Ethnic Minorities

278. In the event land is to be acquired from ethnic minorities, the Central Project Management Unit (CPMU) and partner implementing units at the province and district shall observe agreements made during consultation with ethnic minorities with due respect to protocols with the Ethnic Minorities Office of the Peoples' Party (Province and District). Acquisition must ensure that non-replicable cultural property will not be damaged in the process. If passage through, and hence damage to and/or partial or total relocation of religious and cultural properties is unavoidable, this should be presented to the Ethnic Minorities Office and obtain approval from the province level. If consent is obtained, modes of compensation will be guided by the RF. Ethnic minorities may opt to receive entitlements in culturally appropriate form consistent with their customary law.
279. The proponent shall disclose temporary restrictions on ethnic minorities' access to natural resources and religious and cultural sites during project implementation plus the measures to minimize them. Measures to mitigate these temporary restrictions will also be contained in the EMDP.
280. By policy, involuntary resettlement and relocation of ethnic minorities should be avoided where feasible. If resettlement is unavoidable, the project affected families will be resettled as much as possible within proximity to their original property so as not to disrupt the exercise of traditional resource use rights and livelihood activities.
281. The RF will govern compensation for those to be removed and resettled. Entitlements agreed upon by ethnic minorities and the proponent other than those provided in this RF shall be contained in the EMDP. Affected ethnic minorities may choose to receive the compensation and assistance in culturally appropriate form consistent with their customary law.
282. In the event relocation as a result of a subproject is necessary, this RF categorically upholds support for host communities. Support to host communities could be in the form of social preparation, sharing of infrastructure and support services at the relocation sites, participation to economic development and social integration programs and access to training, employment, and other benefits generated by the project. As such, the RF promotes the following: (i) participation of APs and host communities in decisions concerning site selection, layout and design, and site development; and (ii) develop programs that can benefit both APs and the host population jointly to foster prospects for social integration.

10. Compensation

283. Entitlement policies will have been fine-tuned at social preparation stage and must therefore be reflected in an updated entitlement matrix. The entitlement matrix will be enhanced, as needed, during project implementation and following the conduct of detailed measurement survey for each subproject that entails involuntary resettlement.
284. **Measures for Restoring Incomes and Livelihood.** The objective of income/livelihood restoration is to ensure the improvement of the socioeconomic conditions of APs or at least to bring back the pre-project income and living standards of affected families at the project sites. This RF provides a menu of package intended to develop sustainable income restoration and rehabilitation strategies that are appropriate for the cultural background and practices of the APs (ethnic minorities and Kinh/Viet) within the Project sites. Strategies for income and livelihood restoration are consistent with the overall Project design.

11. Grievance Redress Mechanisms

285. Grievances related to any aspect of the project or subproject, including issues on the quantity and price of the lost assets, will be handled through negotiations and are aimed at achieving consensus following the procedures: (i) if any person, ethnic minorities included, is aggrieved by any aspect of the resettlement and rehabilitation program, the grievance shall be filed (oral or written) by the AP with commune authorities, specifically the Commune People's Committee (CPC) who will act within 15 days upon receipt thereof; (ii) if any aggrieved person is not satisfied with the decision from the CPC, they can bring the complaint to the District People's Committee (DPC) within 15 days from the date of the receipt of the decision from the CPC; (iii) if the AP is still not satisfied with the decision at district level, the AP can appeal to the PCC within 15 days of receiving the decision of the DPC. The PPC will reach a decision on the complaint within 15 days upon receipt of the decision from the DPC; and (iv) if the AP is not satisfied with the decision of the PPC, the case may be submitted for consideration to the District Court within 15 days of receiving the decision of the PPC.
286. APs shall be exempted from all administrative and legal fees incurred pursuant to the grievance redress procedures. All complaints received in writing from APs will be documented and shall be acted upon immediately according to the procedures detailed above.

12. Institutional Arrangements

287. The overall responsibility for enforcement of this RF as well as planning and implementing the RP is with the CPMU specifically through the Province and District units. Aside from one international and three National Safeguards Specialists, the CPMU will arrange for adequate and experienced staff assigned to the project at the provincial level to ensure that the RP will be efficiently and effectively implemented. The People's Committees at different levels will see to the meaningful participation of APs in the preparation and implementation of the RP. Qualified social safeguards staff, to be capacitated using ADB- SPS standards, shall undertake implementation and oversight functions.

288. Implementation details of activities to be undertaken will be included in the RP, with the resettlement implementation schedule clearly linked to civil works.

13. Budget and Financing

289. An itemized budget in the RP is required for all resettlement activities, including compensation for land acquisition. An annual resettlement budget is prepared, showing the budget- scheduled expenditure for key items. Land acquisition and resettlement costs are reflected in the project costs. Income restoration and resettlement costs may be through the project entity. Local contributions to the development of income restoration schemes and resettlement sites and services may be valued and reflected as part of the cost. Fund source will be through the Project and downloaded through the executing agency on to the implementing unit. The PPC will ensure payments are made to APs.

14. Monitoring and Reporting

290. Implementation of the RP will be periodically supervised and monitored by the implementing unit in close coordination with the respective Peoples' Committees at different administrative units and external monitoring agencies. Results will be recorded in half-yearly reports as furnished to the executing agency and ADB.
291. Project staff will conduct internal monitoring while external monitoring is a function of an independent organization or individual consultant retained by the Project to periodically perform external monitoring and evaluation of the preparation and implementation of the RP. Monitoring reports will be made available to all implementing units, including APs and copies submitted to ADB. Suggested internal and external monitoring indicators are provided.

B. Environmental Impact

292. The Project will generate overwhelmingly positive environmental impacts. Biodiversity conservation in the Project area is of global significance and will support several critically endangered species through the conservation and restoration of habitats essential to their survival.
293. Some of the Project activities have a potential for generating localized, manageable negative environmental impacts. These have been identified, as well as the measures to prevent or mitigate such impacts. The Project takes a sector-like approach to a number of its activities, whereby exact locations and type of activity will be determined during Project implementation by the local implementation partners within the geographical boundaries and according to the Project objectives. The Project has been designed to take environmental considerations into account for subprojects as and when they are being formulated. A framework for environmental safeguarding of subprojects has been developed and will be applied.
294. The Project activities that have the potential of causing negative environmental impacts include the forestry activities, the support to livelihoods development and improvement, the small-scale infrastructure development, and the activities supported by the commune development funds. Identification and design of all of these activities will be finalized during Project implementation. All Project activities that will be defined during

implementation will be subject to review for environmental impact during the planning stage, and further if and as required during detailed design, construction and operation. Potential environmental impacts and mitigation measures in compliance with the ADB Safeguard Policy Statement 2009 and Government's regulations will be documented in the feasibility studies of the subprojects. The design, location and other characteristics of the subprojects will be amended to minimize any negative environmental impact. The activities will cover the costs for required environmental monitoring and mitigation measures. Proposed subprojects with significant environmental impacts that might alter the environmental classification of the Project are not admissible. In addition to subproject-specific monitoring, there will be regular monitoring of the overall environmental performance of the Project as a whole, in line with the ADB environmental safeguarding requirements. Subprojects will comply with the prevailing environmental safeguarding regulations of Viet Nam.

295. The Project is classified as an Environmental Safeguard Category B project 16 in accordance with the ADB Safeguard Policy Statement 2009. The Project's Environmental Review and Assessment Framework was updated in April 2014 to include scope of the expected additional financing to be funded under the Global Environment Facility.

C. Ethnic Minority Development Framework

296. The objective of the EMDF is to design and implement projects/subprojects in a way that fosters full respect for ethnic minorities' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minorities themselves so that they (i) receive culturally appropriate social and economic benefits; (ii) do not suffer adverse impacts as a result of projects; and (iii) can participate actively in projects that affect them (as taken from ADB-SPS Appendix 3). This Ethnic Minority Development Framework (EMDF) safeguards the rights of ethnic minorities to participate and equitably receive culturally appropriate benefits from the Project. For this purpose, an Ethnic Minority Development Plan (EMDP) will be prepared in participating areas subject to results of a social impact assessment.
297. In pursuit of the abovementioned objectives, the Project and its subprojects will be governed by the following principles: (i) early screening, (ii) conduct of culturally appropriate, gender-sensitive and technically backed-up social impact assessment, (iii) undertake meaningful consultations, (iv) ensure consent of affected ethnic minority communities, (v) avoid restricted access to and physical displacement from protected areas and natural resources but when not possible, ensure that affected ethnic minorities participate in all aspects of the project cycle and that their benefits are equitably shared.
298. Viet Nam upholds non-discrimination of ethnic minorities as reflected in the Government Constitution. The ADB Policies on involuntary resettlement and ethnic minorities have been integrated under the new ADB SPS. The ADB Policy on Gender and Development adopts gender mainstreaming as a key strategy. The ADB Public Communications Policy seeks to encourage the participation and understanding of people and other stakeholders affected by ADB-assisted activities.

D. Benefits and Impacts

299. The Project investments are geared towards institutionalization of provincial and local instruments that will rationalize and minimize land use conflicts by (i) reducing dependence on forests through generation of alternative livelihood opportunities; (ii) enhancing ecosystem service flows and benefits (e.g. water discharge, climate regulation, NTFPs); and (iii) harmonizing land use regimes and communities use rights over natural resources by strengthening access and tenurial rights. It promotes livelihood support interventions (i.e., access to secure land tenure, community forestry, plantations, local primary processing of wood and nonwood products, ecological farming and ecotourism). The Project aims at providing incentives, funding, and technical assistance enabling local people to grow trees of their choice in their homestead plantations and community forests for subsistence needs as well as for fuelwood consumption and construction. Small loan schemes for micro and small enterprises are to be encouraged for local (wood and nonwood) primary processing to emerge or existing ones to become vibrant. The establishment of management regimes in the corridors shall create jobs for local people.
300. An estimated 85% of the Project beneficiaries in Viet Nam are ethnic minorities. The Project protects the rights and interests of ethnic minorities over natural resources by strengthening access and tenurial rights as well as provision of capacity building to uphold such rights, livelihood and community development funds.
301. Potential benefits of the Project to ethnic minorities in the project area are (i) increase the capacity of local institutions that enable/ensure community participation in resource planning and management; (ii) improved quality of life and food security among ethnic minorities through (a) provision of nondestructive livelihood opportunities; (b) improved availability of resources: water, timber, and other forest products; (c) improved soil fertility, decreased soil movement and reduced vulnerability to risks of climate change; and (d) enhanced biodiversity; (iii) empowering ethnic minorities to legitimately utilize their natural resources, the framework for which will be spelled out by commune land use/development plans that the affected ethnic minorities themselves will design and agree on; (iv) improved access to market and social and community services. Rehabilitation of farm-to-market roads will improve the local people's access to social services, like education and health; (v) rehabilitation of farm-to-market roads and communal irrigation systems as well as technical assistance extended for appropriate nondestructive livelihood will improve farm productivity; and (vi) downloading of commune development funds further allow for ethnic minority community empowerment in project activities as they address organizational, community and household needs. This will be most significant if the women's union at the commune level is further capacitated in fund and associated technology management.
302. There are however foreseen adverse impacts notwithstanding the aforementioned benefits, such as the ones outlined below:
 - (i) **Encroachment due to improved access.** With the rehabilitation of rural infrastructure, there is potential for increasing access to conservation sites especially by outsiders or those not belonging to the same ethnic minority group within a Project-assisted area aggravating current resource use competition.
 - (ii) **Social exclusion/elite capture.** Protocols in a number of ethnic minority communities require that project entry requires prior approval of the district heads

and the People's Party. This includes how benefits are distributed, which have to be coursed through these entities. While such protocols are imperative for project acceptability these can pose a challenge to ensuring that there is broad community support for the project and those members of the ethnic minority communities benefit from it, regardless of social status.

