Forest Governance Monitoring in Vietnam

Report of a workshop held 12-13 January 2012, Hanoi, Vietnam

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Food and Agriculture Organization of the United Nations & MARD-Vietnam

Hanoi, January 2012
<table>
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<tr>
<th>Abbreviation</th>
<th>Full Form</th>
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<tr>
<td>CDI</td>
<td>Centre for Development Innovation of Wageningen University, Holland</td>
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<td>DARD</td>
<td>District office for Agriculture and rural development</td>
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<td>EFI</td>
<td>European Forest Institute</td>
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<td>FAO</td>
<td>Food and Agriculture Organization</td>
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<td>FC</td>
<td>Forest Company</td>
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<td>FG</td>
<td>Forest Governance</td>
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<td>FGM</td>
<td>Forest Governance monitoring</td>
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<td>FIP</td>
<td>Forest Innovation and Planning Institute</td>
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<td>FLEG</td>
<td>Forest Law Enforcement, Governance and Trade (European Union)</td>
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<td>FOMIS</td>
<td>Forest Sector Monitoring Information System</td>
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<td>FSC</td>
<td>Forest Stewardship Council</td>
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<td>FSSP</td>
<td>Forest Sector Support Partnership</td>
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<td>GPS</td>
<td>Global positioning system</td>
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<td>IT</td>
<td>Information Technology</td>
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<td>MARD</td>
<td>Ministry of Agriculture and Rural Development</td>
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<td>MONRE</td>
<td>Ministry of Natural Resources and Environment</td>
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<td>NFA</td>
<td>National Forest assessment</td>
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<td>NGO</td>
<td>Non-Governmental Organisation</td>
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<td>PES</td>
<td>Payment for Environmental Services</td>
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<td>PFES</td>
<td>Payment for Forest environmental Services</td>
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<td>PGA</td>
<td>Participatory Governance assessment</td>
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<td>REDD+</td>
<td>Reduced Emissions by Deforestation and Degradation of Forests</td>
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<td>SNV</td>
<td>Netherlands Development Organisation</td>
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<td>SFM</td>
<td>Sustainable Forest Management</td>
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<td>UNDP</td>
<td>United Nations Development programme</td>
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<td>UNFCCC</td>
<td>United Nations Framework Convention on Climate Change</td>
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<td>USA</td>
<td>United States of America</td>
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<td>VNForest</td>
<td>Department for Forestry within MARD</td>
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<td>VPA</td>
<td>Voluntary Partnership Agreement</td>
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<td>WWF</td>
<td>World Wildlife Fund</td>
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Executive Summary

Forest governance is a key aspect of sustainable forest management (SFM), including related policy and (multi-annual and annual) planning, budgeting, implementation, monitoring and improvement, also of the legislative and institutional arrangements. Due to the increasing recognition of the importance of forest governance quality on progress towards sustainable forest management (SFM) and the reduction of deforestation and forest degradation (REDD+), increasingly many efforts are taken to monitor and report forest governance and governance quality. Several initiatives and different methodologies exist for monitoring and reporting forest governance, including those related to Forest Law Enforcement and Governance and Trade (FLEGT). The UN Framework Convention on Climate Change (UNFCCC) has agreed on safeguards that relate to forest governance, further increasing the need for monitoring. However, Forest Governance Monitoring (FGM) is also useful to better fulfill national and local priorities for forest management because of reasons like (a) strategic management (b) operational management/implementation, (c) reputation and credibility, both nationally and internationally, and (d) visibility towards other departments within the government and other economic sectors.

The Government of Vietnam (MARD) requested the assistance of FAO to help integrate forest governance monitoring into national-forest related monitoring systems. To this end, FAO is providing support through the services of a national consultant and international technical consultants in the context of the “National Forest Assessment” project, a 3-year project financed through FAO Finland Forestry Programme. Together the consultants worked with the Government of Vietnam and other Vietnamese organizations to described the present status of FGM and propose steps develop a preliminary proposal for strengthening FG monitoring (“FGM in Vietnam background paper”), which was main input for discussion of the multi-stakeholder workshop. The 61 participants of this workshop were from the Vietnamese Government at central level (VNForest, MARD, MONRE and FIPI), provincial level and district level (DARD). There were also representatives from the Vietnamese Forestry University, a forest company, a representative from small plantation holders, and representatives from international and bilateral agencies like UNDP, SNV, EFI, WWF and FAO.

Following the official opening by VNForest and FAO and a presentation of the background study on FGM by the Vietnamese consultant, a number of presentations provided perspectives on FGM from national, provincial and district level, and included the perspectives of international processes like FLEGT and REDD+. All these presentations created a multi-approach picture of FGM in Vietnam. In almost every presentation issues for monitoring were suggested. During the discussion in small workgroups after the presentations, participants were asked to prioritise issues that need the first attention while developing and improving Forest Governance Monitoring. The issues that came out as most important for FGM in Vietnam were (in no order of importance):

- Decision-making (e.g. more rigorous monitoring frameworks to verify participation in development of laws and regulations, verification by Third Party, participatory approaches at local level)
- Land tenure
- Forest land/forest allocation and rental with clear boundary and landmarks in the field (including boundaries of the 3 types of forest in map and field).
- Timber harvesting from natural forests.
- Timber harvesting, benefits.
- Benefits or benefit sharing
- Role of forest owners/managers.
- Staff capacity/capability.

At the start of day 2 the audience was asked to identify issues or concerns to be discussed in groups. Two issues came out with the highest priority: (i) Leadership, institutional embedding and (ii) Participation. As to leadership and institutional embedding, among others, the following suggestions were made by the working group and during the discussion afterwards:

- FGM should be integrated in the current monitoring system of the sector (FOMIS).
- Leadership at the central level: VNFOREST; Provincial level: DARD (forestry department and forest protection department); District level: District agriculture and rural development and district forest protection section; Commune level: commune forest ranger.
- Types of monitoring include: (a) Self-monitoring integrated into the current organization system (b) Monitoring from outside (forest owner/managers, communities, associations, NGOs, etc).
A variety of monitoring is necessary. The Prime Minister gives reports to the National Assembly. But also at local, district and commune level there should be monitoring. The PPC and DPC and CPC should undertake monitoring activities. DARD undertakes technical monitoring. But also NGOs are important, including social criticism.

How to monitor? Several options should be implemented: (a) Top-down, (b) Participatory monitoring, and (c) Sectoral monitoring.

As to participation the following suggestions were made by the group and in the discussion afterwards:

- Create favourable conditions for communities to participate in FGM:
  - Building capacity for communities by training and information sharing so that they can carry out monitoring activities;
  - Ensure the rights of people through related information provision and policy implementation in a transparent and correct manner.

- Role of FGM stakeholders outside the Government and their means to influence the FGM process:
  - The Government should be willing to get feedback and comments in order to improve FGM.
  - Local participation should be promoted. The question is: how to engage people in discussions and the actual monitoring? It is a challenge to involve ethnic minorities in a meaningful way.
  - Development of the monitoring system and definition of the parameters (indicators) to be monitored should not only be done by scientists and governmental officials, but also by local stakeholders, including members of local communities.

- Awareness raising of managers and leaders at local level is important. Transparency, accountability and fairness are important principles but difficult to enhance in practice at that level. The monitoring system should be the result of social demand, not only a demand by managers. FOMIS has 72 indicators for the forest sector (including indicators with relevance for forest governance), but it is still a top-down approach, but it should also be initiated from down.

“Forest governance” translated into Vietnamese is “quản trị rừng”, but “quản trị rừng” is not clearly defined for Vietnam and the difference between “quản trị rừng” and “quản lý rừng – forest management” also is not black-and-white-clear for Vietnam. Conclusion is that it is very important to define “Forest Governance” and “Forest Governance Monitoring” for Vietnam. Is it monitoring, supervision, or verification?

