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| **Annex 8X. Process Framework** |
| **Project:** Sustainable Forest and Forest Land Management in Vietnam’s Ba River Basin Landscape |
| **UNDP PIMS**: 5887 | **GEF Project ID:** 10539 |

# Project background

The long-term goal of the project is to establish a comprehensive and integrated landscape planning and management framework to mainstream land and natural resource management, as well as biodiversity conservation objectives into forest management (and sub-national /community resource management) within key biodiversity landscapes in the Ba River basin. Its objective is to operationalize integrated landscape management of forested landscapes to generate multiple benefits including effective conservation of globally threatened species and high conservation value forests, reduce deforestation and degradation and enhance local biodiversity-friendly livelihoods. The project will be implemented over a 4-year period based on the following principles:

* Promoting a holistic, multi-sectoral and integrated landscape management approach to resource governance in the Ba River basin as compared to the exclusive protected area centric approach to facilitate the maintenance of the ecological integrity of the biological landscape and its constituent parts.
* Supporting and implementing a participatory/consultative bottom-up planning and implementation approach that focuses on provincial, district and community priorities and decisions that integrate conservation, sustainable forest management, climate risk management and livelihood outcomes;
* Strengthening the role of communities (including ethnic minorities indigenous), provincial, district and local government institutions, community-based organizations and non-governmental organizations and increasing their potential for becoming agents of change in promoting sustainable natural resource management, climate risk management and biodiversity conservation;
* Strengthening capacities of communities, Civil Society Organizations (CSOs), Non-Government Organizations (NGOs) and private sector for implementing effective biodiversity-friendly income generation and livelihood activities;
* Ensuring that in its development and implementation, gender is mainstreamed so that the project contributes to equality and equity, through the creation of equitable opportunities and benefits for both women and men
* Ensuring free prior and informed consent (FPIC) for any activities that may impact ethnic minorities and/or their rights, resources, traditional knowledge and cultural heritage. The FPIC process has been established in the EMPF and shall be furthered guided by context-specific best practice such as the ­­­­­­­­­­­UN-REDD (Vietnam) FPIC guidance document of 2020. This can serve as the basis for negotiating investments for local communities, including in particular, ethnic minorities, and ensuring that any displacement of incomes or access to resources are adequately compensated through alternative livelihood improvement plans;
* Improving awareness and knowledge and strengthening gender mainstreaming and monitoring and evaluation as means to improve conservation impacts.

The project objective is to be achieved through the implementation of four inter-related and mutually complementary three Components are:

* Component 1: Mainstreaming biodiversity and ecosystem services into landscape-level planning, monitoring and enforcement
* Component 2: Conserving globally significant biodiversity and ecosystem services in forested landscapes of Ba River basin
* Component 3: Policy mainstreaming replication and knowledge exchange

Under the implementation of the project, the local communities (mostly Ethnic Minorities) might face restrictions in access to resources, andanticipated livelihood benefits to local people might not materialize as planned, potentially leading to economic displacement. Access restriction-related impacts are most likely to emanate from Components 1 and 2 of the project.

This Process Framework was developed given the potential to restrict access to natural resources in legally Protected Areas (PA) and particularly the proposed ones (Tram Lap and Dak Rong Forest Company) as a result of enhancing the the management enforcement of existing PAs (Kon Ka Kinh, Kon Chu Rang and Kong Trai) and operationalization of the Special Use Forest proposed for establishment in areas under Tram Lap and Dak Rong State-owned forestry companies. The purpose of the Process Framework is to establish a process by which members of potentially affected communities participate in the design of project components, establish a framework for how access restrictions for project affected peoples will be assessed and handled, determine the necessary measures to address the requirements of UNDP SES Standard 5, and implementation and monitoring of relevant project activities.

This Process Framework is also complemented by other project SES documentation/frameworks, including the Ethnic Minority Planning Framework (EMPF) and Environmental and Social Management Framework (ESMF) under Annex 11 and Annex 10 of the project document respectively.

# Participatory implementation

Based on UNDP SES Standard 5 Displacement and Resettlement and Standard 6 Indigenous Peoples, UNDP fosters the full participation of indigenous peoples (EM) in its development processes and the incorporation of indigenous perspectives in development planning and decision-making of projects and activities. This right is of particular significance to indigenous peoples because in their experience, development has tended to be imposed upon their communities from outside, often resulting in violations of their “right to development,” by damaging ancestral lands, water and natural resources.

It is imperative to conduct free, prior, and informed consultations at each stage of the project; to fully identify EM perspectives, issues and concerns by way of validating broad community support for the project[[1]](#footnote-1). Consultation is a mode of social preparation that entails the process of informing and generating awareness and understanding of the concerned public about the Project in a manner that will enable them to effectively participate and make informed and guided decisions. Social preparation enables community participation. This requires strong and localized information, education, and communication (IEC) strategies. In addition, through meaningful engagement and consultations, project-affected peoples can assist in the establishment of effective access restriction measures/requirements that are mutually beneficial (i.e., for both the project’s objectives and the needs/rights of PAPs). Preliminary consultations have been undertaken during the PPG phase, and these consultations have included the discussion of potential access restrictions for local people. Given on-going government restrictions that are in place due to the Covid-19 pandemic, the number of PAPs who could be consulted at preparation phase has been somewhat limited. As such, procedures and requirements for on-going consultation during project inception and implementation have been developed and outlined in the project’s EMPF, Stakeholder Engagement Plan and the EMSF.