- (iii) **Increase in value of land in project sites.** Investments introduced through the project increases the likelihood of land speculation, which may increase selling of ethnic minority land rights to the likes of tree plantation investors.
 - (iv) **Increase developmental dependency.** Commune development grant arrangements may further encourage ethnic minority dependency to donors and government institutions. Such grants if not handled sensitively may result in corruption. Capacity building in financial management by the women's union at the commune level is imperative.
303. The project promotes the legal recognition of rights to lands and territories that ethnic minorities have customarily used or occupied. An action plan for the legal recognition of customary rights to such lands, shall therefore be integrated in the EMDP, prior to actual implementation. Such action plans will be in concurrence with the Ethnic Minorities Office as represented in the Peoples' Party across levels (province, district, and commune).
304. The consent of affected ethnic minorities communities will be necessary as documented accordingly, validated and endorsed by the Ethnic Minorities Office representation within the Peoples' Party across levels (province, district, and commune).
305. The Project will provide financial assistance to project and subproject activities that largely impact on ethnic minorities to ensure meaningful participation by them.

1. Social Impact Assessment

306. Qualified and experienced experts will be contracted to conduct a full social impact assessment (SIA) in a gender-sensitive manner in consultation with ethnic minorities. The SIA will (i) establish the baseline socioeconomic profile of ethnic minorities in the project area and the project impact zone; (ii) assess access and opportunities to avail of basic social and economic services; (iii) determine the short- and long-term, direct and indirect, and positive and negative impacts of the project on each group's social, cultural, and economic status; (iv) assess and validate which ethnic minorities will trigger the SPS principles; and (v) assess subsequent approaches and resource requirements for addressing the various concerns and issues of projects that affect them. An EMDP in conjunction with the subproject feasibility study will be prepared if impacts on ethnic minorities are established.

2. Ethnic Minority Planning

307. Qualified and experienced experts will similarly prepare the EMDP through meaningful consultation with affected ethnic minorities to ensure that affected ethnic minorities will receive culturally appropriate social and economic benefits and that when potential adverse impacts on them are identified, these will be avoided to the maximum extent possible. When avoidance is deemed impossible, the EMDP will identify measures to minimize, mitigate, and compensate for adverse impacts. If ethnic minorities will be the majority of direct project beneficiaries, and when only positive impacts are identified,

elements of an EMDP may be included in the overall project design in lieu of preparing a separate EMDP. The EMDP will establish requirements for meaningful consultation and how benefit sharing are fulfilled and integrated into the project design.

308. An updated EMDF may be necessary to reflect mitigating measures to avoid adverse impacts on ethnic minorities as well as measures to enhance culturally appropriate development benefits following the completion of detailed engineering design and detailed measurement survey/reports. These may be adjusted, but agreed outcomes as specified in this EMDF will not be lowered or minimized. If new groups of ethnic minorities are identified prior to submission of the final EMDP to ADB, meaningful consultation will likewise be undertaken with them.

3. Consultation and Participation

309. Meaningful consultation with ethnic minorities will be ensured through harnessing of culturally appropriate communication strategies and use of local language. The Consultation and Participation Plan (C&P) presents the definitive points for stakeholder participation across within the project cycle under the Project, specific to subproject preparation and implementation. The Plan will be undertaken to ensure informed participation in all facets of the project cycle such that project benefits that accrue to them shall be in a culturally appropriate manner. Timely disclosure of relevant and adequate information will be made that is understandable and readily accessible to affected people/gender, in an atmosphere free of intimidation or coercion.
310. Process documentation will serve as the Project documentation for broad community support. It will focus on dimensions that are most likely to affect or influence the decision making and consensus building among ethnic minorities and their perceptions, roles and relationships, decisions and trade-offs, strategies, priorities, activities and events, investments and accomplishments, factors that shape the context in which any focus of the project/subproject is operating including factors that help explain outcomes, implications, and lessons.
311. Results of process documentation should provide information sufficient enough to support decisions about the project/subproject C&P process and capture broad community support. The report per commune/ethnic minority group will be validated and endorsed by the Ethnic Minorities Office observing inherent institutional protocols across levels (commune to district and province).

4. Disclosure

312. The following documents will be disclosed in a timely manner in an accessible place and in a form and language(s) understandable to the affected ethnic minorities and other stakeholders as well as on the ADB website: (i) draft EMDF and/or EMDP, including the social impact assessment, endorsed by the Executing Agency, before appraisal; (ii) final EMDF and/or EMDP upon completion; (iii) a new or EMDF and/or EMDP and a corrective action plan prepared during implementation, if any; and (iv) monitoring reports.

5. Grievance Redress

313. The mechanism to receive and facilitate resolution of the affected ethnic minorities' concerns, complaints, and grievances is provided and ethnic minority communities will

be appropriately informed about such mechanism. A culturally appropriate, gender responsive, and accessible mechanism is formulated but shall not impede access to the country's judicial or administrative remedies. This EMDF shares the grievance redress mechanism developed for the RF.

6. Institutional and Implementation Arrangements

314. The responsibility for preparing and implementing the EMDPs will be the Executing/Implementing agency. Qualified social safeguards consultants, under terms of reference acceptable to ADB, will be contracted. The EMDP will have an implementation schedule that is coordinated with project/subproject implementation.

7. Monitoring and Reporting Arrangements

315. There will be two monitoring mechanisms: internal monitoring and external monitoring that will determine if the EMDP is being carried out in accordance with this EMDF. The Executing/Implementing agency shall conduct the supervision and in-house monitoring of EMDP implementation. An external monitoring organization will verify internal monitoring reports. External Monitoring will be commissioned by the Executing/Implementing agency to undertake independent external monitoring and evaluation. The EMO for the Project will be either a qualified individual or a consultancy firm with qualified and experienced staff.

8. Budget and Financing

316. The Executing/Implementing agencies are responsible in the provision of necessary financing of all EMDP activities. The EMDP will specify funding requirements for each of the actions in the plan. Cost estimates provided in the plans must be as detailed as possible, linked to specific activities. The EMDP will focus on costs involved in mitigating adverse sociocultural impacts. This EMDF provides the line item costs that will be subject to detailed planning and budgeting during implementation at the project and subproject levels.

VIII. GENDER AND SOCIAL DIMENSIONS

317. Despite the Project being a biodiversity and conservation project, opportunities abound and are built into the project design that ensure delivery of tangible benefits to women by improving their access to social services, and/or economic and financial resources and opportunities, and/or basic rural and urban infrastructure, and/or enhancing voices and rights, which contribute to gender equality and women's empowerment. It is thus deemed that the Project is categorized as an Effective Gender Mainstreaming Project.
318. With reference to the ADB Gender Guidelines of March 2010, a Gender Action Plan (GAP) is prepared based on findings from the Social Assessment using the ADB Handbook for Social Assessment, in close consultation with stakeholders that significantly include women and women leaders of Viet Nam.
319. These gender inclusive design features respond to constraints faced by women across all project infrastructure types as well as to issues that are specific to a particular improvement. They have been prepared in consultation with stakeholders, particularly local women, and work to offset disadvantages for women revealed through the gender analysis described above:
 - (i) A Social Impact Assessment (SIA), including a Gender Analysis (GA) resulting in a Gender Action Plan (GAP), will be prepared for each commune;
 - (ii) A National Gender Specialist will be contracted to oversee all gender related activities;
 - (iii) Each provincial implementing unit to appoint a safeguards officer who will ensure the collection and analysis of gender disaggregated baseline data, including extension and training needs of women;
 - (iv) Representation/participation of the Women's Union and Ethnic Minority Office in the project implementation units;
 - (v) At least 30% female representation within community working groups, consultation, planning, and decision-making;
 - (vi) Use of popular modes of information, education and communication (IEC) for the promotion of climate change adaptation, biodiversity conservation and health/sanitation education to ensure their meaningful participation in project decision making;
 - (vii) Collection of gender-disaggregated data for monitoring of project benefits and impacts;
 - (viii) Gender mainstreaming training for the implementing agencies at national, provincial and local levels;
 - (ix) Preference given to livelihood project proposals/feasibility studies prepared and submitted by community womenfolk; where animal production is paramount, full technical support in animal production will be extended; and
 - (x) Equal opportunities for land certification as well as compensation and allowances to female heads of households.

320. The project is in line with the stipulations of the 2007 Law of Gender Equality. Subprojects lined up by the Project will largely benefit women mostly by addressing release time and/or reduction of time spent on other household reproductive activities, i.e., water collection and marketing. Time saved can be spent on other priorities women have for themselves as well as their families. Women, as nurturers of families, will further benefit as health, hygiene, and reduced scale of calamities (climate change and REDD) that affect families/households are directly and indirectly attended to by Project implementation.