In the discussion about the steps forwards the following was concluded:

- This workshop report, and its executive summary, once approved will be presented to the highest levels in VNForest and MARD in order to create even more ownership and to clear the way for further actions on FGM.
- The next step is to design a project proposal for strengthening FGM in VN. This will be done by a working group within VNForest. Important elements of the project proposal are:
  - Clear definition and concept of FG and FGM in Vietnamese which can be legalized and institutionalized;
  - Identification of all needs for FGM in Vietnam;
  - Identification of FGM pilot provinces;
  - Indicators to address all identified needs of FGM in Vietnam to be developed and institutionalized;
  - Programme for capacity building for implementing/applying the indicators in practice;
  - Awareness raising, among other topics, on transparency, accountability and fairness.

- The project proposal should be submitted to international and bilateral agencies to ask for financial support. FAO could assist in this. The Participatory Governance Assessment (PGA), an initiative started by UNDP, is strongly linked with FGM. Results of the FGM workshop and this report could also be an input for a workshop to be organised on PGA. PGA responsible staff invited the participants of the FGM workshop to participate also in the PGA workshop. PGA will focus on participation and benefit sharing, two issues that also came up strongly during the FGM workshop. The PGA initiative intends to start pilot activities on these issues.

- Within the framework of the National Forest Assessment (NFA), implemented with support from FAO, it is possible to continue activities, so that the momentum is not lost while preparing a project proposal.
1. Introduction

Forest governance is a key aspect of sustainable forest management (SFM), including related policy and planning, implementation, monitoring and improvement, and including the legislative and institutional arrangements. Due to the increasing recognition of the importance of forest governance quality on progress towards SFM and the reduction of deforestation and forest degradation, increasingly many efforts are taken to monitor and report on forest governance and its quality. Several initiatives and different methodologies have emerged for monitoring and reporting forest governance, including those related to Forest Law Enforcement and Governance (FLEG), reporting based on SFM criteria and indicators and on international agreements, as well as those of the World Bank. Recently, in the framework of the REDD+ negotiations under the UN Framework Convention on Climate Change, parties have agreed on safeguards that relate to forest governance, further increasing the need for good data collection and monitoring. However, perhaps most importantly, forest governance monitoring systems at the country level need to meet national monitoring needs. This means that monitoring of forest governance should be useful in the first place to better fulfill national and local priorities for forest management; in additional it should fulfill international reporting requirements (REDD+, FLEGT, etc.). For any forest governance monitoring (FGM) system to be further developed the ultimate criteria for strengthening FGM are that it is feasible, cost-effective, reliable (verifiable), allow reliable measurement of change over time.

To meet these goals, Government of Vietnam (MARD) requested the assistance of FAO to help integrate forest governance monitoring into national-forest related monitoring systems. To this end, FAO is providing support in the context of the “National Forest Assessment” project, a 3-year project financed through FAO Finland Forestry Programme. The overall objective of this project is to assist Viet Nam in the development of the National Forest Inventory and Monitoring Programme.

Together a national consultant and international technical consultants worked with the Government of Vietnam and other Vietnamese organizations to describe and assess the present status of FGM and propose steps develop a preliminary proposal for follow-up actions for strengthening FG monitoring. The results and main findings from the consultant work have been presented in the background report Forest Governance Monitoring in Vietnam. The background paper formed a major input for the discussions at the multi-stakeholder workshop that took place on 12 and 13 January 2012 in Hanoi. In addition to the background paper several other presentations on FGM-related initiatives and topics were delivered at the workshop by different stakeholders. Altogether they created a multi-actor picture of the status and perspectives FGM in Vietnam.

This report summarizes the major outcomes and findings of the presentations and discussions of the workshop.

2. Objectives of the workshop

The overall objective of the Workshop was to inform, consult on, and get recommendations on the direction, next steps to take, and ways of engagement in the further work on strengthening FGM in Viet Nam, building on existing mechanisms and initiatives (with international support in the context of developing a National Forest Inventory and Monitoring Programme).

The specific objectives of the workshop were:

1) To introduce the initiative to strengthen forest governance monitoring (FGM), and its rationale
2) To discuss and verify the current status of forest governance monitoring in Viet Nam
3) To discuss and recommend on practical and concrete steps to strengthen FGM, and define a road map.

3. Programme of the workshop

The one and a half day workshop consisted of two parts:
a one-day part for a larger audience, with introductions and presentations from a variety of stakeholders and one session of group work, in which priority areas (pressing issues) for Forest Governance Monitoring were discussed; and

a half-day part of discussions and group work in order to discuss ways forward for FGM in Vietnam and issues important for a fruitful implementation of FGM in Vietnam.

For a complete overview of the program, see annex 1.

4. Participants
Participants of this workshop were from the Vietnamese Government at central level (VNForest, MARD, MONRE and FIPI), provincial level and district level (DARD). There were also representatives from the Vietnamese Forestry University, a forest company, a representative from small plantation holders, and international agencies like UNDP, SNV, EFI, WWF and FAO. For the list of participants, see annex 2.

5. Proceedings (short summaries of presentations)
Most presentations were given using PowerPoint’s, simultaneously projected in English and Vietnamese. For the presentations simultaneous translation Vietnamese-English and English-Vietnamese was available. In this section short summaries of the presentations are given. The PowerPoint’s and briefs of the presentations will be put on the FAO website for the Forest Governance Monitoring initiative: http://www.fao.org/forestry/governance/monitoring/en/

5.1 Official opening
Mr. Ngai opened the meeting and welcomed the participants. He emphasized the importance of the topic, expressed expectation of concrete outcome. He wished participants a successful workshop and fruitful discussion.

Ewald Rametsteiner (FAO Rome), on behalf of the FAO Representative in Viet Nam Ms. Yuriko Shoji, welcomed the participants to the workshop. He underlined the importance of good forest governance for achieving SFM and the increased interest in forest governance data. FAO has thus increased its support to countries to strengthen FGM, and ready to technically support Viet Nam in the context of the support to develop the National Forest Inventory and Monitoring Programme. He expressed the hope that this workshop will result in fruitful discussions among different stakeholders present, and provide guidance for the future work in this particular topic.

5.2 Forest Governance Monitoring (FGM): concepts
Mr. Arend Jan van Bodegom (Wageningen University – CDI) presented an overview of main concepts and international perspectives on Forest Governance and Forest Governance Monitoring. Ideas about governance have changed in the last decades. There is a move from the old style of governance – the government is steering – to a new situation in which several actors are co-steering. In this vision the government does not and cannot bear the sole responsibility for governing the society and the forest sector. Forest Governance has three pillars:

1. Policy, legal, institutional and regulatory frameworks, including multi-annual plans and budgeting
2. Decision-making processes
3. Implementation, enforcement and compliance.

For each of these pillars six principles are important: transparency, accountability, effectiveness, participation, fairness and efficiency. Improving forest governance is beneficial for a country because it leads to more and better products and services from the forest. The next question is: why should we monitor forest governance? There are reasons which have to do with (a) strategic management (b) operational management/implementation, (c) reputation and credibility, both nationally and internationally, and (d) visibility towards other departments within the government and other economic sectors.
For reasons of efficiency FGM should build on existing data sets and collection routines, and consistency and complementarity between national and international systems should be pursued.

5.3 Background paper

Dr. Le Khac Coi presented main findings from his study on FGM in VN as a key input for workshop discussion. This report was also given to workshop participants as background material (Le Khac Coi, 2011. Forest Governance Monitoring in Vietnam: Summary of main findings).

The first part of the presentation was about how interviewees perceived the status of FGM in Vietnam taking the three pillar framework as reference. The three principles of FGM that scored lowest and would need priority attention in FGM development, are: (i) "Transparency", (ii) "Accountability", and (iii) "Participation". See figure.