*Identifying project Affected Peoples*

The participation of those who may lose access to particular resources or assets and are consequently adversely impacted upon is critical to the successful implementation of the Project and, therefore, the accurate and early identification of Project Affected Persons (PAPs) is essential.

Although PAPs are generally associated with a specified geographic area or targeted site, the extent to which persons may be impacted will vary depending on the economic activities in which they are typically engaged. The project team will develop and maintain a confidential stakeholder register to record the persons that have participated in community consultations and are identified as PAPs.

*Consultation in the project preparation process:*

Consultation was undertaken with local communities (including Ethnic Minorities) during the PPG stage in a culturally-sensitive manner at the potential project sites in Gia Lai and Phu Yen. These initial consultations served a key avenue for informing potentially affected stakeholders of their rights (especially with regards to FPIC, access and benefit sharing, and GRM/SECU), the project’s indicative activities/components, and the need for further consultation and engagement during project inception/implementation.

The consultation process engaged with communal authorities, village heads, and women’s groups to identify potential impacts and benefits on marginalized and vulnerable communities (including Ethnic Minorities) within the project’s area of influence. Consultation was carried out through focus group discussions with a small sample size from 10 to 15 people (Implemented in December of 2020 and January of 2021 in context of COVID 19 impact). The participants were selected randomly, combined with purposeful sampling to collect more points of view. Group discussion was an effective means of consultations because it encourages the sharing and discussion of views and ideas related to the proposed project. In order to ensure effective engagement and participation of Ethnic Minorities (including women) in the preliminary consultation process (during PPG), locations, dates and times of such meetings were scheduled at the convenience of the potentially affected stakeholders. The topics discussed included project information and the potential perceived impacts that may emanate from project activities on traditions, livelihood practices, and access to resources.

The initial consultations undertaken during the project preparation phase provided spaces and avenues for dialogue and helped the project design team address community aspirations and priorities within the scope of the project activities in a participatory manner. Consulted stakeholders/PAPs voiced their support for the project as well as the need to protect forest and biodiversity conservation. However, they also expressed their concerns regarding access to forest resources, and highlighted the potential need for alternative livelihood support if activities and access to forest resources are to be restricted via the project’s initiatives.

*Consultation in the project implementation:*

As outlined, consultations during the PPG phase have been preliminary /limited due to the on-going Covid-19 pandemic (and associated government guidance on gathering sizes etc.). As such, future consultation, especially with PAPs on issues relating to access restrictions, livelihoods and economic displacement, are to be carried out before any activities which may result in such impacts are implemented.

No activities which may cause economic displacement, or which may have adverse impacts on Indigenous People, can commence until agreed mitigation or risk management methods are in place. These activities require formal broad community consent, through a process of Free, Prior Informed Consent. Provisionally, these activities are assessed as follows.

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| **Activity No.** | **Description** |
| 1.2.3  | Preparation of BA River Strategy  |
| 2.2.7  | Implement priority management activities for biodiversity conservation, SFM, etc. |
| 2.3.1 | Development of proposal for inclusion of forest areas into existing PAs  |
| 2.4.3  | Development SFM plans for community forest co-management |
| 2.4.4 | Implementation of community enterprise development activities |
| 2.5.3 | Establish mechanisms for implementation of livelihood support for women |
| 2.6.2 and 2.6.4 | Development and implementation of forest restoration activities |
| 2.7.4 | Investigation of options for PFES extension into new areas |

Consultations with Project Affected Persons (PAPs) during project implementation will be undertaken so as to gather and document information about the needs and specific challenges that PAPs are facing, and identify any potential project activities/restrictions which may adversely affect their livelihoods, cultural heritage or rights. In addition, the consultation undertaken during project inception must be conducted in an appropriate manner, ensuring that all vulnerable/marginalized groups are involved in the consultation process to create a friendly and honest environment without interference or threats from outside.

A Stakeholder Engagement Plan (Annex 9 of the full project document) has been developed, and defines the clear role and responsibilities of each stakeholder, including local communities and EMs in the implementation of the project. This Plan will be followed to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures.

Free prior and informed consent (FPIC) will be the basis for negotiating investments for local communities, including in particular, ethnic minorities, and ensuring that any displacement of incomes or access to resources are adequately compensated through alternative livelihood improvement plans during the project implementation phase, PAPs will be consulted in all the activities of the project that may have potential positive or negative impacts to them. All efforts will be made to engage PAPs in the planning, design, implementation and monitoring of measures to increase the benefits from the project and to avoid negative impacts.

The PA/FMUs with the technical support from Implementing partner (FIPI/MARD) will be responsible for ensuring the participation of the community through the People's Committee of communes, community groups/associations, local leaders and EM leaders, women association and fatherland front, and local agencies. It is essential to invite local people to participate in meetings, including separate meetings with women, to know their views on project activities and identify the positive and negative impacts on their lives from the project.

PA/FMUs will hold regular meetings with the People's Committee of communes, women's associations, village headman and local communities to ensure that all involved persons are fully aware of and understand the contents of the project. The purpose of the consultations is for all EM expected to be affected by the project to gain sufficient information about the project components, the project activities, the mitigation and compensation measures, and mechanisms established for redress of grievances. These meetings will be planned and the PA/FMUs will coordinate with the CEMA at the provincial level or/ and officers in charge of EMs at the district to ensure that all impacts are identified and addressed.