IX. PERFORMANCE MONITORING, EVALUATION, AND COMMUNICATION

A. Project Design and Monitoring Framework

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
Impact Climate resilient sustainable forest ecosystems in the <i>Central Annamites</i> benefiting local livelihoods and downstream users	<ul style="list-style-type: none"> By 2022, at least 10,000 ha of forest protected, restored, or sustainably managed By 2018, approximately 900 households with diversified livelihood assets and/or income generating opportunities, reducing pressure on forest 	<ul style="list-style-type: none"> MONRE/MARD updates on forest cover, and biodiversity trends Provincial cadastral survey/reports Household and commune socio-economic survey/reports National Statistical office reports; Reports by Government to GMS Summits and Environment Ministers' Meetings 	Assumptions <ul style="list-style-type: none"> Climate change adaptation and mitigation activities receive additional / incremental funding Biodiversity Corridor regulatory framework is adhered to by planning and decision-makers at central and provincial levels Population growth is stable and in-migration into biodiversity corridor areas can be regulated Risks <ul style="list-style-type: none"> Sudden influx of climate change refugees Ad hoc development investment decisions override long term environmental / biodiversity corridor plans and programs
Outcome Biodiversity Conservation Corridors established in Quang Nam, Quang Tri, and Thua Thien Hue with enabling policy, regulatory framework and management regimes	<ul style="list-style-type: none"> By 2018, Biodiversity Corridor pilot provincial policies including management plans in place covering at least 530,000 ha of forest in 35 communes of Quang Nam, Quang Tri and Thua Thien Hue provinces By 2018, Biodiversity Conservation Corridors mapped to support management plans By 2018, increase in income and/or assets for target households by 50% compared to 2011 By 2018, forest management improved for 10,000 ha of community forests 	<ul style="list-style-type: none"> National Databases of MONRE/MARD; Reports to GMS Environment Ministers Meeting 2014; Proceedings of meetings and joint knowledge product between Cambodia, Lao PDR and Viet Nam regarding management of Biodiversity Corridors Text of Biodiversity Corridor Decree or regulatory instrument presenting policy measures to promote and maintain the biodiversity functions of the corridor. Household and commune Socio-economic survey/reports Performance monitoring survey/reports; Project MIS 	Assumptions <ul style="list-style-type: none"> PPCs of three provinces and Central Government commit to declaring & establishing a GMS Biodiversity Corridor area & enforce regulations Timely approval of management plans and funds by PPC Risk <ul style="list-style-type: none"> Other external DFIs negatively affect current and planned Project activities in the corridors

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
Outputs 1. Institutions and communities strengthened in biodiversity corridor management	<ul style="list-style-type: none"> By 2015, mapping of 530,000 ha of Biodiversity Corridor By 2015, Participatory Landuse Plans and Commune Investment Plans ready in 35 communes By 2018, at least 40 village forest management boards established, operational and receive land use right certificates for 10,000 ha of community forest By 2018, at least 2,000 land use right certificates issued to individual households for 6,000 ha of reforestation By 2018, 8,000 project staff, and community members participate in training on project activities; at least 40% of trainees are female with large portion from ethnic minorities By 2018, at least 30% of the commune/village level forest management committee members are women 	<ul style="list-style-type: none"> Corridor maps approved by the individual PPCs LUPs with maps for 35 communes Revised CIPs of 35 communes Demarcation maps Land Use Certificates CPMU Reports 	Assumptions <ul style="list-style-type: none"> Sector development plans in Viet Nam remain conducive to promotion and consolidation of biodiversity corridor / landscape approaches Sufficiently qualified national consultants can be identified and engaged Risks <ul style="list-style-type: none"> Other developmental activities (commercial plantations, mining, settlements, roads etc.) create further fragmentation of forest ecosystem and hamper landscape approaches Political security and peace in border is disturbed
2. Biodiversity corridors restored, ecosystem services protected, and maintained	<ul style="list-style-type: none"> By 2018, at least 10,000 ha of community forests have management plans and demarcation completed By 2018, a system of effectively patrolling by community-based patrolling units in place protecting 10,000 ha of community forests By 2018, management plans for over 10,000 ha of community forests implemented through forest restoration, enrichment planting, natural regeneration, non-timber forest product and agroforestry planting using mainly native species and maintained over and beyond the project period By 2018, at least 30% participants to the implementation of the community forest management plans are women 	<ul style="list-style-type: none"> Government statistics Provincial and district economic survey/reports statistics Area planted and maintained in watershed areas Reports of Forest protection department on illegal activities Performance monitoring survey/reports CPMU reports 	
3. Livelihoods improved and small-scale infrastructure support provided in target communes	<ul style="list-style-type: none"> By 2016, at least 900hh receive cash and technical support to improve agricultural productivity and income from home gardens, agriculture/animal production; By 2016, at least 1,200 ha of forest based livelihood plantations established By 2016, 35 communes receive financial resources through Commune Development Funds to improve livelihoods By 2016, 35 communes receive small scale infrastructure support 	<ul style="list-style-type: none"> Government statistics Provincial and district economic survey/reports Provincial business and enterprise statistics Performance monitoring survey/reports CPMU/PPMU Reports 	

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
	to enhance accessibility to water, production, markets, and services with capacity building in O&M and business models (ecotourism, NTFP, and agro-processing); <ul style="list-style-type: none"> At least 30% members of each CDF management committee are women 		
4. Project management and support services	<ul style="list-style-type: none"> By August 2011, CPMU in MONRE and PPMUs in Quang Nam, Quang Tri and Thua Thien Hue operational By June 2012, all advance actions re procurement of vehicles, equipment and consultants completed By August 2011, first tranche of loan received in imprest accounts By 2015, around 1,000 officials and project staff participate in training on procurement, management, financial controls, monitoring and report Timely half yearly (June/Dec) technical and financial progress reports produced in English and Vietnamese by PPMUs and consolidated by CPMU Project Performance and Monitoring System established by early 2015 Timely submission of financial liquidation and withdrawal applications Disbursement at 40% by 2016 and 80% by 2017 	<ul style="list-style-type: none"> CPMU Reports Midterm evaluation Performance monitoring survey/reports Loan disbursement reports 	
Activities 1.1 Strengthen policy framework for biodiversity corridor establishment and implementation (2018) 1.2 Raise awareness and build technical capacity at MONRE and in three participant provinces to replicate model of biodiversity corridors in Viet Nam (2012-2018) 1.3 Participate and share knowledge on biodiversity conservation in the GMS (2012-2018) 1.4 Strengthen capacity on land use planning, zoning, demarcation across landscapes (2012-2015) 1.5 Strengthen the capacity of district officials and key provincial level staff involved in protected areas management and community forest management (2012-2018) 1.6 Strengthen village/commune level capacity for managing commune development funds (CDF) (2015-2018) 1.7 Strengthen the capacity of villagers to manage and protect forest and natural resources in the corridors and move toward effective community-based natural resource management (with co-management of some parts of the PAs/protection forests) (2014-2018) 1.8 Zone and map at provincial level biodiversity corridor delineation and demarcation (2015) 1.9 Secure recognition of biodiversity corridors through provincial level policy and regulations/decisions/decrees and implement management plans (2018) 2.1 Develop participatory village landuse plans for target villages and communes (2015) 2.2 Select sites for CFM through the village land use planning process (2015) 2.3 Conduct participatory forest inventory (2015-2016) 2.4 Issue land use right certificates (red books) to the communities (2015-2017)			Inputs (in '000) A. ADB 1. Civil Works: \$4,155.6 2. Vehicles & Equipment \$610.7 3. Goods & Services \$12,175.3 4. Project management \$2,284.0 5. Consultant Support \$4,009.0 6. Capacity Building \$1,180.1 7. Livelihood Inputs \$4,679.2 8. Interest during Implementation \$668.5 Subtotal - A

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
2.5	Develop village forest protection and development regulations (2015-2018)		\$30,000.0
2.6	Establish village-based forest management organizations (2015-2018)		
2.7	Develop 5-year forest management plan and annual operational plan (2015-2018)		B. Government Contribution
2.8	Implement CFM plans and monitor implementation of the CFM plans (2015-2018)		\$2,930
3.1	Update village/commune level data on socio-economic status and poverty mapping/monitoring (2014)		C. Beneficiary Contribution
3.2	Provide support to promoting agriculture/agroforestry based livelihood improvements (2012-2018)		(In-kind and O&M)
3.3	Provide seed capital for Commune Development Funds, monitor fund use and impact of fund use on forest (2015)		\$850
3.4	Provide investment support to prioritized small scale infrastructure (2015-2018)		Total A+B+C
3.5	Build/improve O&M capacity for maintaining infrastructure (2015-2018)		\$33,780
4.1	Establish Central and Provincial Project Management Unit (2011)		
4.2	Establish financial accounts and internal audit controls (2011)		
4.3	Open project accounts, secure monthly statements (2012-2018)		
4.4	Recruit support staff and consultants (2012)		
4.5	Draw up annual work plans, personnel scheduling, budgets and procurement plans and seek approvals		
4.6	Procure goods and services applying procurement rules as laid out in PAM		
4.7	Guide and oversee implementation		
4.8	Monitor project implementation		
4.9	Prepare statement of Expenditure and liquidation documents		
4.10	Submit six monthly financial and technical progress reports		

CFM=community forest management; CPMU=central project management unit; GMS=greater Mekong subregion; MARD=Ministry of Agriculture and Rural Development; MIS=management information system; MONRE=Ministry of Natural Resources and Environment; NTFP=nontimber forest product; PPC=provincial people's committee; PPMU=provincial project management unit.

B. Monitoring

1. Project performance monitoring

321. A Project monitoring and evaluation (M&E) system will be developed and implemented by the CPMU with assistance from the M&E consultant. Information will be collected at subproject level to identify the current socio- economic conditions of target beneficiaries and to assess the impact of the subprojects. The M&E system will be based on measurable inputs, outputs and outcomes to be collected during baseline survey/reports and throughout project implementation.
322. The Project will provide data inputs towards development and operationalization of the National Biodiversity Database in the Viet Nam Environment Administration (VEA) under MONRE. This will be in the context of technical support to design project monitoring and information system, equipment and networking facilities to link with the participating provinces and districts and training in planning and performance monitoring. It will also include resources to operate a project impact monitoring system.

2. Compliance monitoring

323. The Government through MONRE have agreed with ADB on certain covenants for the proposed Project, which are set forth in the Loan and project agreements including the following:
- (i) Only subprojects that have been pre-screened either during preparation or by an approved specialist and subsequently approved by ADB shall be financed by ADB Loan funds;
 - (ii) The Government will ensure that adequate funds are allocated for the periodic maintenance of infrastructure developed under the Project through provincial budgets to maintain the infrastructure in functional order; and
 - (iii) The Government will also ensure that a grievance mechanism is established for affected people in the participating communes/districts.
324. ADB will monitor compliance with those covenants throughout project effectiveness and implementation via regular review missions, half-yearly progress reports submitted by the CPMU, and review of project accounts and procurement procedures.

3. Safeguards monitoring:

325. There will be two monitoring mechanisms: internal monitoring and external monitoring that will determine if the EMDP is being carried out in accordance with the EMDF. The implementing agency shall conduct the supervision and in-house monitoring of implementation of the EMDP. The procedure for monitoring will be guided by the monitoring, evaluation, and reporting arrangements set forth in the EMDP. An external monitoring organization (EMO) will verify internal monitoring reports..
326. External monitoring will be commissioned by the Implementing agency to undertake independent external monitoring and evaluation. The EMO for the Project will be either a qualified individual or a consultancy firm with qualified and experienced staff.
327. The Terms of Reference for the EMO shall be prepared by the Implementing Agency and shall be acceptable to ADB prior to engagement. The Implementing Agency is

responsible for the engagement of the EMO and ensures that funds are available for monitoring activities, and submits monitoring reports to the ADB.