![Forest Governance Monitoring - Assessed by 6 Principles](image)

Figure 01: Forest Governance Monitoring – Assessed by 6 Principles

In the second part of the presentation, Dr. Le Khac Coi presented his main findings for FGM improvement; these findings were based on interviews Dr. Coi conducted with relevant stakeholders in Hanoi and on interviews Tran Huu Ngi (Tropenbos International) conducted in provinces and districts.

Dr. Coi presented his observations with reference to the main elements of the “Vietnam Forestry Development Strategy 2006-2020” on key areas of FG in Vietnam:

- Forestry land and 3 types of forest
- Forest and forest land rental and allocation
- State forest enterprise restructuring
- Timber harvesting from natural forests
- Forest conversion into rubber plantation and other purposes
- Beneficiary policy
- Forest Protection
- Handling of violations related to forest
- Forest fire prevention and fire fighting
Protection forests and special-use forests
Forest environmental services
Forestry finance
Vietnam fund for forest protection and development
Law on natural resources tax 2009
Program “Forest Products Processing and Trade”

Dr. Coi also dealt with two vital pillars of the Forest Governance framework, viz:

- Planning and decision making process
- Implementation, enforcement and compliance

Finally he addressed two emerging issues relevant for Vietnam: (1) FLEGT and VPA, US Lacey Act, and (2) REDD+.

For each of these subjects Dr. Coi mentioned some key issues that needed monitoring, he listed the parameters that were already being monitored and the number of additional parameters to be monitored in the future. See for more details annex 2 and for extended information the document from the January 2012 workshop map “Forest Governance Monitoring in Vietnam: Summary of main findings”.

5.4 NFA

Dr. Nguyen Phu Hung, Deputy Director of Forestry Inventory and Planning Institute (FIPI), started his presentation by explaining that existing forest monitoring already comprises several elements relevant for forest governance, e.g. the use of forest lands, exploitation of natural forests, forest land lease, etc. He explained the history of forest monitoring in Vietnam, which started in 1971. Since then forest monitoring has been developed in several phases and with different types of sample plots.

Programme orientation in the new period, with the support of FAO/Finland, is:

1. Assessment of the method to implement the program in the past periods.
2. Research to be carried out in combination with FORMIS to re-identify the information demand serving forest governance.
3. Review on contents of previous programs.
4. Proposal of forest monitoring program to meet the requirements of forest governance in the future.
5. It is necessary to carry out forest inventory and develop database serving forest governance.
6. From 2015, forest change inventory, assessment and monitoring will be carried out basing on the information demand for forest governance.

5.5 FSSP and FOMIS

Mr. Le Nho Hoan (coordination office Forest Sector Support Partnership) gave an introduction on the platform of FSSP and on the Forest Sector Monitoring Information system (FOMIS). The FSSP was established in 2001 with 21 partners and has now 30 partners (members). These members are bilateral and multilateral agencies, international NGOs, Vietnamese NGOs and institutions and associations. The objective of the FSSP is to support the forestry sector following a programmatic approach. It has several tools: forestry regional networks, policy advisory boards, the FOMIS, the Forestry ODA database and a website, newsletter, forestry events calendar. FOMIS provides information for monitoring the implementation of the Vietnamese Forestry Development Strategy. It has defined indicators for input, results, outcome and impact. FGM and FOMIS are narrowly related and FGM could be integrated into FOMIS. For FGM it has the following recommendations:

- Review existing indicator set and propose indicators for forest governance
• Work to improve reliability of data and collect data as needed for additional key indicators to better assess sector performance and impacts
• Work on developing overall sector information and IT systems
• Need to make data sharing a regular and easy function among Ministries and departments
• Ongoing efforts and development, to incorporate new emerging issues, such as climate change, REDD, PES.

5.6 Private forest sector and FGM in Vietnam

Mr. Huynh Duc Luan, chairman of Ea H'leo Forest Company Ltd., had prepared a presentation but unfortunately was not able to participate. Dr. Nguyen Phu Hung gave a summary of his presentation. In recent years sustainable forest management (SFM) has become an important principle for forest business management. Good forest governance is also important within these new ideas. Forest management used to concentrate on production, but now different functions of the forest should be defined, in order to promote to the maximum its values and capacities for society. Important issues to be include in FGM are:

• Forest land allocation, including lease
• Forest owners, forest use rights of the enterprise in relation with indigenous communities
• Forest planning should clearly indicate functions and duties of forest owners and these should be monitored.
• For FSC certification it is important to monitor co-management of the forest with indigenous groups. Benefit sharing is very important.
• Accessibility of bank loans to forest enterprises.
• Monitoring of payment of environmental services.
• Remuneration policies for civil servants at local level.

5.7 Forest Certification Group in Quang Tri

Mr. Le Bien Hoa from Kinh Mon commune in Quang Tri province explained the steps for establishment of the Forest Certification Group that started in 2007. The group executes monitoring before and after logging. The group has achieved FSC certification in May 2010. This has a considerable impact on the income of the commune. Income increased up to 50%, because prices for FSC certified logs are much higher than for non-certified timber. It is recommended that more attention is being paid to:

• Technical support from local authorities to the groups
• Financial support from the state for training and investments.

5.8 FGM from the perspective of authorities in Quang Tri Province

Mr. Khong Trung, Deputy Director of the Department of Agriculture and Rural development of Quang Tri Province gave a perspective from the provincial level. He came up with several issues to be discussed within the framework of FGM, among others:

• The system of organisation and management of the forest sector from the central level down to the local level is not consistent in functions, tasks and organisational structure.
• Raise the role and responsibility of the Chairman of the People’s Committees at all levels in forest management.
• Widen the value of forest from only the timber value to other values of the forest, especially the ecological services forest provide.
• The management system should also include the processing and trading of products.
• Develop criteria for defining the value when allocating forests and management of forests in the future.
• Training of staff and adequate staffing at provincial level.

5.9 Forestry issues in Nam Dong District

Mr. Mai Van Tam, head of Nam Dong Forest protection Unit, Thua Thien Hue Province, gave a short introduction about the mountainous district in which he works. The population is 24,000 people of which more than 43% belong to an ethnic minority. Mr. Tam came up with several issues for which already data are being collected for monitoring. But there also several problems, among others:

• The benefit sharing policy is deficient because it does not define how to generate benefits for communities. Households do not yet get paid for forest management of natural forests.
• Administrative punishment is being measured and results are deficient: Fines are imposed, but the actual payment is much lower.
• Forest fires are being monitored, but there is a need for forest fire towers and fire breaks. The prevention should now be realised at household level and this is not at all optimal.
• Until now no payments have been made for forest environmental services, although the law prescribes this.
• Allocation and management of forest land at district and local level is an issue. Several indicators are monitored already, but there is a need to monitor closely the issuance of the land use rights certificates.
• Capacity of staff at district and commune levels are being monitored. There is a need to monitor capacity building activities for communes and governmental staff.

Issues that need to be discussed in the workshop are:

• Forest allocation, forest leasing, responsibilities of stakeholders before and after allocation.
• Beneficial policy when allocating the forests.
• How will the environment service be carried out?
• Capacity of commune staffs, number of regular forestry staffs at commune level.