Through the consultation process, PA/FMUs will notify the EM people of their rights, the project’s scale, and the potential impacts on the livelihoods, environment and natural resources. When there a difference or conflict between EMs and the project implementing agencies emerge, PPMUs will need to put in place a mediation and negotiation approach resolve those differences. Negotiation includes mutual respect for cultural differences, discussion of the issue with the legitimate representatives of the EMs, allowing sufficient time to make decisions, and willingness to compromise and record results. Without evidencing the broad support of the community for the subproject or project activities, the UNDP/GEF will not finance such activities. These evidences include the whole process: calls for the meetings (printed announcements, radio clips etc.); list and signature of participants/attendees with representation of women; photos; summary of the discussions; concerns posed and alternatives that respond to local aspirations.

It should be noted that many EMs in Vietnam, especially women, the elderly, and those who live in EM communities in remote rural areas, have limited Vietnamese reading skills. Educational attainment and literacy capabilities of affected EM communities will be identified. These methods and methods of suitable communication/media for culture and gender will be used to eliminate communication barriers. This may include translation of documents into ethnic languages, using interpreters in community meetings, greater use of communication methods with virtual aids in EM communities with high illiteracy or low educational qualifications, and holding separate meetings for women and men according to local cultural traditions in the necessary places.

# Potential impacts

A key focus of the project will be the extension and improvement of protected areas management. One element of this will relate to improving enforcement through improving coordination among existing enforcement agencies and their officers and by increasing community involvement in enforcement.

Improvements will relate to existing enforcement of involuntary restrictions of access to resources within the project’s target sites. The potential target PAs for this project already have existing restrictions in place, with no one living inside of the boundaries. These areas are currently protected under the Vietnamese national legislation/regulation.

Vietnam’s legal framework does not define ‘land tenure’ but does clearly regulate land and forest land ownership, management, access and use. The State plays a strong role in land and forest management from national to local levels. A significant proportion of the forest estate remains under the ownership of State Forest Companies (FCs) and Forest Management Boards (FMBs). The institutions governing the way in which lands and forests are allocated, managed and used, as well as the rights and responsibilities of different parties in different contexts is clearly of considerable importance in determining outcomes – whether forest policies and REDD+ do indeed contribute to the stated economic, social and environmental objectives.

**Land Use Planning:** According to the Land Law (2013):

* In principle, national, provincial and district master land use plans should be based on various criteria, including existing land use status, land demands, socio-economic development strategies and master plans and natural and socio-economic conditions.
* Public consultation is required during the process of master land use plans and land use plans development, providing an opportunity to address concerns where a change of land use may affect forest lands or existing LURC holders, including households, individuals and communities.
* The appraisal board for master plans, plans on land use shall organise the examination and field survey of the areas for which the land use purposes are planned to change, especially changing of paddy land, land for protective forest and land for special-use forest. This provides a measure of protection for agricultural land owners as well as forests that are important for their protective functions or conservation.

A Law on Planning (2017) has been approved by the National Assembly and will affect the implementation of the Land Law. However, it is an exciting development since the law promotes an integrated and cross-sectoral approach to planning.

**Land use rights:** The Constitution of Vietnam states that all land and natural resources are public properties, coming under ownership of the entire people represented and uniformly managed by the State. The Constitution and the Land Law (2013) recognise the right of organisations and individuals to be assigned or leased land and recognition of the land use right by the State through the grant of a land use right certificate. Land users have the right to transfer the land use right, and practice related rights and duties in concordance with the law. Land use right is protected by the law.

For rural households living in or nearby forests, agricultural and residential lands are the most important livelihood assets. Households that have been allocated agricultural and residential land have rights safeguarded under the Land Law (2013), including rights to compensation in the event of appropriation of land by the state and resettlement. According to the Land Law (2013) compensation when State recovers land must be made in a democratic, impartial, equal, public, timely and lawful manner. Affected parties are eligible to receive various forms of support from the government:

* Support for stabilizing livelihood and production;
* Support for training, occupation change and job seeking for cases of recovery of agricultural land from households and individuals directly engaged in agricultural production, or of recovery of land which is a combination between residential land and land for trading and services of households and individuals that have to be relocated;
* Support for resettlement in case of recovery of land from households, individuals who have to be relocated;

Where the land recovered by the State is forest land, compensation is regulated under the Forestry Law (2017) with detailed regulations provided in subsidiary legislation.

Decree 43/2014/ND-CP detailing a number of articles of the Land Law provides details on appraisal procedures, on the contents of a dossier to be submitted on the proposed land use plan as well as detailed procedures concerning land acquisition, resettlement and compensation. Prior notification of affected communities is required and they have the right to complain under the provisions of the Law on Complaints (2011).

Decree 47/2014/NĐ-CP on regulations on compensation, support, and resettlement upon land expropriation by the state provides the details, procedures and valuations for compensation in the event of expropriation of land by the State. Decision 63/2015/QD-TTg on policy assistance in vocational training and job search for workers whose land is withdrawn by the state establishes additional support for citizens who have had their land expropriated.

According to the Land Law, ‘*for agricultural land which was used before July 01, 2004, of which land users are households and individuals directly engaged in agricultural production but have not been granted a certificate or not being eligible to be granted a certificate of land use rights and ownership of houses and other land-attached assets under this Law, the compensation must be made for the land area which is actually used’*. This is an important article since Vietnam is frequently criticised as having no respect for customary land ownership. However, the Land Law provides a flexible framework that implicitly acknowledges the reality of customary land claims and as a basis for resolving the complex array of *de facto* versus *de jure* land conflicts/disputes that exist in Vietnam.