328. Specifically, the activities of the EMO are as follows:

- (i) verify results of internal monitoring;
- (ii) coordinate with the Ethnic Minorities Office and People's Party regarding the monitoring and evaluation of the situation of affected ethnic minorities;
- (iii) verify and assess the results of the Project IEC for ethnic minorities;
- (iv) assess efficiency, effectiveness, impact and sustainability of EMDP implementation;
- (v) suggest modification in the implementation procedures of the EMDP, if necessary;
- (vi) to achieve the principles and objectives of this EMDP; and
- (vii) review of the handling of compliance and grievances cases.

4. Schedule of Monitoring and Reporting

329. The Implementing Agency shall establish a schedule for the implementation of the EMDP taking into account the project's implementation schedule. It is expected that one month prior to the start of subproject implementation, internal and external monitoring key actors shall have determined all EMDP activities

a. Compliance Monitoring

330. This is the first activity that both internal and external monitoring people shall undertake to determine whether or not the EMDP is implemented out as planned and according to this policy. The EMO will submit an Inception Report and Compliance Monitoring Report one month after receipt of Notice to Proceed for the engagement. The engagement of the EMO is scheduled to meet this Policy's requirement of concluding EMDP implementation activities at least one (1) month prior to the start of zoning and/or civil works.

b. Monitoring

331. The EMO will be required to conduct half yearly monitoring of EMDP implementation activities.

c. Final Evaluation

332. Final evaluation of the implementation of the EMDP will be three months after its completion. The EMO shall coordinate with the Implementing agency, Ethnic Minorities Office and People's Party as well as the affected ethnic minorities on the dates of the final evaluation of the EMDP.

d. Post-Evaluation

333. This activity will be undertaken one year after the completion of the project/subproject in order to determine whether the social and economic conditions of affected ethnic minorities have improved or have been restored to pre-project levels.

334. Internal and external monitoring reports will be made available to all implementing units, including the ethnic minority communities. The EMO is accountable to the Implementing agency as they submit copies of internal and external monitoring reports to ADB. Costs of monitoring requirements will be reflected in project budgets.

e. RF Monitoring

335. Implementation of the RP will be periodically supervised and monitored by the implementing unit in close coordination with the respective Peoples' Committees at different administrative units and external monitoring agencies. Results will be recorded in half-yearly reports as furnished to the executing agency and ADB.

f. Internal Monitoring

336. Project staff will conduct internal monitoring. To differentiate internal monitoring from external monitoring, the following are stipulated distinctly for internal monitoring:
- (i) verify that the baseline information of all APs has been carried out and that the valuation of assets lost or damaged, and the provision of compensation, resettlement and other rehabilitation entitlements has been carried out in accordance with the provisions of this Policy Framework and the respective RP;
 - (ii) oversee that the RPs are implemented as designed and approved;
 - (iii) verify that funds for implementing the RP are provided in a timely manner and in amounts sufficient for their purposes, and that such funds are used in accordance with the provisions of the RP and policy framework; and
 - (iv) record all grievances and their resolution and ensure that complaints are dealt with in a timely manner.

g. External Monitoring

337. External monitoring is a function of an independent organization or individual consultant retained by Project to periodically perform external monitoring and evaluation of the preparation and implementation of the RP. Contracting of independent agencies as external monitors will require concurrence from ADB. External monitoring consultants or agencies are tasked to:
- (i) verify results of internal monitoring;
 - (ii) review of the handling of compliance and grievances cases;
 - (iii) determine whether the procedures for AP participation and delivery of compensation and other rehabilitation entitlements is implemented in accordance with this RF;
 - (v) assess if the RF objective of enhancing or restoring living standards and income levels of APs are realized; and
 - (vi) generate data on the socioeconomic impact of Project implementation on AP's recommended improvements as regards project or subproject implementation procedures in upholding the principles and objectives of this RF.
338. External monitoring reports will be made available to all implementing units, including APs. The EM contractor is accountable to the project and thus reports to the project-implementing unit. Project management submits copies of external monitoring reports to ADB.

h. Compliance Monitoring

339. This is the first activity that both internal and external monitoring shall undertake to determine whether or not RPs and EMDPs were implemented as planned and according to this policy. The external monitor will submit an Inception Report and Compliance Monitoring Report one month after receipt of Notice to Proceed for the engagement. The engagement of the external monitor is scheduled to meet the Policy's requirement of concluding RP and EMDP implementation activities at least one (1) month prior to the start of civil works.
340. **Monitoring.** The external monitor will conduct half yearly monitoring of RP, and EMDP implementation activities.
341. **Final Evaluation.** Final evaluation of the implementation of RPs will be conducted three months after the completion of payments of compensation to APs and three months after the completion of the EMDP. The external monitor shall coordinate with the Ethnic Minorities Office (whatever level is applicable) and the affected ethnic minority community on the dates of the final evaluation for the EMDP.
342. **Post-Evaluation.** This activity will be undertaken a year after the completion of resettlement in a particular subproject to determine whether the social and economic conditions of APs and affected ethnic minorities have improved or have been restored to their pre-project levels.

5. Gender and social dimensions monitoring¹⁴

343. All data, in accordance with Prime Minister's Decree No.140/PM dated 20 August 2002 and guideline paper No. 018/PMO of 10 January 2005, will be disaggregated by sex and age, urban and rural women, and women of ethnic groups. Routine monitoring by the safeguard monitoring entities to be recruited under the Project will focus on assessing progress and compliance with the Gender Action Plan (GAP), identifying constraints and developing remedial actions to effectively address these. Monitoring results will be part of the six monthly progress reports and assessment / evaluations of the GAP will be an essential element of all reviews (See Appendix 2 for the full GAP).
344. Specific to the GAP, the table below prescribes the areas for monitoring:

Project Component	Gender Action Plan Targets
COMPONENT 1: Institutional and community strengthening for biodiversity conservation management	<ul style="list-style-type: none"> • 30% participation of women during consultations; training in participatory land use planning, commune/village investment planning, GIS-based mapping, and functional literacy; capacity building in biodiversity corridor management, O&M, small enterprise development, assessment, and in working groups/committees to be established by the Project. • Gender sensitive training/IEC materials will be produced in local languages, (where applicable) to be prepared in close consultation with beneficiaries specifically, on land rights, credit, and access to resources and opportunities provided by the Project, linking up with on-going government and development partner programs on health/sanitation and HIV education, and climate change adaptation. • At least 50% of female heads of households receive forestland and land use certificates

¹⁴ ADB's *Handbook on Social Analysis: A Working Document*, is available at: <http://www.adb.org/Documents/Handbooks/social-analysis/default.asp>, *Staff Guide to Consultation and Participation*: <http://www.adb.org/participation/toolkit-staff-guide.asp>, and, *CSO Sourcebook: A Staff Guide to Cooperation with Civil Society Organizations*: <http://www.adb.org/Documents/Books/CSO-Staff-Guide/default.asp>

Project Component	Gender Action Plan Targets
	(LUC) collectively and/or individually where applicable, for livelihood purposes and productivity enhancement.
COMPONENT 2: Biodiversity corridors restoration, ecosystem services protection, and sustainable management by local resource managers	<ul style="list-style-type: none"> • Forest restoration activities (enrichment planning, NTFP planting, agro forestry) include at least 30% of women's labor input participation on cash basis; • National gender specialist to oversee preparation of community disaster risk and response plan, and conduct gender-responsive workshops ensuring access to information by women on mapping household vulnerability and livelihood options
COMPONENT 3: Livelihood improvement and small scale infrastructure support in target villages and communes/clusters	<ul style="list-style-type: none"> • Documented evidence of consultation with local women and women's groups (including women from ethnic groups) prior to subproject approval; • At least 30% of Commune Development Fund (CDF) investments targeted at livelihood activities (micro-credit borrowings) prepared and submitted by community womenfolk; • At least 30% of extension training directed at women producers (animal production, agriculture productivity); • At least 30% of CDF Management Board members are women; • Preparation of gender responsive designs for water storage/water harvesting systems to combat drought and water stress; • Equal pay for men and women for work of equal type; • Training on Commune Development Funds is gender responsive and gender sensitive
COMPONENT 4: Project management and support services	<ul style="list-style-type: none"> • Gender mainstreaming training for Project Management Units across all levels at Project start. • At least 20% of staff is women at each level (senior management, technical and administrative / support staff). • Project Implementing Unit responsible for overseeing GAP implementation and reporting must include progress against the GAP in annual / semi-annual progress reports to ADB. • Participation of national institutions addressing concerns on women and women ethnic minorities across Project implementation units, especially in monitoring and grievance redress (Grievance redress mechanism disaggregated feedback and response by sex) • Both female and male staff given equal opportunity to participate in non-gender related training and capacity development programs. • A national social development/gender consultant recruited to (i) build capacity of Project management units across levels, Project staff and facilitators in gender responsive design and analysis; (ii) preparation of gender sensitive indicators; (iii) preparation of checklists for evaluation of gender responsiveness of proposed subprojects; and (iv) coordination of relevant consultancies as appropriate. • Sex-disaggregated indicators established for Project performance M&E system; monitoring will be on-going to ensure activities are effectively carried out and targets reached; progress reports to include gender-related achievements and constraints. • Mid-term review Mission to assess gender related achievements and constraints to GAP implementation and propose, if required, adjustments for better Project performance.

345. **Implementation Mechanisms for the Gender Action Plan.** The Executing Agency (EA) for the proposed Project will be MONRE. MONRE will delegate responsibility for overall coordination and establish a Central Project Management Unit (CPMU) responsible for day-to-day activities at the national level. Consistent with the Government's desire to decentralize project implementation to the provinces, the Provincial People's Committees in Quang Nam, Quang Tri, and Thua Thien Hue will be the implementing units for subprojects. Each PPC shall establish a PPMU and delegate responsibility for subproject implementation to the PPMU.
346. The CPMU will recruit a Social Development Specialist to oversee and assist in the GAP implementation for each participating province through social safeguards officers appointed within the provincial PMU. The PPMUs will work with the relevant provincial, district and commune agencies (Viet Nam Women's Union and Ethnic Minorities' Office)

to implement and coordinate training and capacity building. The Project will coordinate and complement gender programs/activities with the Gender Working Group in MARD.

347. The estimated costs of the gender strategy are incorporated in the overall arrangements and total budget of the project. There is no need for separate budget allocation inasmuch as the percentage distribution of participants to capacity building and participation to the consultation and participation processes across levels (national, province, district, and communes) is built in.