5.10 REDD

Nr. Pham Minh Thoa, VNForest (MARD), explained what REDD+ is and that REDD+ has strong linkages with forest governance and FGM. Prioritized activities on forest governance for REDD+ include (1) tracking, monitoring, evaluation and forecasting (among other things Participatory Governance Assessment – PGA), (2) Planning and allocation of land and forests, (3) Institutional and policy reform, (4) Strengthening of technical solutions. His recommendations are:

• Forest governance is of a broad significance and aims to improve the quality of decision-making process rather than just focusing on organizational structure, in which the most important issue is decentralization, limiting the risk of fraud, corruption, bribery, illegal exploitation and use of forest resources.
• Forest Governance plays a very important role for REDD+. REDD + requires a new level of forest governance, to ensure openness, transparency, fairness and democracy, with the participation of stakeholders.
• Forest Management for REDD + requires its own roadmap, with clear priorities relevant to each specific context.
• Forest governance and REDD + have more impact if they supplement and support each other.
5.11 FLEGT and VPA

Mrs. Nguyen Tuong Van, Head of the Standing Office for FLEGT and Lacey – VNForest, explained the relation between FLEGT, Voluntary Partnership Agreement (VPA) and Forest Governance Monitoring. First she explained the EU FLEGT action plan 2003-2013, its implications for Vietnam. There are three major markets for Vietnam’s wood products, in order of importance (1) USA, (2) EU, (3) Japan. So it is important to adapt to changing demands from the EU. Elements under VPA/FLEGT that are important when discussing Forest Governance Monitoring include:

1. A coherent set of laws and regulations related to timber legality, including:
   a. Rights to harvest within legally defined boundaries;
   b. Payments for harvest rights and timber, incl. duties related to timber harvesting;
   c. Timber harvesting according to environmental and forest laws and regulations;
   d. Forest sector-related trade and customs legislation.
2. Operation and performance of verifying and FLEGT licensing agencies;
3. Compliance with legal regulations on the timber processing enterprises and forest owners in the supply chain;
4. The participation of stakeholders and their capacity;
5. Mechanism for independent monitoring by third parties;
6. Mechanism for coordination of law enforcement agencies.

FLEGT/VPA and FGM have a close relationship. FGM is an effective tool for speed up the process VPA/FLEGT negotiation and implementation in Viet Nam because FGM can:
- assist the forestry sector of Vietnam in creating evidence that forest governance is indeed improving towards a level, acceptable for EU State members.
- assist the forest sector to improve efficiency and performance of the sector, increasing the role of providing direction and supervising by the Government;
- increase the reputation and visibility for Viet Nam as a low or no risk country at international level;
- assist the forestry sector to improve its reputation and build confidence towards the general public, investors and the international community including the 27 EU countries.

FGM should be conducted together with monitoring of the performance of the forestry sector and it should be done in an integrated, scientific, systematic, accurate, efficient, transparent and participatory way.

6. Group work day 1: priority areas to be monitored

6.1 Methodology

In the first day, participants of the workshop formed three groups (including one English-speaking group). The group leaders, chosen by group members, with support of three facilitators, organized group discussion. The three group discussion followed a methodology consisting of three steps. Firstly each group member was asked to propose one key issue (the most important issue of FGM in Vietnam to be addressed). Secondly the whole group, after listening to the rationale of each proposed issue, selected three key issues for whole group to discuss further. Thirdly the groups analysed each key selected issue by answering the following questions: (i) What is being monitored already? (ii) What should be monitored additionally? (iii) How should it be done? (iv) By whom?

In the sections below more details are provided on the group work.
6.2 Group 1: Decision-making, benefit sharing and land tenure

Group 1 identified 3 key issues for FGM in Vietnam: Decision-making, benefits (or benefit sharing) and Land tenure. See table below. Due to time constraints the group was not able to fill out the table completely.

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<th>Decision-making</th>
<th>Benefit sharing</th>
<th>Land Tenure</th>
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| What is being monitored already? | ● Annual review of law, policy and regulations (NL, not formally at LL)  
● Grassroots democracy | ● Extraction (especially commercial) of Timber and NTFPs | ● Formal land use RBC (by MONRE)  
● Infractions and fines (FPD)  
● Legal land conversion  
● Large-scale leases |
| What should be monitored additionally? | ● More rigorous monitoring frameworks for both NL and LL  
● Verification systems | ● More rigorous monitoring of extraction on small-holder land  
● Harvest source and export volume  
● PFES provision, incl. carbon  
● Benefit distribution  
● Both legal and illegal extraction  
● Sustainability | ● Small-scale leases  
● Informal land use and tenure  
● Overlapping  
● Illegal land conversion and encroachment  
● Tenure type and performance  
● Process of forestland allocation |
| How should it be done? | ● Verification by Third Party  
● Participatory approaches at local level | ● Certification (products and services)  
● (Re)formulation of regulatory frameworks (e.g. to accommodate PFES) | |
| By whom? | ● CSOs and NGOs  
● Local communities  
● Forest Owners | ● Third party certification  
● Government  
● Local communities | |

6.3 Group 2: Forest land allocation, types of forest, and timber harvesting

The group members made a gross-list of 8 issues:

- Monitoring the implementation of forest laws;
- Monitoring forest land/forest allocation and rental with clear boundary and landmarks in the field;
- Monitoring 3 types of forest in map and field;
- Monitoring timber harvesting from the natural forest;
- Monitoring Forest/forest land allocated to organizations and households
- Monitoring capability to apply and follow forest law.
- Set of indicators for FGM;
- Forest law enforcement.

After that the group selected 3 key issues:

- Forest land/forest allocation and rental with clear boundary and landmarks in the field.
- 3 types of forest in map and field.
- Timber harvesting from natural forests.
| 1. What is being monitored? | • Number of land use right certificates (red books) issued.  
• Area having land use right certificates (red books). | • Area of the 3 forest types in the master plan. | • Volume of harvested timber;  
• Place of harvested timber;  
• Area of harvested timber;  
• Species of timber harvested. |
| --- | --- | --- | --- |
| 2. What should be additionally monitored? | • Percentage of households having land use right certificates (red books).  
• Percentage of households having boundary clearly marked in the field. | • Area of the 3 forest types in maps and field. | • Monitor harvesting design and plan;  
• Difference between planned/designed and harvested volume, species and quality;  
• Quality of forest after harvesting;  
• Log timber chain of custody. |
| 3. What should be done? | • Review number of land use right certificates.  
• Review area in land use right certificates and area in the field. | • Review by using relevant/reliable equipment and techniques (GPS, SPOT5, etc.). | • Monitoring during harvesting. |
| 4. By whom? | • Provincial natural resources and environmental department;  
• Provincial forest protection department  
• Forest owner. | • People committees at all levels. | • Forest protection department.  
• Forest manager/owner (in case the harvesting is done by contractor). |

### 6.3 Group 3: Role of forest owners/managers, staff capacity/capability and timber harvesting/benefits

The members of group 3 proposed 11 priority issues:

- Role of forest owners/managers;
- Staff capacity/capability;
- Timber harvesting, benefits;
- Forest law enforcement;
- Forest finance;
- Cooperation between different parties;
- Monitor imported timber;
- Forest payment for environmental services (FPES);
- Cooperation of stakeholders;
- Role of local/ground government authorities;
- Technical equipment for monitoring.

The group selected three issues as priority:

- Role of forest owners/managers;
- Staff capacity/capability;
- Timber harvesting, benefits;
<table>
<thead>
<tr>
<th>Role of forest owners/managers.</th>
<th>Staff capacity/capability.</th>
<th>Timber harvesting, benefits.</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is being monitored already?</td>
<td>• Land use right.</td>
<td>• Harvesting design and plan;</td>
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<td></td>
<td></td>
<td>• Natural resources tax.</td>
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<tr>
<td>What should be monitored additionally?</td>
<td>• Boundary and landmarks in field.</td>
<td>• Performance of benefit sharing mechanism;</td>
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<td></td>
<td>• Compliance with legal regulations.</td>
<td>• Volume of NTFP products harvested;</td>
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<td>• Scattered trees planted.</td>
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<tr>
<td>How should it be done?</td>
<td>• Set up landmarks in field.</td>
<td>• Identify organization responsible for guiding organizations/individuals in benefit sharing.</td>
</tr>
<tr>
<td>By whom?</td>
<td>• Provincial natural resources and environmental department.</td>
<td>• Forest protection department.</td>
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<td></td>
<td>• Forest owner/manager.</td>
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7. Discussion day 1: Definition of FG in Vietnam and indicators for FGM

The presentations during day 1 and the presentation of the group work (see 6) generated plenary discussions. These focused on two key topics:

- The first is the concept “forest governance” and “forest governance monitoring” in Vietnamese. How should it be translated and what is it exactly? Forest Governance has not been clearly defined for Vietnam. What is the difference with Forest management?
- The second is the number of additional indicators proposed by the consultant for FGM in Vietnam. Dr. Coi is proposing some 150-200 indicators. This is far too much and there is overlap.