Vietnam does not, however, recognise collective customary land ownership of territories, for example communities that may practice swidden cultivation over long time periods and over large areas.

**Forest Land Allocation (FLA):** With respect to forest land tenure in Vietnam is governed primarily by the following laws: Land Law (2013) and Forestry Law (2017). These laws and associated decrees sanction the management of forests by local people and the private sector and allow legitimate title holders to lease, exchange, inherit, mortgage and transfer titles. The Forestry Law (2017) stipulates how forest lands are to be allocated by forest category, as follows:

* **Special-use forests (SUF**) are allocated to SUF Management Boards; Organisations operating in science and technology, training and education, vocational training in forestry; communities; and economic entities.
* **Protection forests** are allocated to Protection Forest Management Boards (FMB); organisations operating in science and technology, training and education, vocational training in forestry; Households and individuals; communities; and economic entities. Protection forests are generally allocated to a protection FMB. Where protection forests are not managed by a FMB, organisations, households or individuals can be allocated this forest land under contract for purposes permitted under the Forestry Law (2017), but this land must be used for forest protection and development activities and cannot be used to secure a mortgage or other financial instruments. The same provision applies to SUF.
* **Production forests** are allocated without levy to households and individuals as well as Protection and SUF FMBs with production forestland located in the area of forest allocated to them. The State also leases natural and planted production forests to economic entities, households and individuals, and collects rentals on a lump sum or annual basis.

**Forest Access and Usufruct Rights:** Almost all SUF and most protection forest and natural forest on production forestland are managed by government entities. These entities may “sub-contract” specific areas to local households for forest protection and planting. FMBs and FCs can sign protection contracts with households and individuals, but these contracts are limited (not long term, but renewable) and do not allow a change in land use.

The Forestry Law (2017) outlines the conditions under which forest products in protection and special-use forests can be utilized, including dead trees and non-timber forest products provided the protection capacity of the forest is not affected and in accordance with the management plan. Overall, Viet Nam has a robust legal framework with detailed provisions governing the management and use of particular forest categories and types. Whilst the primary Forestry Law (2017) provides the overall framework for how forests are to be accessed, managed and used, further details are provided in various pieces of subsidiary legislation, in particular:

Recognizing the issues of forest loss and degradation and the need for combating deforestation and forest degradation, strong legal and political commitments to strengthen the conservation of forests and law enforcement implementation have been recently made. These legal documents are

* Prime Minister’s Decision No. 419/QD-TTg dated 5 April 2017 on Vietnams National REDD+ Action Program (NRAP) for the period 2017 to 2030.
* The Central Committee of the Communist Party Directive No. 13-CT/TW dated 12th January, 2017, instructing provinces to strictly control deforestation and urgently implement measures to improve forest protection and development (and Resolution 71 of the Government to implement Directive No. 13).

Directive 13 outlines the commitment to stop the conversion of natural forests. It highlights the key limitations and weakness in forest conservation and forest planning as: 1) deforestation, forest encroachment and illegal exploitation of forest products, especially of natural forests, persist and become increasingly complicated and the area of protection forest is gradually declining over the years; 2) planning, protection and development of forests are not well aligned with the planning of land use and economic and social development. Many economic development projects such as hydroelectricity, mining, and tourism services do not pay adequate attention to forest protection and development, seriously affecting the environment and causing forest degradation, especially to natural forests; 3) the conversion of natural forests and degraded forests into rubber plantation and agricultural production is not strictly controlled; and 4) actions against forest rangers and law enforcement officers have become increasingly fierce and serious. To resolve such limitations and weakness, it recalls responsible and active actions of the local governments and sectors. *Resolution 17* provides detailed requirements and tasks for the provinces to implement the Directive No. 13. Resolution 71 contains an Annex which provides details on the tasks of provinces for the implementation Directive No.13-CT/TW. It lists over 38 tasks and assigns coordinating agency, cooperating agency, outputs

No new or additional restrictions will be introduced by the project. There will be no change in the extent or nature of protection of the sites,

As presented in the ESMF, the potential impacts of the project are assessed on the basis of initial/preliminary free and prior consultations for disseminating information to the potential Project Affected Peoples (PAP) who depend on forest in the legally designated parks/protected areas and proposed PA (Tram Lap and Dak Rong Forest Company). Evaluation results are also based on key informant interviews of stakeholders in these areas. Information on the consultations have been conducted and shown in the EMPF (Annex 2) the numbers of all different ethnic minorities consulted, the issues raised and the locations where these consultations were undertaken.

The Project is designed to bring about positive impacts not only on biodiversity conservation, but also social and economic development of those areas, particularly on the livelihoods of local people (EM) through taking into consideration the EM perspective and concerns. However, it will also likely indirectly cause negative impacts of economic displacement because of the forest dependence of the local people for food security and different demands on forest products and non-forest products for everyday life of the EMs, especially for women and the poor. This is further affected by the existing lack the capital resources or technical knowledge of market-driven approaches to economic development and hence are being left behind despite tremendous support from the government and other donor project/programs that target the EM and poor people.

An initial assessment was undertaken at PPG stage to better understand the potential impacts of restrictions of access to resources for conservation activities in the PAs, Production and Protection forests and the extension of existing PAs. Consultations with local stakeholders (Tram Lap, Dak Rong Forest Companies, local authorities) and ethnic minorities communities guaranteed that there will not be physical relocation, but there could be a possibility for inadvertent economic (e.g. NTFP collection) restriction. The allocation of forest for community forest management, while a positive development can have potential to exclude other neighboring communities from access to these resources.