C. Evaluation

348. ADB will conduct regular (at least twice per year) reviews throughout project implementation to assess implementation performance and achievement of project outcomes and objectives, examine financial progress, and identify issues and constraints affecting the Project and work out time-bound action plans for their resolution.
349. A midterm review mission was undertaken in August 2014. This updated PAM reflects recommendations made at the midterm review mission.
350. Within 6 months of physical completion of the Project, ADB will conduct a project completion mission to carry out a preliminary assessment of the success of the Project to achieve its physical, and socio-economic developmental objectives, as well as to review compliance with ADB requirements and loan covenants.

D. Reporting

351. The CPMU will provide ADB with (i) half-yearly progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions; (c) updated procurement plan and (d) updated implementation plan for next 12 months; and (iii) a project completion report within 6 months of physical completion of the Project. To ensure projects continue to be both viable and sustainable, project accounts and the executing agency AFSs, together with the associated auditor's report, should be adequately reviewed.

E. Communication Strategy

352. The table below provides the consultation and participation strategies by participating entities at prescribed stages of the project cycle.

Consultation and Participation Plan: Summary Chart

ITEM	Stakeholder Group				
	Executing/Implementing Agency	Ethnic Minorities Office and Peoples' Party	Ministries: Planning & Investments	Vulnerables: Ethnic Minorities, Farmers & Women (Commune Level)	Civil Society (i.e., Academe, & NGOs)
A. Project Cycle: Task/Objective of Stakeholder Participation					
1. Project identification	Prepare sectoral development framework plans and guidelines/strategies for programming & prioritization of subprojects requiring assistance			Prepare and prioritize community needs/ plans/programs/projects	Participate in consultations within mandated areas
	Subproject screening			Participation to free & prior informed consultations	
2. Project Preparation	Identify subproject proposals for possible foreign and local assistance in close coordination with implementing units and other appropriate government agencies	Coordinate and oversee all consultations to project preparation in areas with ethnic minorities.	Provide technical staff support to subproject coordination & review	Participation to free & prior informed consultations (resulting in EMDP & RP)	Consultation and participation
	Recommends criteria and system for evaluating projects; and	Coordinate preparation of appropriate social safeguards			Preparation of Social Assessment
	Information disclosure				Preparation of Ethnic Minority Development Plan (if applicable)
					Preparation of Resettlement Plan (if applicable)
3. Appraisal	Coordinate the conduct of subproject appraisal;	Ensure preparation of appropriate social safeguards;	Monitor status of proposed subprojects for possible funding assistance by Project;	Participation to free & prior informed consultations (resulting in issuance of consent document)	Participate in validation of safeguards documents
		Verify adequacy of the policy and legal framework; adequacy of allocated technical, financial, & human resources.			
		Examines whether ethnic minorities have participated in EMDP formulation			
4. Project Implementation (including inception, detailed engineering, monitoring, & review)	Provide basic policies, systems and procedures for the effective & efficient implementation of subproject;			Spearhead preparation of detailed engineering design of subprojects	Conduct external M&E and performance/impact assessment
	Provides technical assistance in detailed design, project monitoring and assessment;			Implement & manage subproject	Develop & implement IEC plan (to include disclosure measures), materials and/or training
	Monitor performance and impact of project in coordination with donor and oversight government agencies;			Involvement in participatory monitoring	
	Coordinate with funding/donor/ oversight agencies in project programming and monitoring;			Attend to capacity building activities	
	Oversee & coordinate subproject, EMDP & RP implementation;		Ensure project compliance to loan agreements/commitments;		
	Prepare, conduct and attend (depending on nature of capacity building) subproject capacity building initiatives				
5. Completion & post evaluation	Evaluate project performance and impact in coordination with donors and oversight government agencies;			Participate in project & subproject impact assessment/post project completion	Conduct impact assessment/post project completion
	Document, disseminate lessons learned, & when applicable mainstream experiences gained and technologies			Ensure operation and	

ITEM	Stakeholder Group				
	Executing/Implementing Agency	Ethnic Minorities Office and Peoples' Party	Ministries: Planning & Investments	Vulnerables: Ethnic Minorities, Farmers & Women (Commune Level)	Civil Society (i.e., Academe, & NGOs)
	generated from the subproject, and provide policy recommendations with reference to development initiatives and implications to future projects;			maintenance/sustainability of subproject	
	Coordinate with funding/donor/ oversight agencies in project evaluation;				
	Conducts post project evaluation and impact analyses.				
		Coordinate project evaluation in ethnic minority project areas.			

X. ANTICORRUPTION POLICY

353. ADB's Anticorruption Policy (1998, as amended to date) was explained to and discussed with MONRE. Consistent with its commitment to good governance, accountability, and transparency ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Project.¹⁵ All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Project contractors, suppliers, consultants and other service providers. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB- financed activity and may not be awarded any contracts under the Project.¹⁶
354. To support these efforts, relevant provisions of ADB's Anticorruption Policy are included in the loan regulations and the bidding documents for the Project. In particular, all contracts financed by ADB in connection with the Project shall include provisions specifying the right of ADB to audit and examine the records and accounts of MONRE/CPMU, PPMU, and DPIU, as well as all contractors, suppliers, consultants, and other service providers as they relate to the Project. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the Project. The project design and implementation arrangements provide for mitigation of corruption risks. Risks associated with project management, including procurement and disbursement, will be mitigated by the engagement of LIC to advise and assist in the procurement of goods and services, and the engagement of other consultants. The Government will disclose through MONRE website accessible by the general public, information about various matters concerning the Project, including general project information, procurement, project progress, and contact details in the English and in Vietnamese. The website will also provide a link to ADB's Integrity Unit (<http://www.adb.org/Integrity/complaint.asp>) for reporting to ADB any grievances or allegations of corrupt practices arising out of the Project and Project activities. With regard to procurement, the website will include information on the list of participating bidders, name of the winning bidder, basic details on bidding procedures adopted, amount of contract awarded, and the list of Goods, Works and Consulting Services procured.

¹⁵ Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.p>

¹⁶ ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

XI. ACCOUNTABILITY MECHANISM

355. People who are, or may in the future be, adversely affected by the Project may address complaints to ADB, or request the review of ADB's compliance under the Accountability Mechanism.¹⁷

XII. RECORD OF PAM CHANGES

356. The original PAM was prepared and approved in November 2010
357. This version of the PAM (as of April 2016) was prepared as a result of the recommendations made at the midterm review mission in August 2014 and the review mission in April 2016. Changes to the PAM are reflected in summary boxes in section I. The cost and financing (section IV), revised procurement plan (section VI), and revised DMF (section IX) were updated and approved by ADB and the Government in April 2015 as the result of the midterm review mission.

¹⁷ For further information see: <http://compliance.adb.org/>.

APPENDIX 1. PARTICIPATORY VILLAGE LAND USE PLANNING

A. Participatory Village Land Use Planning

1. Inherent risks for a resource conservation project focusing on the establishment of forest through farmers besides technical problems are:

- (i) insufficient social acceptance of the project activities and therefore missing motivation of farmers;
- (ii) unclear land tenure situation;
- (iii) uncertain capability of the farmers concerned to implement co-ordinated activities; and
- (iv) scattered reforestation plots with a significantly reduced ecological impact.

2. Participatory Village Land Use Planning (PVLUP) is the first step in ecological forest restoration planning and addresses these issues. Villagers (facilitated and guided by LUP officer/ staff) discuss about their present land use and their future land use needs in the framework of the macro plan (local medium and long-term land use, provided by related district divisions such as district agriculture division, district cadastral division, etc).

3. The purpose of VLUP is to ensure consensus about the right choice of the forest restoration sites, to clarify the management and ownership rights indispensable for sustainable land use and also to reach agreement on the future use of all other forestland. Additional discussion on selection of tree species and village regulations for the protection of the future plantation is initiated during the PVLUP. In other words: The purpose of PVLUP is to ensure social-economic acceptance of the forest restoration areas by the villagers.

4. While the time horizon for the whole plan covers a period of 5 years, selected areas for project interventions are permanent forestland. At village level, planning results are mainly documented in the 3-D-models (land use), the current land use maps and future land use maps as well as in the village regulations (protection issues).

5. Plans are aggregated on commune level, appraised by PPMU (and randomly checked by CPMU) and related district divisions), and finally approved by the District People Committee. Those plans will be approved which have demonstrated and ensured that:

- (i) Reforestation is complementary to other types of land utilisation such as agriculture or cattle grazing; and
- (ii) Coherent areas are reforested simultaneously in the proximity of Protected Areas and existing natural forest and in a co-ordinated way.

6. In the framework of a forest restoration project, the land use-planning concept will be highly successful if people involved feel free from any pressures such as planning targets. Forest restoration targets have to be based on village condition while it is the task of the higher levels (district to national level) to monitor the compliance of targets with the project framework. If correctly implemented, the vote taken by the villagers leads to an identification of the participants with the chosen land use type and to a joint commitment by the village community.

7. In principle, all villagers can participate in project activities. Project participants are selected during the PVLUP. The project does not interfere in selecting the participants of the project; selection is made by the villagers themselves.

8. The formation of forest farmers' groups should be encouraged already during VLUP to enhance conditions for long-term management. Steps of implementation are:

- (i) Rank selected communes according to implementation priorities;

- (ii) Produce necessary materials (e.g. missing maps);
- (iii) Conduct workshops at district, commune and village level to facilitate participatory land use planning;
- (iv) Facilitate selection of participants and formation of forest farmers' groups per forest restoration block, based on criteria such as coherent management area, kinship, and residential proximity;
- (v) Appraise (PPMU under participation of NPMU, consultants, and related district divisions) and approve (DPC) commune/village land use plans;
- (vi) Carry out land allocation/adjust land allocation already carried out prior to project start; and
- (vii) Produce maps/visual aids of planned land use already agreed upon between the parties involved.

9. For more details on VLUP implementation and appraisal please refer to the project guidelines.

B. Site Mapping

10. Forest restoration sites selected during the VLUP are technically investigated according to their site potential. This process is called site mapping.

The most important results of site mapping are:

- (i) The definition of the site group (A, B, C, D);
- (ii) The selection of the forest establishment model (ecological forest planting or natural regeneration);
- (iii) The selection of the range of suitable tree species for forest restoration areas which match with the prevailing site conditions in the field (site-species matching);
- (iv) The selection of the tree species. Based on the table for matching site species the farmers (or their representatives in the village support groups) select the tree species of their choice for each site group in their village.

11. Other results of site mapping are:

- (i) A site map 1:10000 or 1:5000 indicating the four site groups for the areas earmarked for forest restoration and natural regeneration;
- (ii) A special forest site report about site conditions prevailing in the specific area, including a list of suitable species for each site group; and
- (iii) A simple forest restoration plan in which the forest restoration targets per plot and household are described.

12. Site mapping results are the basis for the subsequent nursery planning. At the end of the field exercise the results are discussed with the villagers, the villagers select species, and simple forest restoration plans are elaborated.