7.1. Concept “Forest Governance” and “Forest Governance monitoring” in Vietnamese

“Forest governance” translated into Vietnamese is “quản trị rừng”, but “quản trị rừng” is not clearly defined for Vietnam and difference between “quản trị rừng” and “quản lý rừng – forest management” also is not black-and-white-clear for Vietnam. Some participants proposed that VNFOREST should, based on the connotation of the “forest governance” in English, find a Vietnamese concept that is more appropriate.

“Forest Governance Monitoring” translated into Vietnamese is “giám sát quản trị rừng”. “Giám sát” in Vietnamese is far stronger than “monitor” in English. Some participants of the workshop agreed with a proposal to replace “giám sát” by “theo dõi” which is softer than “giám sát” and closer to “monitor” in English by meaning.

7.2. Number of additional indicators proposed by the consultant for FGM in Vietnam

Based on issues to be addressed, the consultant proposed 150 indicators for FGM in Vietnam. Some participants raised their views on two aspects which is: (i) number 150 indicators is far too much and (ii) maybe there is overlap.
The consultant clearly explained that the proposed indicators are just an input for discussion. Discussion at the workshop, based on the Vietnam’s forest governance monitoring needs, is an important filter to review those indicators and decide which from the proposed indicator list can be taken for further consideration in building a final set of indicators. Therefore a priority activity after the workshop is to deeply analyse the proposed indicators.

The consultant also clearly asked the workshop participants to propose additional indicators for FGM in Vietnam that are not yet included in the background paper. Therefore another follow up activity after the workshop, is to deeply analyse whether the proposed indicators cover all needs of FGM in VN.

8. Group work day 2: Leadership and organizational embedding

At the start of day 2 the facilitator asked the audience to come up with issues or concerns that needed to be discussed in groups. Two issues came out with the highest priority: (i) Leadership and institutional embedding and (ii) Participation.

A third issue, the definition of Forest Governance and Forest Governance monitoring was also identified an important issue for further consideration, but the audience was of the opinion that this issue could not be dealt with effectively in a group discussion of just one hour.

8.1 Results Group 1: Leadership, institutional embedding

Below are the results of the group one discussion:

1. “Governance” in Vietnamese should be “Theo dõi” instead of “Giám sát”.
2. FGM should be integrated in the current monitoring system of the sector.
3. Leadership on FGM:
   - Levels of monitoring
     - At Central level: VNFOREST.
     - At Provincial level: DARD (forestry department and forest protection department).
     - At District level: District agriculture and rural development and district forest protection section.
     - At Commune level: commune forest ranger.
   - Types of monitoring
     - Self-monitoring (integrated into the current organization system).
     - Monitoring from outside (forest owner/managers, communities, associations, NGOs, etc).
   - Identify clear responsibilities/tasks and relevant resources (human, financial, etc) to undertake the responsibilities and tasks.
   - The FGM indicator set should be integrated into the current forest sector monitoring indicator set (FOMIS).

In the plenary discussion after the presentation of the results of the group work participants agreed that FGM in Vietnam should be strengthened at all levels from national to provincial, district and ground level through a FGM in VN strengthening project with pilot provinces.

Dr. Nguyen Ba Ngai, deputy director of VNFOREST and chairperson of the workshop gave among other things, the following comments after the discussion on institutional embedding:

- A variety of monitoring is necessary. The Prime Minister gives reports to the National Assembly. But also at local, district and commune level there should be monitoring. The PPC and DPC and CPC should undertake monitoring activities. DARD undertakes technical monitoring. But also NGOs are important, including social criticism.
- How to monitor? Several options should be implemented:
  - Top-down
  - Participatory monitoring
  - Sectoral monitoring
Monitoring and evaluation are already integrated in Forest Management and Forest Governance. However, it is very important to define “Forest Governance” and “Forest Governance Monitoring” for Vietnam. Is it monitoring, supervision, or verification?

8.2 Results Group 2: Participation

Results of the group two discussion are as follows:

- Create favourable conditions for communities to participate in FGM:
  - Raise awareness through trainings and communication;
  - Promote real participation of communities during meeting and in different forums;
- Building capacity for communities by training and information sharing so that they can carry out monitoring activities;
- Ensure the rights of people through information providing and related-to-them policy implementation in transparent and correct manner.
- Role of FGM stakeholders outside the Government and their means to influence the FGM process
  - Strengthen information access and sharing through media;
  - Create favourable conditions for the stakeholders outside the Government to join FGM;
  - Willing to get feedback and comments in order to improve FGM.
- Ownership at all levels in the country
  - Central level (MARD).
  - Forest protection department at all levels.
  - People committee at all levels.

As to the results of the group work on “participation”, in the plenary discussion after group work presentation, Dr. Ngai (VNForest) commented among other things:

- Awareness raising of managers and leaders at local level is important. They accept the need to monitor technical issues, but do not accept non-technical issues. Transparency, accountability and fairness are important principles but hardly implemented at that level. So these principles need special attention.
- Increasing the participation is important. We should promote local participation. The question is: how to engage people in discussions and the actual monitoring? It is a challenge to involve ethnic minorities in a meaningful way.
- Development of the monitoring system and definition of the parameters (indicators) to be monitored should not only be done by scientists and governmental officials, but also by local stakeholders, including members of local communities.
- The monitoring system should be the result of social demand, not only a demand by managers. FOMIS has 72 indicators, but it is still a top-down approach, but it should also be complemented from a bottom-up perspective.

9. Recommendations and next steps

In the discussion about the steps forwards the following was concluded:

- First a workshop report will be prepared.
- This workshop report, and its executive summary, will be presented by Dr. Ngai to his superiors in VNForest and MARD in order to create even more ownership within MARD and to clear the way for further actions on FGM.
- The next step is to design a project proposal for strengthening FGM in VN. This will be done by a working group within VNForest, coordinated by Mrs. Van (VNForest, FSSP Coordination Office). Important elements of the project proposal are:
  - Clear definition and concept of FG and FGM in Vietnamese which will be legalized and institutionalized;
  - Identification of all needs for FGM in VN;
- Identification of FGM pilot provinces;
- Indicators to address all identified needs of FGM in VN are set up and institutionalized;
- Programme for capacity building for implementing/applying the indicators in practice;
- Awareness raising is an important element. Dr. Ngai stressed the importance of three of the six principles of Forest governance and FGM, namely: Transparency, accountability and fairness. These principles need further consideration. They are difficult to implement.

- The project proposal should be handed over to international and bilateral agencies to ask for financial support. FAO could assist in this. One option to be explored would be to see if co-finance is possible from REDD+ and FLEGT initiatives.
- The Participatory Governance Assessment (PGA), an initiative started by UNDP, is strongly linked with FGM:
  - It will organise a workshop within one or a few month(s) in Hanoi. Results described in this report could also be an input for that workshop.
  - The PGA initiators invited the participants of the FGM workshop to participate also in the PGA workshop and to collaborate.
  - PGA will focus on participation and benefit sharing, two issues that also came up strongly during the FGM workshop. The PGA initiative intends to start pilot activities on these issues.
- Within the framework of the NFA, implemented with support from FAO, it is possible to continue activities, so that the momentum is not lost while preparing a project proposal. Activities that could be considered to make a start with include:
  - Clarify integration of FGM and SEM (socio-Economic Monitoring) in the NFA project (2011-2014)
  - Selecting methods & methodologies for piloting data collection (2012?)
  - Piloting and refinement a province and district, including new field data collection in a province and districts.
  - Piloting changes in routines of data collection, and monitoring routines (Start: summer 2012?)
Annex 1: Programme

FAO & VNFOREST – FOREST GOVERNANCE MONITORING WORKSHOP

12 and 13 January, 2012

Venue: Hoa Sen 6 Hotel, Dao Duy Anh Street, Hanoi, Vietnam

Day 1: 12 January, 2012, 8:00 am - 5:00 pm.