Although local people (Ethnic Minorities) do not live within the PAs and the current forest company lands, they do access resources (mainly NTFP collection based on agreement with the Forest Owners) in the forestland of the two companies (Tram Lap and Dak Rong). Although every effort will be made to avoid any access restriction, the enhanced management of PAs/FMUs, the support to the operationalization of the Special Use Forest proposed for establishment in areas under Tram Lap and Dak Rong State-owned forestry companies, could inadvertently result in changes or restrictions in access to forest lands and forest resources presently available to EMs for household use or for livelihood.

# Eligibility criteria

As first identified in the project’s environmental and social screening, some minor accessibility related issues might arise as indirect result of various policies and management tools. Such potential activities include the following:

* Improving PA management, including operationalization of the Special Use Forest proposed for establishment in areas under Tram Lap and Dak Rong State-owned forestry companies
* Enhanced support for participatory community-based forest management

The project will ensure that key stakeholders, especially communities, are meaningfully and effectively engaged during the project implementation phase. The communities will be engaged in the policy development process at the drafting stage and then at the finalization stage. The project will ensure that community concerns are addressed from the outset. It will also ensure that mitigations for any possible adverse impacts are socially acceptable and suited to local realities. The improvements in enforcement that will occur as a result of this project will come into force gradually, as the project is not increasing the number of enforcement officers who will be operating in the target PAs. Improvements in forest conservation are expected to be achieved through voluntary compliance rather than forced relocation. A few people may be affected by improved enforcement of existing regulations and restrictions and will have to relocate their activities from the core forests to other areas to which they have legal access.

Individuals and communities targeted by this PF are those using natural resources in/from designated PAs and Special Use Forest proposed for establishment in areas under Tram Lap and Dak Rong State-owned forestry companies. The project affected persons (PAPs) depend on the access to natural resources of protected areas, using resources for their livelihoods, the eligibility criteria the following information will be considered:

* Those who have legal rights to land and/or natural resource use in protected areas (including customary land, traditional and religious rights recognized under the laws and regulations of the GoV);
* Those who currently (illegally) encroach in the protected areas and proposed Special Use Forest for the purpose of agricultural cultivation.
* Those who regularly (illegally) enter the protected areas and proposed Special Use Forest for the purpose of NTFP collection (fuelwoods, honey or other medical plant, etc..). In this regards, women who is normally in charge of NTFP collection, will be significantly affected

The eligible PAPs living within or in the vicinity of the protected forest areas, will be determined by participatory process (see section 2), to determine the exact number and scope of impacts to be compensated by the project. Special consideration and priority will be given to the vulnerable groups including the poor, ethnic minority groups, landless, elderly and female-headed households. Those are non-local community members accessing the areas for illegal purposes such as logging and/or wildlife hunting are not eligible.

While a process to determine eligibility should be guided by the above criteria, it is the affected communities who must be consulted for their views on who is eligible for project assistance to deal with project impacts. In many cases the entire community may be affected, although some members more so than others.

At the time of the project preparation, the exact number of affected PAPs at each specific site is not known. **Within Year 1 of project implementation, a technical socioeconomic survey of forest users (i.e., within the project’s area of influence) will be conducted[[2]](#footnote-2).** This survey will determine the main livelihood sources of local communities/forest users, and shall in turn inform the development of appropriate management/mitigation measures for any access restriction/livelihood related impacts that may arise as a result of the project’s interventions. This survey/analysis of forest users will seek to establish a summary profile of the existing users of forest resources (including unsustainable practices and illegal activities that will not be permitted under the auspices of the PA management supported by the project).

All PAPs must be consulted to identify project adverse impacts, and in a joint activity to establish the eligibility criteria for mitigation or/and compensation measures. The project will work with PAPs and co-managers, representative of local forest organizations, local leaders to define the eligibility criteria for project assistance in a participatory manner, once they are identified. Additional eligibility criteria for occupants or neighbors of protected areas needing special consideration related to livelihood will be discussed with relevant stakeholders, assessed by the PMU and shall be incorporated as part of protected area management plan.

*Considerations for Vulnerable Groups*: The poor, EMs, elderly, and women in the local communities are likely to be particularly vulnerable as they are often more heavily dependent on agriculture, forest products collection and have less diversified income sources. In order to ensure that the effects on vulnerable groups are minimized if not avoided, the project will firstly ensure they have access to project related information including livelihoods assistance and secondly, alternative livelihood activities carried out in communities will ensure the inclusion and participation of vulnerable groups. To ensure women participate in the project, livelihoods support will be directed towards the affected household. Women will be able to apply for alternative livelihood assistance that they lead and manage. (Output 2.4)

# Measures to assist affected persons to improve their livelihoods

As mentioned earlier, the project will not cause any direct physical or economic displacement. However, some minor accessibility related issues might arise as a result of the project’s interventions. If avoidance is not possible, mitigating activities will be mutually agreed upon with the PAP (local communities) through meaningful engagement and on-going consultation. No activity will be undertaken in areas were consent and consultation with local communities has not been obtained/undertaken.

It is important to consider a comprehensive range of issues that may cause adverse social impacts once specific Project activities are further defined. For example:

• Who will benefit directly from the activities and whether this will be controlled by dominant persons in the community.