13. Site mapping is implemented either by well-trained district project staff or by a contracted agency specialised in this field of expertise (contracted by DPIU). Site mapping results are appraised by the PPMU (with participation of DARD and randomly checked by CPMU) and approved by the PPMU.

14. For more details on site mapping implementation and appraisal please refer to the project guidelines.

C. Area Measurement and Land Allocation

15. The results of the planning steps 1 and 2 provide the basis for the final step of the fieldwork during forest restoration planning, the area measurement and plantation design. Plots sizes are measured and plot boundaries are marked.

1. Area measurement

16. The projects tolerate area measurement errors of up to 3 % if the slope degree is > 25° and the accepted temporary errors in the natural regeneration area can be reached 5%. The work is done by external contracted organisations legally eligible for this type of work (this work should be contracted by DPIU and monitored or supported by CPIU).

17. In the traditional Vietnamese system this step (“Thiet ke trong rung”) is the most important planning exercise and includes aspects of site selection, site mapping, species selection, afforestation planning, determination of investment and area measurement. It has to be ensured that the area measurement teams understand the difference to their normal task and respect and built on the previous planning steps. Training in project planning principles is compulsory for the teams. The results of the area measurement and the plantation design work are:

- (i) A list of participants, plot number and plot size of species;
- (ii) A sketch map of the plot; and
- (iii) Forest plantation design maps at scale of 1:5,000 for village and 1:10,000 for commune.

18. Results of area measurement are rechecked by an outside unit contracted by the CPMU or PPMU (with participation of DARD). Results are approved by the PPMU and are the basis for the detailed planning of implementation activities and following land allocation.

2. Land allocation

19. Allocation of land and award of the land use certificate (Red Book) is in the responsibility of the Division for Natural Resources and Environment (former Division for Land Administration - DLA) at district level and the Forest Protection Departments (FPD). These agencies receive the necessary maps and planning material from the project. The decision which land to reserve for forestland allocation is based on the agreements reached during the land use planning process.

20. It is recommended to form a Land Allocation Committee in each commune (or the CPIU) to steer the overall process. It is further recommended to allocate all forestland village by village. While it would be desirable to have the full process of land allocation completed at the start of the forest restoration activities, in reality this has proven to be rather ambitious. To allow mobilisation of project investment it is required that all steps towards land allocation up to the point of written application for issuance of a land use certificate are completed. The implementation steps are:

- (i) Dissemination of information pertaining to land reform, land law, taxes etc. during meetings;
- (ii) Identification of local land users' requirements based on the land use planning results;
- (iii) Application of land users for specific plots using simple formats;
- (iv) Development of a proposal for land allocation based on applications;
- (v) Demarcation of boundaries in the field;
- (vi) Recording of boundaries on maps and in a field record book;
- (vii) Approval of the maps by the PC district;
- (viii) Issuance of the certificates by the PC district; and

21. DPIU will supervise the land allocation process.

D. Provision of materials for Forest Restoration

1. Nursery Planning and Management

22. Nursery planning is done in three different steps:
- (i) A rough estimation of seedling demand is done at the end of the site mapping field exercise, when the forest restoration types per household are defined. Results are aggregated on district level for a preliminary planning;
 - (ii) Final determination of seedling demand is done after completion of the area measurement;
 - (iii) Final nursery planning and signing of the contract between DPIU and nursery owner; and
 - (iv) Final nursery planning has to include the needs for refilling planting.
23. If it is possible, seedlings are encouraged to be produced in small-scale private decentralised village-based nurseries (farmer owned and managed nursery, less than 4 km from forest restoration site, ~ 50,000-60,000 seedling gross output).
24. Advantages of raising seedlings in village-based nurseries include:
- (i) Benefits from cash earnings are more widely distributed in villages taking part in forest restoration. Additionally, labour opportunities are created at village level;
 - (ii) Nursery technology is transferred to the village level;
 - (iii) Transportation risks are minimised. As a result, there is a wider flexibility with regard to production methods, timing of seedling distribution and planting;
 - (iv) Nursery planning is an integral element of village forest restoration and the forest management plan;
 - (v) Forest farmers and their interest groups are actively involved in the decision where to buy their seedlings;
 - (vi) Site and species can be matched better due to the high flexibility; and
 - (vii) Forest extension service can improve its capability to provide services to private forest farmers.

2. Provision of other inputs

25. Regarding the general nursery inputs, supply is in the responsibility of the nursery owner. As for the fertiliser for the plantations, the PPMU and the DPIU jointly select the unit where the fertiliser will be purchased by comparing 3 offers. The DPIU is responsible to sign the contract while the PPMU will monitor fertiliser quality and application method.

E. Forest Restoration

1. Implementation

26. The projects have elaborated technical guidelines for forest restoration. These guidelines focus on the following aspects:
- (i) A short ecological and economic description of the species;
 - (ii) Techniques of seedling production;
 - (iii) Detailed forest restoration techniques;
 - (iv) Technical details regarding stand treatment such as tending and protection; and
 - (v) Brief description of further silvicultural treatments.

27. In general, these guidelines aim at district technical field staff advising project participated smallholders and interested farmers. The forest restoration guidelines include new forest planting and natural regeneration for selected species.

F. Monitoring and Controlling of Quality

28. The project's plantation monitoring and controlling systems (= acceptance check) aim at two different objectives:

- (i) Assisting the PMU's at all levels to realistically assess quantity and quality of the established plantations in order to guarantee necessary adaptations of the implementation program; and
- (ii) Providing the framework to carry out the payments for seedlings, fertiliser and deposit accounts (first instalment, subsequent withdrawals).

29. The acceptance checks focus on two different issues:

- (i) Area measurement (= quantity check); and
- (ii) Plantation quality such as survival rate, spacing, seedling quality (seize and health situation), tending situation, grazing damages and site-species suitability.

30. The acceptance checks are implemented in two different steps:

- (i) Internal monitoring executed by the DPIU under the supervision of the PPMU (=acceptance check); and
- (ii) External monitoring (= "re-check") organised by the CPMU under the participation of either (i) a specialised and contracted third party (private company or public institution) and/or (ii) the consultant.

31. The schedule for the acceptance checks and re-checks is as follows:

- (i) The first acceptance check of plantation quality is carried out as soon as the plantation season has finished (1-2 months after afforestation);
- (ii) The further acceptance checks of the plantation quality are carried out after completion of the forest tending season during the whole duration of labour support by the project for forest tending and protection (Year 2, 3, 4); and
- (iii) The re-checks are carried out as soon as the internal acceptance check results are available during the first three years after plantation establishment.

32. Since acceptance checks and re-checks are the precondition for project payments, their timely implementation is of uppermost importance. The DPIU will carry out the acceptance check for 100% plots (participating households). The re-check areas lay between 10% (early stage of the project) and 8% (later stage of the project) of the total area respectively the total number of participating households.

XIII. APPENDIX 2. GENDER ACTION PLAN

1. The GMS Biodiversity Conservation Corridor Project (The Project) aims to result in climate resilient transboundary biodiversity conservation corridors sustaining livelihoods and investments in Cambodia, Lao PDR, and Viet Nam. It is envisaged that by 2017, the GMS Biodiversity Conservation Corridors are established with supportive policy and regulatory framework in the three countries that maintain ecosystem connectivity and services. It has four components with corresponding indicative activities, (i) Institutional and community strengthening for biodiversity conservation management; (ii) Biodiversity corridors restoration, ecosystem services protection, and sustainable management by local resource managers; (iii) Livelihood improvement and small scale infrastructure support in target villages and communes/ clusters; and (iv) Project management and support services (See the Project Design and Monitoring Framework (DMF)).
2. The approach is a response to the increasing developmental threats (construction of hydroelectric dams, mining and economic concessions for rubber plantations and logging) that abound within the region that result in fragmentation. The fragmentation of ecosystems decreases its capacities to provide services to both upstream and downstream users. The Project aims to show that livelihood activities, agriculture, and some selected development activities could co-exist and be integrated in a conservation landscape as it encompasses conservation and development, protection and livelihoods for sustainable use and management. It fosters links between protected areas and connecting corridors consisting of linear or stepping stone forest blocks that allow for restoration of ecosystem connectivity. The proposed Project promotes zoning with the intention of safeguarding forest access and tenurial rights of the poor and ethnic groups living in remote mountain villages and clusters considered to be the stewards of the ecosystem. All subprojects for investment therefore are community driven, rooted on active stakeholder participation otherwise, conservation and sustainable use cannot be possible.
3. The Project targets an estimated 15,500 beneficiary households in the 35 target communes found in three provinces (Quang Nam, Quang Tri, and Thua Thien Hue) of the Socialist Republic of Viet Nam.

A. Gender Status and Issues for Proposed Project

1. At the National Level

4. Viet Nam is advanced as regards concerns on gender issues compared to its neighboring regional countries. As early as 1946, a resolution on equal rights of men and women in all fields was issued soon after the declaration of the socialist government in Hanoi (1945). In 1967, Resolution 153 declared that women were to fill at least 35 percent of all jobs and 50-70 percent in the education, medical, and light industry sectors. At the turn of the century, the country emerged impressive in its economic growth, rapid poverty reduction, and improved living standards. The changing status of Vietnamese women in terms of educational attainment, income, occupational status, job mobility, and political representation (Bussarawan, T., et. al. 2008) was noted.

5. Viet Nam has one of the world's highest rates of female economic participation: 84% of Vietnamese women ages 25-54 are economically active (ILO, 2006) without interruption for childbearing and childrearing.¹ Significant improvement was observed for educational enrollment at all levels (Nguyen 2004) in the mid 1990s. Gender gaps in schooling have been continually narrowing throughout Viet Nam² --- women presently are not perceived to be at a disadvantage. ADB documented that gender-earning gaps seemingly declined after the reform; women's income was 69 percent of men's in 1992-3 but narrowed to 22 percent by 1998 and 15 percent in 2002.³ Available literature on gender domestic roles however, highlight the fact that Vietnamese women continue to perform majority of housework and little has changed over time in terms of husbands' contributions to household labor.⁴
6. Viet Nam Women's Union (VWU) promotes gender equality initiatives. The National Plan for the Advancement of Women targets for the increase of women's representation in elective positions. Under the Convention on the Elimination of Discrimination Against Women (CEDAW), program activities envisage strengthening of the government's capacity to implement guarantees for women's equality including equality guarantees in relation to employment and the need to end trafficking.⁵
7. In 2007, the government enacted the 2007 Law of Gender Equality (ADB, 2007) to further promote gender equality. In recent years, non-governmental organizations, as well as the United Nations Development Fund for Women, and international donor agencies have made their presence felt to promote gender equality and women empowerment. In response, the Government have mainstreamed gender issues in most development projects (Viet Nam National Committee for Advancement of Women 2004).
8. Pertinent to Project design, key facets on gender issues in Viet Nam are noted as documented by the Food and Agriculture Organization (FAO),⁶ to wit:
 - (i) 32% of the households are headed by women;
 - (ii) Women make up 53% of farming population;
 - (iii) Women hold dual responsibility for farm and household management;
 - (iv) Women above 25 have a 15% lower literacy rate than men in rice farming women have a substantial role, which is enlarging;
 - (v) Women are actively involved in aquaculture, artisanal fisheries and manage small livestock production;
 - (vi) Marketing of agricultural products is mainly done by women;
 - (vii) Women contribute actively to household income through marketing, petty trade, food processing and handicrafts; and

¹ Haub, Carl and Phuong Thi Huong. 2003. An overview of population and development in Viet Nam. Washington, DC: Population Reference Bureau.