The objective of the day: to inform people, raise awareness, get commitment at a general level (so that everybody agrees that it is necessary to continue the process), prioritise some themes to work on during the first year(s), and get agreement on a way forward.

Day chair: Dr. Nguyen Ba Ngai and Dr. Nguyen Phu Hung

Facilitators: Mr. Arend Jan van Bodegom, Dr. Le Khac Coi

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<thead>
<tr>
<th>When</th>
<th>What</th>
<th>Who</th>
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<tbody>
<tr>
<td>8:00 – 8:30 am</td>
<td>Participants Registration</td>
<td>TBA</td>
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<tr>
<td><strong>Session 1</strong></td>
<td>Welcome and opening</td>
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<tr>
<td>8:30 – 8:45 am</td>
<td>Welcome</td>
<td>Mr. Ho Manh Tuong, NFA Project National Coordinator</td>
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<td>Introduction to the Agenda; Objectives and expected results of the day.</td>
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<tr>
<td>8:45 – 8:55 am</td>
<td>Opening Address</td>
<td>Dr. Nguyen Ba Ngai, Vice Director General of VNFOREST</td>
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<tr>
<td>8:55 – 9:05 am</td>
<td>Opening Address</td>
<td>Dr. Ewald Rametsteiner FAO Headquarters</td>
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<tr>
<td><strong>Session 2</strong></td>
<td>Setting the stage</td>
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<tr>
<td>9.05 – 9.25 am</td>
<td>Presentation: introduction to some key concepts of FGM from an international perspective.</td>
<td>Mr. Arend Jan van Bodegom (CDI)</td>
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<tr>
<td>9:25 – 9.50 am</td>
<td>Overview of Forest Governance Monitoring in Vietnam and proposal for strengthening Vietnam Forest Governance Monitoring.</td>
<td>Dr. Le Khac Coi</td>
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<tr>
<td>09:50 – 10:05 am</td>
<td>National Forest Assessment project and Forest Governance Monitoring in Vietnam.</td>
<td>Dr. Nguyen Phu Hung, Deputy director of NFA project.</td>
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<td>10:05 – 10:20</td>
<td>FSSP and Forest Sector Monitoring Information System (FOMIS).</td>
<td>Mr. Le Nho Hoan – the Programme Officer on A&amp;M from FSSP CO.</td>
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<td>10:20 – 10:45 am</td>
<td>Coffee Break</td>
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<td>Session 3</td>
<td>National perspectives</td>
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| 10.45 – 11.00 am | Private sector and Forest Governance Monitoring in Vietnam.       | Mr. Huynh Duc Luan, director of Forest Company Ea H’leo, Dak Lak province.  
|              |                                                                     | Presented by Dr. Nguyen Phu Hung                                   |
| 11.00 – 11.15 am | FSC FM certification for group of small-plantation households and forest governance monitoring in Vietnam. | Mr. Le Bien Hoa – Leader of Quang Tri small-plantation-holders group granted FSC FM certificate. |
| 11.15 – 11.30 am | Provincial authorities and forest governance monitoring in Vietnam | Mr. Khong Trung – Deputy director of Department of Agriculture and Rural Development at Quang Tri province |
| 11.30 – 11.45 am | District authorities and forest governance monitoring in Vietnam | Mr. Mai Van Tam – District Forest Protection Department in Nam Dong district, Thua Thien Hue province. |
| 11.45 – 12.15 | Discussion                                                           |                                                                     |
| 12:15 noon – 1:30 pm | Lunch                                                                |                                                                     |
| Session 4    | Issues for FGM emerging from international initiatives              |                                                                     |
| 1:30 – 1:45 pm | REDD Vietnam Program and forest governance monitoring in Vietnam    | Mrs. Pham Minh Thoa, Director of DOSTIC of VNFOREST.                |
| 1:45 – 2:00 pm | FLEGT VPA and forest governance monitoring in Vietnam.              | Mrs. Nguyen Tuong Van  
|              |                                                                     | VNFOREST DOSTIC Deputy Director,  
|              |                                                                     | Director of FLEGT & Lacey Act Standing Office.                      |
| Session 5    | Working from issues to priority actions                              |                                                                     |
| 2:00 – 2:15 pm | Guidance for group discussion                                       | Mr. Arend Jan van Bodegom (CDI) & group facilitators: Dr. Le Khac Coi,  
|              |                                                                     | Dr. Sen, Dr. Le Thuy Anh, Dr. Nguyen Quang Tan.                     |
| 2:15 – 2:45 pm | Coffee Break                                                         |                                                                     |
### Session 6
**How to go from here?**

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<tr>
<td>4:30 – 5:00 pm</td>
<td>Proposal on roadmap for strengthening FGM in Vietnam (input for the second day)</td>
<td>Mr. Arend Jan van Bodegom (CDI)/Dr. Le Khac Coi.</td>
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<tr>
<td>5:15 pm</td>
<td>Closing the first day and expectations for the second day</td>
<td>Dr. Nguyen Ba Ngai, Vice Director General of VNFOREST</td>
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### Day 2: 13, January, 2012 8:00 am - 12:00

Objective second day: to deepen the identified priorities of the first day, define follow-up action plan and agree on who takes up what tasks.

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<tbody>
<tr>
<td>8:00 – 8:10 am</td>
<td>Introduction + Agenda of the second day + Expectations</td>
<td>Mr. Ho Manh Tuong, NFA Project National Coordinator</td>
</tr>
<tr>
<td>8:10 – 8:30 am</td>
<td>Recap the first day</td>
<td>Mr. Arend Jan van Bodegom (CDI)</td>
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<tr>
<td>8:30 – 10:00 am</td>
<td><strong>Group discussion:</strong> 2 groups to discuss and recommend on practical and concrete steps to strengthen FGM, and define a road map</td>
<td>2 groups, group leaders and facilitators</td>
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<tr>
<td><strong>10:00 – 10:30 am</strong></td>
<td><strong>Coffee Break</strong></td>
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<tr>
<td>10:30 – 11:30 am</td>
<td>Presentations of the two groups (20 minutes for each group including Q &amp; A).</td>
<td>3 Group leaders</td>
</tr>
<tr>
<td>11:30 – 12:00 noon</td>
<td>Closing Remarks/Finalize Workshop Outputs and Next Steps</td>
<td>Dr. Nguyen Ba Ngai, Vice Director General of VNFOREST; Dr. Ewald Ramesteiner – FAO Headquarters.</td>
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Annex 2: Participants