• The location of important sites with significant resource and cultural values, such as sacred sites,.

• Sensitivity of a community belief system and the linkages between the local environment and natural resources and cultural identity.

• Loss of assets or access to assets.

• Elements of the Project that may infringe upon customary rights.

• Elements of the Project that may disrupt social cohesion.

• Elements of the Project that may cause gender inequity issues.

• Time commitments required to participate in activities which may take away from important subsistence tasks.

• Heightened risk of conflict arising in adjacent communities resulting from exclusion from Project activities.

• Perceptions of favoritism between communities leading to conflict. The above list is not exhaustive and may be further refined in the consultation process.

The mitigation measures are to compensate for and diversify the livelihoods of the affected persons of the forest resources restriction. The project will support the development of modalities that provide an alternative livelihood opportunity for PAPs. Livelihood Action Plan will be developed in Year 1 of the project in in case there is any inadvertent restriction on access to resources by communities on account of project activities in the buffer zone of existing PA and new planned PAs. Particularly, the potential affected EM households would be provided with sustainable biodiversity-friendly livelihood models sustainable or/and co-management mechanisms for forest protection, plantation and rehabilitation activities with existing PA and new planned PAs. The Project’s support to livelihood development should include diversifying livelihood opportunities, incentivizing sustainable agricultural and forestry activities by building and enhancing links between the value chain actors and small farmers/communities, and promoting sustainable use of NTFPs. It is necessary to support forest-dwelling groups, particularly the youth and marginalized groups, ethnic minority groups, in finding jobs. Vocational jobs in nearby towns and cities could be created by enhancing the production and processing activities of plantations as well as of the non-forestry sector. For all livelihood support activities, particular attention should be provided to support female entrepreneurs and start-up initiatives.

Criteria for selection of priority communes for project’s livelihood support are:

1. communes located within core or neighboring buffer zones of national park/nature reserve;
2. communes located in corridors between core areas and within biodiversity rich areas or areas with recognized potential for meaningful ecosystem restoration; or
3. communes within identified forest rehabilitation areas or are allocated forest for community forest management.

Within the selected communes, selected households are identified on the basis of the following criteria:

1. households that are greatly dependent on forest resources within buffer zones of national park/nature reserve and forest restoration areas for their livelihood or that conduct such actions which directly threaten forest biodiversity;
2. households that are willing to participate in community forest management,
3. households that are categorized as ethnic minorities or disadvantaged groups; or (iv) households that are already organized into interest groups or production groups

The project will mainstream the participatory approach during the implementation stage, particularly to those activities that related to restriction of access to forestlands/forest resources, in order to ensure that effective consultation and community consent is obtained prior to deciding on the potential specific location, nature and scope of project activities thus reducing the potential adverse impacts/conflicts. Such project activities (that will be designed through meaningful engagement with PAPs) includes alternative livelihood initiatives. The process of developing these alternative livelihood initiatives will be participatory and will be underlined by equity and community driven decision-making. The models will be developed through a guided process, with each model including a plan to support the development of products and services all the way through to distribution and service delivery. The process to achieve this will naturally be starting with mobilizing affected community members to ensure that they have the space and opportunity to consider the options available to them, and are able to share in project benefits in an equitable and culturally appropriate manner.

# Conflict resolution and grievance mechanism

The Implementing Partner, the FIPI/MARD will establish and implement a transparent, fair and free-to-access project-level Grievance Redress Mechanism (GRM), approved by stakeholders, which will be put in place at the start of implementation. Interested stakeholders may raise a grievance at any time to the Project Management Office, the Implementing Partner (i.e., Executing Agency), the GEF Implementing Agency (UNDP), or the GEF.

The Implementing Partner must assign staff who is responsible for operating and monitoring grievance redress from national to local level, and for reporting periodically on the project progress report

**The mandate** of the GRM will be to:

(i) receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively “*Grievance*”) alleging actual or potential harm to affected person(s) (the “*Claimant(s)*”) arising from Project.

(ii) assist in resolution of Grievances between and among Project Stakeholders; as well as the various central and local government ministries and departments, NGOs, and others (collectively, the “*Stakeholders*”) in the context of the Project.

(iii) Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

A standard procedure to handle grievance should be going through following steps:

* **Step 1:** Receive and register grievance (through email, letter, fax, phone, meetings;
* **Step 2:** Acknowledge, Assess, Assign: Acknowledge receipt and outline how grievance will be processed, assess eligibility, and assign organizational responsibility for proposing a response;
* **Step 3:** Propose Response: There are often three types of responses including: (1) Direct action to resolve the complaint; (2) Further assessment and engagement with the complainant and other stakeholders to determine jointly the best way to resolve the complaint; (3) Determination that the complaint is not eligible for the GRM, either because it does not meet the basic eligibility criteria, or because another mechanism (within the organization or outside it) is the appropriate place for the complaint to go.
* **Step 4:** Communicate proposed response to complainant and seek agreement on the response: This step will deliver response back to the complainant in a timely fashion, in writing using language that is easily accessible to the complainant. Responders may also contact the complainant by telephone or set up a meeting to review and discuss the initial approach with the complainant. The response should include a clear explanation of what the complainant’s choices are, given the proposed response. Those choices may include agreement to proceed, request for a review of an eligibility decision or a referral decision, further dialogue on a proposed action, or participation in a proposed assessment and engagement process. In addition, the response should note any other organizational, judicial or non-judicial but official government avenues for redress that the complainant may wish to consider.
* **Step 5:** Implement the response to resolve the grievance: at this step, there is an agreement between a complainant and the GRM staff to move forward with the proposed action or stakeholder process, then the response should be implemented.
* **Step 6:** Review the response if unsuccessful: the GRM staff should review the situation with the complainant, and see whether any modification of the response might meet the concerns of the complainant. If not, the GRM staff should inform the complainant about other alternatives that may be available, including the use of judicial or other administrative mechanisms for recourse. Whatever alternative the complainant chooses, it is important for GRM staff to document their discussion with the complainant and the complainant’s informed choice among alternatives
* **Step 7:** Close out or refer the grievance