² Knodel, John and Gavin Jones. 1996. "Post-Cairo population policy: Does promoting girls' schooling miss the mark?" Population and Development Review 22(4): 683-702.

³ Bussarawan, T., et. al. 2008.

⁴ Bussarawan, T., et. al. 2008. Gender Division of Household Labor in Viet Nam: Cohort Trends and Regional Variations. Population Studies Center, Institute for Social Research, University of Michigan. October 23008.

⁵ UN Development Fund for Women. http://unifem-eseasia.org/projects/Cedaw/countryprogramme_Viet_Nam.html

⁶ SD Dimensions: Asia's women in agriculture, environment and rural production - Viet Nam. <http://www.fao.org/sd/WPdirect/WPre0113.htm>

- (viii) Women's contribution as family labor is undervalued and rarely included in accounting as work.

2. Gender Issues in Project Sites

9. The GAP is based on (i) six sample communes (Annex 1) that have been assessed for feasibility through commune level consultations; (ii) national, provincial, district and village consultations with women of different ages and ethnic groups, government officials, and mass organizations, and (iii) available secondary data on gender related issues. Aside from stakeholder perceptions to Project-related issues, measures on daily household activity schedule, allocation of labor, access and control over resources was determined through key informant interviews (KII) and focus group discussions (FGD) conducted in the local language by local assistants (Annex 2).
10. The Project's gender analysis revealed that the total ethnic minority population in Project sites is about 92.2% of the total population. Hence, gender issues will be largely deal with poor, rural, and ethnic minority women.
11. **Provincial level.** Interviews conducted among officials of the Women's Union in Quang Nam Province revealed the following issues as grave concerns for women of the Project sites:⁷
 - (i) Disease incidence in women - Osteoporosis occurs in over 60% in Viet Nam as a reflection of malnutrition (calcium deficiency). The second main medical concern is water-borne and sanitation-related diseases affecting 47% of women because of lack of clean water. At present, rivers and streams in Quang Nam are severely polluted due to mining activities. The rise of sexually transmitted diseases due to the increase of construction workers for hydropower facilities and mining firms. In Tay Giang, 31% of the total of women who came to check their health in 2008 had venereal diseases.⁸
 - (ii) Lack of health service in remote areas – There is a shortage of health facilities, equipment, and more importantly, absence of doctors. Long distances to health stations limit access. A further compounding factor limiting access for women, specifically ethnic minorities, is diagnosis by a medical worker of the opposite sex.
 - (iii) Literacy and living conditions - Living conditions of ethnic groups in Quang Nam province though improved at current times still show marked illiteracy among women especially from ethnic minorities. Further, while women now participate in planning and decision-making, participation is limited by responsibility for more household reproductive functions than men.
 - (iv) Limited credit performance - Household credit arrangements are typically assigned to women. Low literacy rates limit their ability to manage credit. According to the data⁹ of the Social Policy Bank of District and Women Unions at all levels, 69% of women have received the low-interest loans from the Bank and from Women Union's credit programs. However, the effectiveness of the loan investment in cattle, pigs and poultry rearing were

⁷ Key informant interviews with Quang Nam Provincial Women's Union. 15 June 2010.

⁸ ADB. Central Region Rural Water Supply and Sanitation Sector Project – EMDP for A Tieng Commune. EMDF for Viet Nam. 2009.

⁹ *Ibid.*

affected by animal diseases. In addition to low literacy rates, limited veterinary service delivery resulted in high risk loans. As a result, the animals died and women are in debt.

12. **District Level.** At the district level, officials and staff of the Women's Union cite the following key concerns:¹⁰
 - (i) Limited awareness – high Illiteracy rate for women and limited access to community decision-making forums results in lower awareness, than men, to external issues impacting on the community.
 - (ii) Language barrier - Difficulties in comprehending issues affecting women and households since meetings and propaganda dissemination are not conducted in local languages.
 - (iii) Absence or lack of rural infrastructure - Inter-village roads are far and difficult to access. With no means of transportation, women walk, taking up much of their time for household reproductive activities.
 - (iv) Limited income opportunities and gender-based violence – The main source of income is upland farming. The shortage of alternative employment opportunities has led to marked poverty but also increased incidence of domestic violence, women working more than men, and men keeping the money in their family.
13. **Commune Level.** Household size in Project sites is generally higher by 1 person compared to the District average. The main crop is rice, with two croppings per year in paddy rice fields and rainfed areas. Other crops are cassava, banana and the typical homegardens for herbs and other local vegetable crops for home consumption. Some households would have enough surplus to sell in local markets, which on the average across the six sample communes is about 32.5 km away; the closest is 3 km (Thuong Long), the farthest 100 km (La De) and all others not more than 25 km. The 4th quarter of the year is the ideal time to conduct intensive training activities for male and female, as well as introduction of alternative livelihood as this is the slack period in the Project communes.
14. Assessment of power relations and household labor allocation in Project sites reflect the invisibility of women's domestic work with the invisibility of women's work in other income generating activities. Unpaid work in the Project sites is regarded mainly as women's domestic work and distinctive from other types of work. Access to and control over resources is reportedly for males in Dakrong and also for males as regards animal production in Huong Linh.
15. The 24-hour male-female household schedules in sample Project sites (Annex 3) shows that women's work hours exceed those of males by about 3 hours and that these are largely unpaid tasks. In La De of Quang Nam province, there appears to be more egalitarian responses. La De Project beneficiaries belong to the Gie Trieng ethnic minority group characterized to be matrilineal compared to other ethnic groups thus there is no such sharp distinctions. By and large, women dominate in almost all aspects of household activities, being more male-dominated (though minimally) only in commercial crop production and community-related activities.

¹⁰ Key informant interviews with Dakrong District and A Luoi District Women's Union. June 2010.

16. Huong Linh has less working hours inasmuch as other sources of income are extremely limited within the area and most productive activities are generally subsistence in nature. Huong Linh is a resettled (hydropower) community mostly Van Kiews. Thuong Long in TT Hue mostly belong to the Co Tu ethnic minority group. Productive activities are more accessible to both males and females with the advent of tree plantation establishment specifically acacia and rubber thus the workload of women increased.
17. In a study by Bussarawan, et.al (2008),¹¹ noted the husband's increased involvement in reproductive activities, but that it does not appear to be accompanied by any significant decline in the wife's contribution. Pronounced gender segregation in domestic roles is still pervasive in Project sites and Viet Nam in general.

B. The Project GAP

18. A Gender Action Plan (GAP) is prepared based on findings from the Social Assessment using the ADB Handbook for Social Assessment, and in close consultation with stakeholders that significantly include women and women leaders of Viet Nam. The GAP takes into account Viet Nam regulations significantly the 2007 Law of Gender Equality, and the ADB Policy on Gender and Development in particular, the Gender Guidelines of March 2010.
19. This GAP ensures (i) equal opportunities to access project benefits; (ii) active consultation and participation of women and minority ethnic groups; (iii) collection of gender disaggregated data including benefit monitoring and evaluation; and (iv) increased representation of women in decision-making bodies at all levels. The gender inclusive design elements presented in Table 1 are in response to constraints faced by women as presented in the social and gender analysis and prepared in consultation with stakeholders, particularly local women.

Table A2.1 Project Gender Action Plan Overview

Project Component	Gender Action Plan Targets
COMPONENT 1: Institutional and community strengthening for biodiversity conservation management	<ul style="list-style-type: none"> • 30% participation of women during consultations; training in participatory land use planning, commune/village investment planning, GIS-based mapping, and functional literacy; capacity building in biodiversity corridor management, O&M, small enterprise development, assessment, and in working groups/committees to be established by the Project. • Gender sensitive training/IEC materials will be produced in local languages, (where applicable) to be prepared in close consultation with beneficiaries specifically, on land rights, credit, and access to resources and opportunities provided by the Project, linking up with on-going government and development partner programs on health/sanitation and HIV education, and climate change adaptation. • At least 50% of female heads of households receive forestland and land use certificates (LUC) collectively and/or individually where applicable, for livelihood purposes and productivity enhancement.
COMPONENT 2: Biodiversity corridors restoration, ecosystem services protection, and sustainable management by local resource managers	<ul style="list-style-type: none"> • Forest restoration activities (enrichment planning, NTFP planting, agro forestry) include at least 30% of women's labor input participation on cash basis; • National gender specialist to oversee preparation of community disaster risk and response plan, and conduct gender-responsive workshops ensuring access to information by women on mapping household vulnerability and livelihood options

¹¹ *Op. cit.*

Project Component	Gender Action Plan Targets
COMPONENT 3: Livelihood improvement and small scale infrastructure support in target villages and communes/clusters	<ul style="list-style-type: none"> • Documented evidence of consultation with local women and women's groups (including women from ethnic groups) prior to subproject approval. • At least 30% of Commune Development Fund (CDF) investments targeted at livelihood activities (micro-credit borrowings) prepared and submitted by community womenfolk; • At least 30% of extension training directed at women producers (animal production, agriculture productivity) • At least 30% of CDF Management Board members are women. • Preparation of gender responsive designs for water storage/water harvesting systems to combat drought and water stress • Equal pay for men and women for work of equal type. • Training on Commune Development Funds is gender responsive and gender sensitive
COMPONENT 4: Project management and support services	<ul style="list-style-type: none"> • Gender mainstreaming training for Project Management Units across all levels at Project start. • At least 20% of staff is women at each level (senior management, technical and administrative / support staff). • Project Implementing Unit responsible for overseeing GAP implementation and reporting must include progress against the GAP in annual / semi-annual progress reports to ADB. • Participation of national institutions addressing concerns on women and women ethnic minorities across Project implementation units, especially in monitoring and grievance redress (Grievance redress mechanism disaggregated feedback and response by sex) • Both female and male staff given equal opportunity to participate in non-gender related training and capacity development programs. • A national social development/gender consultant recruited to (i) build capacity of Project management units across levels, Project staff and facilitators in gender responsive design and analysis; (ii) preparation of gender sensitive indicators; (iii) preparation of checklists for evaluation of gender responsiveness of proposed subprojects; and (iv) coordination of relevant consultancies as appropriate. • Sex-disaggregated indicators established for Project performance M&E system; monitoring will be on-going to ensure activities are effectively carried out and targets reached; progress reports to include gender-related achievements and constraints. • Mid-term review Mission to assess gender related achievements and constraints to GAP implementation and propose, if required, adjustments for better Project performance.