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<thead>
<tr>
<th>No</th>
<th>Name</th>
<th>Position</th>
<th>Organization</th>
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<tbody>
<tr>
<td>1</td>
<td>Dr. Ewald Rametsteiner</td>
<td></td>
<td>FAO Rome</td>
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<tr>
<td>2</td>
<td>Arend Jan van Bodegom</td>
<td>Consultant</td>
<td>Wageningen University and Research Centre - Centre for Development Innovation (CDI)</td>
</tr>
<tr>
<td>3</td>
<td>Dr. Le Khac Coi</td>
<td>Consultant</td>
<td>CH8 Consultancy</td>
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<td>4</td>
<td>Dr. Nguyen Ba Ngai</td>
<td>Deputy director</td>
<td>VNFOREST</td>
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<td>5</td>
<td>Nguyen Tuong Van</td>
<td>Deputy director of DOSTIC</td>
<td>DOSTIC, VNFOREST</td>
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<td>6</td>
<td>Nguyen Hu Dung</td>
<td>Director</td>
<td>FPD, VNFOREST</td>
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<td>7</td>
<td>Pham Minh Thao</td>
<td>Director</td>
<td>DOSTIC, VNFOREST</td>
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<td>8</td>
<td>Nguyen Nghia Bien</td>
<td>Director</td>
<td>Planning and Finance Department, VNFOREST</td>
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<td>9</td>
<td>Cao Chi Cong</td>
<td>Director</td>
<td>Forest Utilization Department, VNFOREST</td>
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<td>10</td>
<td>Doan Minh Tuan</td>
<td>Director</td>
<td>Inspection Department, VNFOREST</td>
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<td>11</td>
<td>Le Van Bach</td>
<td>Deputy director</td>
<td>Forestry Policy Department, VNFOREST.</td>
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<td>12</td>
<td>Vu Thanh Nam</td>
<td>Officer</td>
<td>Forestry Policy Department, VNFOREST.</td>
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<td>13</td>
<td>Dam Ngoc Nam</td>
<td>Deputy director</td>
<td>Agricultural Products Processing Department, MARD</td>
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<td>14</td>
<td>Tran Huu Thanh</td>
<td>Officer</td>
<td>Agricultural Products Processing Department, MARD</td>
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<td>Pham Manh Cuong</td>
<td>Officer</td>
<td>Vu KH&amp;HTQT,VNFOREST</td>
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<td>16</td>
<td>Dang Dinh Khoa</td>
<td>Officer</td>
<td>Land Management Department, MONRE</td>
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<td>17</td>
<td>Dinh Ngoc Minh</td>
<td>Vice director</td>
<td>Agriculture Department, MPI</td>
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<td>18</td>
<td>Vo Dinh Tuyen</td>
<td>Officer</td>
<td>VN Government Office</td>
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<tr>
<td>19</td>
<td>To Dinh Mai</td>
<td>Director</td>
<td>Center for Environment and Community Development</td>
</tr>
<tr>
<td>20</td>
<td>Dr. Pham Xuan Phuong</td>
<td>Expert</td>
<td>Freelancer</td>
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<td>21</td>
<td>Chu Dinh Quang</td>
<td>Expert</td>
<td>Freelancer</td>
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<td>22</td>
<td>Vu Long</td>
<td>Expert</td>
<td>Freelancer</td>
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<tr>
<td>23</td>
<td>Dr. Le Minh Chinh</td>
<td>Lecturer</td>
<td>Vietnam Forestry University</td>
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<td>24</td>
<td>Ngo Ut</td>
<td>Director</td>
<td>FIPI</td>
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<td>25</td>
<td>Nguyen Phu Hung</td>
<td>Deputy director</td>
<td>FIPI</td>
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<td>26</td>
<td>Ho Manh Tuong</td>
<td>Coordinator of NFA project</td>
<td>FIPI</td>
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<td>27</td>
<td>Tani Hoyhtya</td>
<td>CTA of NFA project</td>
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<td>28</td>
<td>Nguyen Hoang Nghia</td>
<td>Director</td>
<td>FSIV</td>
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<td>29</td>
<td>Doan Diem</td>
<td>Deputy director</td>
<td>VIFA</td>
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<td>30</td>
<td>Nguyen Tong Quyen</td>
<td>Deputy director</td>
<td>VIFORES</td>
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<tr>
<td>31</td>
<td>Huynh Van Hanh</td>
<td>Deputy director</td>
<td>HAWA</td>
</tr>
<tr>
<td>32</td>
<td>Tran Le Huy</td>
<td>General Secretary</td>
<td>FPA Binh Dinh</td>
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<td>33</td>
<td>Huynh Duc Luan</td>
<td>Director</td>
<td>Ea H'leo Forest Company</td>
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<td>34</td>
<td>Le Bien Hoa</td>
<td>Leader</td>
<td>Quang Tri small-plantation-holders group granted FSC FM certificate</td>
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<td>35</td>
<td>Dr. Le Thuy Anh</td>
<td>Forestry senior officer</td>
<td>WWF</td>
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<td>36</td>
<td>To Manh Tien</td>
<td>Director</td>
<td>Provincial Forestry Department, Lao Cai province DARD.</td>
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<td>Bui Xuan Nhan</td>
<td>Deputy director</td>
<td>Provincial Forestry Department, Hoa Binh province DARD.</td>
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<td>38</td>
<td>Vu Duc Thuan</td>
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<td>Ha Thi Mui</td>
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<td>Nguyen Trong</td>
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<td>Khong Trung</td>
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<td>Nguyen The Dung</td>
<td>Director</td>
<td>Provincial Forestry Department, Binh Dinh province DARD.</td>
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<td>Le Van Minh</td>
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<td>Nguyen Van Xuan</td>
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<td>48</td>
<td>Mai Van Tam</td>
<td>Director</td>
<td>District Forest protection Section, Nam Đông district, TT Huế province</td>
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<td>49</td>
<td>Huynh Huu To</td>
<td>Coordinator</td>
<td>GIZ project, Kien Giang province</td>
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<td>Tran Duc Sinh</td>
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<td>VINAFOR</td>
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<td>GFTN coordinator</td>
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<td>Ho Van Cu</td>
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<td>RECOFTC</td>
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<td>Tim Dowson</td>
<td>FLEGT VPA facilitator</td>
<td>EFI</td>
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<td>Nguyen The Chien</td>
<td>SFM and FSC officer</td>
<td>SNV</td>
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<td>Heini Utunen</td>
<td>Officer</td>
<td>FAO Vietnam</td>
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<td>57</td>
<td>Tore Langhelle</td>
<td>Program Analyst</td>
<td>UNREDD - UNDP</td>
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<td>58</td>
<td>Sujala Pant</td>
<td>Program Specialist</td>
<td>UNREDD</td>
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<td>59</td>
<td>Joost Foppes</td>
<td>Expert</td>
<td>NFA project</td>
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<td>Dr. Nguyen Thi Sen</td>
<td>Expert</td>
<td>NFA project</td>
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<tr>
<td>61</td>
<td>Benard Hubber</td>
<td>Ph.D Candidate</td>
<td>McGill University</td>
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Annex 3: Main issues dealt with in the Background Paper

Forestry land and 3 types of forest

Issues:
- Since 2003 'Forest land' no longer includes bare land. The forest sector cannot find enough land for the target of 16.24 million ha forest cover set out in 2007.
- Planning for the 3 forest types is not clear on maps, it is only at the level of a master plan.
- Plans of communes have not been approved and are not coherent with the master plan.

What is being monitored already?
- Existing forests on lands (special-use forest land, protection forest land, production forest land).

What needs to be monitored in the future?
- 5 additional indicators proposed.

Forest and forest land rental and allocation

Issues:
- Forest land allocation has been slow.
- Natural forest use and beneficiary rights are not clear, especially the relation between the government - owner of the land - and forest managers.
- Forests allocated to households are often of poor quality, so the benefits are poor.
- It is not clear what are the rights of forest enterprises when they work with the allocated forests.
- How to calculate the benefits of allocated forests?
- There are land disputes and encroachments of the land.

What is being monitored already?
- Land and forests allocated.

What needs to be monitored in the future?
- 7 additional indicators proposed.

State forest enterprise restructuring

Issues:
- Forest Companies cannot get long-term loans. One reason is that forest value for the natural forest has not been quantified and so the forest cannot function as an asset for obtaining a loan.
- Some Forest Companies only manage poor forests and cannot generate any profits.
- Some FCs generate money, but it is going to the provincial treasury and they cannot use the generated money for forest management.
- According to decision No. 147 FCs should be financially supported, but in practice FCs do not receive financial support, no technology support and no capacity building.
- The local budget is according to decree 200 responsible for covering costs for FCs for making land measurement and land documentation. In reality there is no such payment.
- No proper policies are available for obtaining finance and credits.