The Grievance Redress Mechanism set out in this PF encourages mutually acceptable resolution of issues as they arise. It has been designed to:

* Be a legitimate process that assures stakeholders that their concerns will be assessed in a timely, fair and transparent manner;
* Provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
* Provide clear and concise procedures for each stage of the Grievance Redress Mechanism process;
* Ensure equitable treatment to all individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;

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

* Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact as result of the project;
* Any kind of impacts that have occurred or likely to occur; and explanation of how the project caused or may cause such impacts;

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

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

Complaints and grievances related to any aspect of this Project will be first handled through negotiation aimed at achieving consensus. They should pass through three levels before they are taken to a court of law as a last resort. People will be free from any fees for complaints. The three levels include:

* **First level** - At Commune People’s Committee (CPC) people may bring his/her complaint to any member of the CPC, in writing or verbally. It is incumbent upon said member of CPC to notify the CPC about the complaint. The CPC will meet personally with the aggrieved person and will have 15 days following the lodging of the complaint to resolve it. The CPC secretariat is responsible for documenting and keeping file of all complaints awaiting at the CPC for settlement;
* **Second Level** - At District People’s Committee (DPC) If after 15 days the aggrieved person does not hear from the CPC, or if the CPC gives its solutions, but s/he is not satisfied with the decision taken on his/her complaint, she/he may bring the case, either in writing or verbally, to any member of DPC or District. The district in turn will have 30 days to resolve the case. The District Committees responsible for documenting and keeping file of all complaints that it handles;
* **Third Level** - At the Provincial People’s Committee (PPC) If after 30 days the aggrieved person does not hear from the District Committee, or if s/he is not satisfied with the decision taken on his/her complaint, s/he may bring the case, either in writing or verbally, to any member of the Provincial PC. The Provincial PC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The PPC is also responsible for documenting and keeping file of all complaints that it handles; Final Stage - Court of Law If after 45 days following the lodging of the complaint with the PPC, the aggrieved DP does not hear from the PPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law. The judgment of the Court is the final results that the concerned parties have to comply with. In this project, legal judgment may refer to the Law on Complaint 2011, the Law on Biodiversity 2008, Land Laws 2013, the Law on Environmental Protection 2014 or the Forest Law 2017 as legal base for their decision.

FIPI/MARD in cooperation with local two DARDs of Gia Lai and Phu Yen, PAs and FMUs will provide the necessary training to improve grievance procedures and strategy. The Grievance staff will maintain a database of complaints received related to the Project which will contain the following information: nature of the complaint, source & date of receiving complaints, name, gender, ethnicity and address of complainant, actions and current status. All written record must be confidentially stored to assure personal privacy will be strictly protected. The project management boards at all level must cooperate with related stakeholders to provide all necessary supports to people/organization so as they could deliver their complaints/grievance to responsible authorities at no cost, in time and under appropriate manner as defined by existing regulations.

The Project will have to provide additional guidelines to include gender inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders. The project’s grievance redress process will be disseminated through project brochures and project information listed in the offices of the commune/district people’s committees.

With respect to the UNDP SRM, the Resident Representative will identify a member of the Country Office management team to oversee and manage the grievance redress process. The SRM ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes. Further information, including how to submit a grievance to the SRM is found on the UNDP website at: <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/>.

# Implementation and monitoring arrangements

An important principle and requirement of any Process Framework is to establish an enabling environment in which PAPs can participate in developing mitigation measures against negative impacts caused by the Project. This includes providing these people with input into:

• Any proposed access restrictions,

• assessment of impacts (via scoped ESIAs for site specific impacts and SESAs at a policy-level),

• determination of measures to reduce impacts caused by limiting access to forest resources,

The PSC may decide to modify any proposed restrictions and/or mitigation measures as a result of community input on how to lessen negative impacts while still achieving resource protection and conservation goals. While this PF will build on the participatory mechanisms established by other project components, additional measures will need to be put in place to ensure that the special concerns of PAPs are addressed.

**Implementation Arrangements:**

Implementing Partner: The Implementing Partner for this project is the FIPI under Ministry of Agriculture and Rural Development (MARD).

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The FIPI/MARD is responsible for:

* Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
* Risk management as outlined in this Project Document;
* Procurement of goods and services, including human resources;
* Financial management, including overseeing financial expenditures against project budgets;
* Approving and signing the multiyear workplan;
* Approving and signing the combined delivery report at the end of the year; and,
* Signing the financial report or the funding authorization and certificate of expenditures.

Responsible Parties:The Responsible Parties are the Provincial Administrations of Gia Lai and Phu Yen provinces.