20. **Implementation Mechanisms for the Gender Action Plan.** The Executing Agency (EA) for the proposed Project will be MONRE. MONRE will delegate responsibility for overall coordination and establish a Central Project Management Unit (CPMU) responsible for day-to-day activities at the national level. Consistent with the Government's desire to decentralize project implementation to the provinces, the Provincial People's Committees in Quang Nam, Quang Tri, and Thua Thien Hue will be the implementing units for subprojects. Each PPC shall establish a PPMU and delegate responsibility for subproject implementation to the PPMU.

21. The CPMU will recruit a Social Development Specialist to oversee and assist in the GAP implementation for each participating province through social safeguards officers appointed within the provincial PMU. The PPMUs will work with the relevant provincial, district and commune agencies (Viet Nam Women's Union and Ethnic Minorities' Office) to implement and coordinate training and capacity building. The Project will coordinate and complement gender programs/activities with the Gender Working Group in MARD.

22. The estimated costs of the gender strategy are incorporated in the overall arrangements and total budget of the project. There is no need for separate budget allocation inasmuch as the percentage distribution of participants to capacity building and participation to the consultation and participation processes across levels (national, province, district, and communes) is built in.

Annex 1. Summary Matrix of Socio-demographic Characteristics within Viet Nam
Project Sample Sites

Province/ District	Commune/ Village	Area (Sqm)	Total Population	Population Density	No. Of HHs	No Of Females	% Females	Poor HHs	% Poor HHs	No Of EMs	% From Total	No Of EM Females	% Females
VIET NAM		734.6	16,072	21.9	3,104	8,012	50%	1,287	41%	13,746	86%	6,965	51%
QUANG NAM		406.3	3,113	7.7	776	1,514	49%	487	63%	2,825	91%	1,438	51%
1. Tay Giang	Lăng	223.4	1,058	4.7	329	487	46%	183	56%	1,033	98%	517	50%
2. Nam Giang	La Đê	182.9	2,055	11.2	447	1,028	50%	304	68%	1,792	87%	921	51%
QUANG TRI		226.1	8,693	38.4	1,380	4,349	50%	518	38%	6,998	81%	3,515	50%
1. Huong Hoa	Huong Linh	116.6	2,891	24.8	413	1,506	52%	181	44%	2,870	99%	1,492	52%
2. Dakrong	Dakrong	109.5	5,802	53.0	967	2,843	49%	337	35%	4,128	71%	2,023	49%
TT HUE		102.2	4,266	41.7	948	2,148	50%	282	30%	3,923	92%	2,012	51%
1. A Luoi	Huong Lam	50.9	1,928	37.9	438	979	51%	162	37%	1,674	87%	865	52%
2. Nam Dong	Thuong Long	51.3	2,338	45.6	510	1,169	50%	120	24%	2,249	96%	1,147	51%

Annex 2. Attendance to FGDs and KIIs

Date	Province	Activities in Province, District, and Commune	Time	Focal Person Present at FGDs / KIIs	KII / FGD Participants	Agency
9-Jun	TT Hue	Provincial Officials interviews	Afternoon	Le Thi Hanh: Thua Thien Hue DONRE	Mr. Vu	Ethnic Minorities
10-Jun		Provincial Officials interviews	Morning		Vo Thi Tuyet Hong	DARD
11-Jun		Nam Dong District Officials interviews	Morning		Mr. Tran Quoc Phung – Head of DPC Office Mr. Pham Tuan Son – Head of DARD Mr. Le Minh Hoa - EM	EM, DARD, & DPC
		FDG in Thuong Long commune	Afternoon	Tran Cong Thanh: DARD in Nam Dong District	Le Minh Khanh, Ho Tan Thanh, Pham Van Cuong, Le Trung Hieu, Tran Thi Xinh, Tran Thi Lut, Ho Thuong Mien, Tran Van Tri, Pham Thi Niep, Nguyen Thi Lan, Le Thanh Quynh, Ho Dang Xa, Pham Van Nuy Ms Hoang Thi Mai Loan Ms Le Thi Quynh Tuong	CPC (commune People Committee) and community District WU
12-Jun		A Luoi District Officials interviews	Morning			
		FDG in Huong Lam commune	Morning		Nguyen Thi Luc, Ho Thi Tam, Ho Thi Diep, Ho Thi Phai, Ra Pat Thi Nhung, Ho Thi Nho, Nguyen Thi Lien, Nguyen Thi Suong, Tran Van Thia, Nguyen Van Le, Ho Xuan Nhanh, Nguyen Van Nang, Ho Sy Buot Mr. Khong Trung: Vice head of Quang Tri DARD	FDG in Huong Lam commune
14-Jun	Quang Tri	Quang Tri Province interviews	Morning	Van Ngoc Thang: Quang Tri FPD		Quang Tri DARD
			Morning	Van Ngoc Thang:	Mr. Le Huu Tien: Quang Tri Ethnic Minorities	Quang Tri EM
			Afternoon	Van Ngoc Thang:	Mr. Vo Van Hiep: Quang Tri DONRE	Quang Tri DONRE
15-Jun		Dakrong District Officials interviews	Morning	Mai Thanh Khuong: Quang Tri FPD	Mr. Tran Hiep Mr. Khanh, Mr. Tung: Darkrong FPD Ms. Luonh, Ms. Mai, Ms. Huyen: Darkrong WU ; Ho Van Dang, Nguyen Van Dat: Darkrong DARD	Darkrong District
		FDG in Dakrong commune	Afternoon	Mai Thanh Khuong Bui Van Duan: Dakrong FPD	Ho Van Linh, Ho Enot, Pa Nguyen, Ho Van Thao, Ho Van Do, Ho Van Thanh, Pham Thi Hue, Ho Van Chung, Ho Van Bien, Ho Hien Mr. Thanh, Mr. Huy: Huong Hoa FPD	FDG in Darkrong commune
16-Jun		Huong Hoa District Officials interviews	Morning	Mai Thanh Khuong Ngo Viet Huy: Huong Hoa FPD		Huong Hoa District
		Huong Linh commune	Afternoon	Mai Thanh Khuong Nguyen Anh: Huong Hoa FPD	Ho Thi Roi, Ho Thi Van, Ho Py Noan, Ho Thi Dan, Ho Thi Xoa, Ho Thi Nguyet, Ho Thi Trung, Ho Thi Be, Ho Py Diep, Ho Py Dung, Ho Py Nieng, Ho Pa Rang, Ho Oi Ta, Tran Trong Kim, Dinh Quoc Te, Vo Khanh Ngoc Ms. Nguyet, Ms Thuy, Ms Phuong: Quang Nam WU Mr. Nguyen Tri Hung: Quang Nam EM Mr. Dang Dinh Nguyen: Quang nam FPD	FDG in Huong Linh commune
18-Jun	Quang Nam	Quang Nam Provincial Officials interviews	Morning	Nguyen Van An - 0975360929 bciquangnam@gmail.com		Quang Nam WU Quang Nam EM Quang nam FPD
			Afternoon			
19-Jun		Tay Giang District Officials interviews	Morning	Mr. Tu Van Khanh: Quang Nam FPD Mr. Ha Phuoc Phu: Tay Giang FPD	Mr. Nguyen Van Phu, Ms. Briu Thi Sen, Ms. Pham Thi Ngoc	Tay Giang District
		Lang commune Consultation/FDG	Afternoon	Mr. Tu Van Khanh: Quang Nam FPD Mr. Ha Phuoc Phu: Tay Giang FPD	Alang Reng, Briu Hung, Ha Huu Thang, Alang Natasa, Alang Rat, Bhriu Thi Nghiem, Bhling Thi Xat	FDG in Lang commune
20-Jun		Nam Giang District Officials interviews	Morning	Mr. Tu Van Khanh: Quang Nam FPD Mr. Nguyen Van Tanh: Nam Giang FPD	Nguyen Phan Truong, Briu Guonh	Nam Giang District
		La Dee commune consultation/FDG	Afternoon	Mr. Tu Van Khanh: Quang Nam FPD Mr. Pham Huu Nghia: Nam Giang FPD	Blup Vot, Zo Ram Dung, Blip Vi, Coor Quang, Po Loong Hai, Zo Rum Nhum, Blup Vo, Zo Ram Hieu, Alang Lan, Hien Danh, Blup Du, Bo Rum Dien, Broo Thuong, Alang Nhia	FDG in La Dee commune

Annex 3. 24 Hour Male and Female Household Schedules in Selected Project Sites

TIME	La De (Quang Nam)		Huong Linh (Quang Tri)		Thuong Long (TT Hue)	
	Male	Female	Male	Female	Male	Female
4:00 am					Men harvest rubber – seasonal	Prepare breakfast, eat & feed animals
4:30 am						
5:00 am	Prepare breakfast/feed Animals					
5:30 am				Cook breakfast, eat, & feed pigs		
6:00 am	Wash children/eat breakfast		Eat breakfast		Work on the field	
6:30 am						
7:00 am						
7:30 am						
8:00 am						
8:30 am	Work on the field		Work on the field			
9:00 am						
9:30 am						
10:00 am						
10:30 am						
11:00 am						
11:30 am			Rest/play with kids	Cook lunch		
12:00 pm	Cook/eat lunch		Lunch		Rest	Cook lunch
12:30 pm					Lunch	
1:00 pm	Work on the farm		Work on the farm		Work on the farm	
1:30 pm						
2:00 pm						
2:30 pm						
3:00 pm						
3:30 pm						
4:00 pm						
4:30 pm						
5:00 pm	Cook/eat dinner		Rest or drink with friends	Cook dinner	Drink with friends/watch TV, then dinner	Prepare dinner
6:00 pm						Clean house/feed animals
6:30 pm	Drink with friends	Feed pigs/wash				
7:00 pm						
7:30 pm	Watch TV		Watch TV		Watch TV	
8:00 pm						
8:30 pm						
9:00 pm						
9:30 pm	Sleep		Sleep		Sleep	
10:00 pm						
10:30 pm						
TOTAL WORK HOURS	11.5 hrs equally		7 hrs	10 hrs	10 hrs	12 hrs
DIFFERENCE	EQUAL		-	3 HRS MORE	-	2 – 3.5 HRS MORE

* As phrased during FGDs in the presence of both males and females.