What is being monitored/measured already?
- Number of SFE and FCs.

What needs to be monitored/measured in the future?
- 7 additional indicators proposed.

Timber harvesting from natural forests

Issues:
- Timber-harvesting-limit and/or logging ban reduce presence of forest manager in the forest, with more chances for illegal logging.
- Result of the ban is also lack of revenues for forest manager.
- Other effects are: no silvicultural measures and no re-investments in forests.

What is being monitored/measured already?
- Volume of timber harvested from natural forests by quota.

What needs to be monitored/measured in the future?
- 5 additional indicators proposed.
Forest conversion into rubber plantation and other purposes

Issues:
- Conversion of poor natural forest, with low timber production, into rubber plantations is since 2006 allowed by the government. The aim is to create more jobs for local poor people.
- The criteria for identifying the conversion forest are not clear.
- Some good natural forest was converted into rubber plantation.

What is being monitored/measured already?
- Area of natural forest converted to rubber plantation and other purposes.

What needs to monitored/measured in the future?
- 7 additional indicators proposed.

Beneficiary policy

Issues:
- The term ‘benefit’ is not consistently used in official documentation.
- There are no clear criteria for identifying forest major and minor products. There are no clear rules set in the regulations to manage these ‘minor’ products.
- For many (low producing) types of forest the beneficiary policy is not feasible.
- Benefits for households contracted for special forest protection are much lower than for protection or production.

What is being monitored/measured already?
- Area of forest allocated to households.
- Payment for households for provided forest protection service.

What needs to monitored/measured in the future?
- 4 additional indicators proposed.

Forest Protection

Issues:
- Lack of resources to permit close and regular collaboration between forest rangers and other legal executing agencies for forest protection.
- Lack of incentives for forest rangers;
- Legal status of forest ranger is weak.
- Almost all financial support originates from Program 661, but this only partially covered the needs and the program stopped in 2010.
- Lack of resources for protection may lead to deforestation. Local communities are not involved in forest protection, because forests are not their property and they do not receive any profit from the forests, or too little.

What is being monitored/measured already?
- Number of local forest rangers.
- Number of communes having local forest rangers.
- Area of forest under financial support of the program 661.

What needs to monitored/measured in the future?
- 10 additional indicators proposed.

Handling of violations related to forest

Issues:
- There are many violations of the Law on forest protection and development. There are also land conflicts in several regions.
- Illegal logging, illegal timber transport and processing occurs in many areas.
- The level of punishment is too soft.
- Law enforcement at local level could not meet the real ‘demand’ or necessity.

What is being monitored/measured already?
- Number of forest-destroy cases.
- Area of destroyed forest.
- Volume/value of seized timber.
- Number of illegal timber transportation cases.
- Volume/value of illegal-transported timber seized.

What needs to monitored/measured in the future?
• 5 additional indicators proposed.

**Forest fire prevention and fire fighting**

Issues:
• Forest managers who do not benefit from the state budget have to cover expenses for forest fire prevention and fire fighting from their own budget.
• Many do not have the money.
• Budget for fire fighting at commune level are very limited.

What is being monitored/measured already?
• Number of forest fire cases.
• Area of forest lost by fire.
• Direct causes of fire.

What needs to monitored/measured in the future?
• 4 additional indicators proposed.

**Protection forests and special-use forests**

Issues:
• The country has some 2 million hectares of special use forest (natural forests and planted forests) and 4.8 million hectares of protection forests.
• Program 661 gives financial space for only a very limited staff capacity to manage these forests.
• Payment for forest protection service is too low (up to 100,000 vnd/ha/yr).

What is being monitored/measured already?
• Area of protection and special-use forest.
• Number of forest management boards.
• Pay for provided forest-protection service.

What needs to monitored/measured in the future?
• 6 additional indicators proposed.

**Forest environmental services**

Issues:
• The government issued Decree No. 99/2010 on a policy for payment of environmental services.
• Implementation of the programme is very slow.
• Forest status and boundaries have not been defined.
• Lack of budget to start pilots.
• Collaboration between ministries needs improvement.

What is being monitored/measured already?
• Number of hydro-power plants and clean drinking water supply, in pilot provinces, committed to pay for ES.
• Amount of money paid to the pilot provinces.

What needs to monitored/measured in the future?
• 6 additional indicators proposed.

**Forestry finance**

Issues:
• There are several decisions, decrees and circulars which define ways to finance forestry.
• Different sources of forest funding are not enough to pay the management costs.
• Contribution from central government is in reality much lower than determined according to rule no. 147.
• Access to credits is very limited.

What is being monitored/measured already?
• No information.

What needs to monitored/measured in the future?
• 5 additional indicators proposed.

**Vietnam fund for forest protection and development**

Issues:
• The fund has no resources.
• There is no mechanism to mobilize funds from different potential contributors.
• Provincial fund does not exist either.
What is being monitored/measured already?
• Amount of money invested in forestry.
What needs to be monitored/measured in the future?
• 4 additional indicators proposed.

**Law on natural resources tax 2009**
Issues:
• Tax rate of timber is very high in comparison to taxes on other natural resources.
• Too high tax promotes illegal logging, especially in natural forests.
What is being monitored/measured already?
• No information.
What needs to be monitored/measured in the future?
• 2 additional indicators proposed.

**Program “Forest Products Processing and Trade”**
Issues:
• This program aims at the reorganization of the wood and NTFP processing industries in order to
  match the production capability with a sustainable supply of raw materials.
• Control system for timber supply needs to be in line with FLEGT and Lacey Act.
• There are no good data on domestic timber consumption inside Vietnam.
What is being monitored/measured already?
• Annual export value of timber products.
• Annual import value of imported timber material.
What needs to be monitored/measured in the future?
• 10 additional indicators proposed.

**Planning and decision making process**
Issues:
• The law of 03/06/2008 defines steps in the decision-making process:
  o needs assessment,
  o description of needs and its rationale,
  o need approved and put into plan,
  o development of policy,
  o monitoring, and
  o a consultation process.
• These steps are very important in order to guarantee good quality of new laws and regulations.
What is being monitored/measured already?
• No information
What needs to be monitored/measured in the future?
• 9 additional indicators proposed.

**Implementation, enforcement and compliance**
Issues:
• Normally the issued legal regulation contains a provision on its implementation specifying who is
  mandatory to implement it and when. After that, depending on the issued legal regulation itself,
  a written guideline in form of another legal regulation (e.g. circular) or administrative letter will
  guide how to implement the issued legal regulation. And in many cases, trainings on the issued
  legal regulation implementation are taken place.
• The implementation of the issued legal regulation is also reported in operation meetings to aim
  (i) for right implementation of the regulation and find opportunities for improvement of its
  implementation or gaps that need to be addressed by its possible revision or even by possible
  issuing new regulation.
• No problems/challenges have been reported on this item.
What is being monitored/measured already?
• Number of forest-related legal regulations newly issued.
• Number of forest-related legal regulations withdrawn (out of effectiveness).
What needs to be monitored/measured in the future?
• 1 additional indicator proposed.
**FLEGT and VPA, and Lacey Act**

Issues:
- In order to comply with FLEGT it will be necessary to establish a Timber Legality Assurance System (TLAS).
- FLEGT and Lacey Act are important in order to assure export to EU and USA.

What is being monitored/measured already?
- No information.

What needs to monitored/measured in the future?
- 16 additional indicators proposed.

**REDD+**

Issues:
- At the international level for REDD, some safeguards have been defined which also deal with forest governance issues. See chapter 2.
- REDD+ payments in the future could create substantial income for forest managers.

What is being monitored/measured already?
- No information

What needs to monitored/measured in the future?
- 10 additional indicators proposed.