Project stakeholders and target groups: Project target groups are the Protected Area and Forest Management Boards within the Ba River basin in the two provinces that will be responsible for implementation of protected areas and sustainable forest management actions. The Commune Peoples Committees will actively engage in promotion of co-management of commune forest lands and local communities and ethnic minorities will be beneficiaries of forest management, livelihood and payment for forest ecosystem services.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee. A strict firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GEF Fee and project execution undertaken primarily by the Implementing Partner and charged to the project management costs. UNDP’s role includes the following:

* Provide oversight on all matters related to safeguards;
* Inform all the stakeholders and right-holders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP’s corporate Accountability Mechanism (described below);
* Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects;
* Ensure adherence to the SES for project activities implemented using funds channeled through UNDP’s accounts, and undertake appropriate measures to address any shortcomings;
* Verify and document that all UNDP SES requirements have been addressed;
* Provide technical guidance on implementation of this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and UNDP policies and procedures.

Project organisation structure:

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Project Steering Committee:

The Project Board (also called Project Steering Committee, PSC) is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Board related to the implementation of the Process Framework include:

* Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
* Address project issues as raised by the project manager;
* Provide overall guidance and direction to managing environmental and social aspects of the project, ensuring it remains compliant with the UNDP SES, and that successful impact management is achieved.
* Address environmental and social issues raised by the National Project Coordinator.
* Provide guidance on new project risks, and agree on possible mitigation and management actions to address specific risks;
* Agree on project manager’s tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager’s tolerances are exceeded;
* Advise on major and minor amendments to the project within the parameters set by UNDP-GEF;
* Ensure coordination with various government agencies and their participation in project activities;
* Review combined delivery reports prior to certification by the implementing partner;
* Address project-level grievances;

*The composition of the Project Board must include the following roles:*

* Project Executive: Is an individual who represents ownership of the project and chairs the Project Board. The Executive is normally the national counterpart for nationally implemented projects. The Project Executive is: Director-General of FIPI, MARD.
* Beneficiary Representative(s): Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often civil society representative(s) can fulfill this role. The Beneficiary representative (s) is/are: Forest Management Units, Commune People’s Committees, Ethnic Minorities and local communities.
* Development Partner(s): Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project. The Development Partner(s) is/are: the Provincial Governments of Gia Lai and Phu Yen and their respective provincial Departments of Agriculture and Rural Development.
* Project Assurance: UNDP performs the quality assurance and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed, and conflict of interest issues are monitored and addressed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. UNDP provides a three – tier oversight services involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of project execution.

*National Project Coordinator:* The NPC (senior governments staff of FIPI/MARD) will provide support in the exercise of project leadership and provide operational project management oversight in accordance with the Project Document and the UNDP guidelines and procedures for implementation of project activities, including:

* Provide overall project implementation support across all components. Assurance of successful completion of the project in accordance with the Project Results Framework;
* Provide overall leadership and guidance to the staff of the PMU;
* Serve as secretary of the PSC and recommend agenda for PSC;
* Lead the process of planning for implementation strategy, annual work planning, reporting to PSC and UNDP, and in the preparation of implementation guidelines;
* Based on agreed upon strategies and plan targets set by the project, direct and facilitate the preparation of work packages and TORs, identify and facilitate agreements with responsible partners for their implementation;
* Oversee the development and execution a monitoring and evaluation system (M&E);
* Track and manage project spending in accordance with the project budget, as well as UNDP rules and procedures to ensure transparency, responsibility, and timely fulfilment of both program targets and budget targets;
* Oversee the preparation and submission of annual Project Implementation Reviews and other required progress reports to the Project Board, UNDP, and GEF in accordance with applicable requirements, in English languages;
* Ensure communication of project issues, innovations, and learnings among key officials of the MARD and member agencies of the PSC.

*Provincial Technical Coordinators:* The Provincial Technical Coordinator’s primary responsibility is to provide technical leadership and ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Provincial Technical Coordinators will inform the National Project Coordinator and Project Board and the Project Assurance roles of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted. The Project Technical Coordinators will remain on contract until the Terminal Evaluation report and the corresponding management response have been finalized and the required tasks for operational closure and transfer of assets are fully completed. Specific responsibilities include:

* Manage the overall coordination and guidance of the technical aspects of the project, in particular the preparation of the FMU and PA plans, monitoring plans and oversee the implementation of technical aspects related to PA management, SFM, training of field staff, community management of forests and community protocols.
* Oversee and coordination of the technical inputs from the international and national consultants
* Develop and support a capacity building and training programs for all relevant provincial, district and commune agencies, ethnic minorities and local communities
* Support the conduct of technical consultations and workshops to develop guidelines, tool kits and manuals for facilitating of planning at FMU levels, rules and regulations for financial mechanism for conservation of biodiversity, etc.
* Development and organization of awareness and publicity programs and materials
* Support plans and protocols for inter-agency coordination during the preparation of land use plans that integrated biodiversity
* Plan the activities of the project and monitor progress against the approved work plan.
* Monitor progress watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.
* Ensure that changes are controlled and problems addressed.
* Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.
* Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
* Prepare revisions to the multi-year work plan, as needed, as well as annual and quarterly plans if required.
* Ensure that the indicators included in the project results framework is monitored annually in advance of the GEF PIR submission deadline so that progress can be reported in the GEF PIR.
* Assess major and minor amendments to the project within the parameters set by UNDP-GEF;
* Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;
* Monitor and track progress against the GEF Core indicators.
* Support the Terminal Evaluation process

A **GRM Sub-Committee** will be established and convened on an ad hoc basis, to attempt to resolve grievances that are not satisfactorily resolved at the local levels. The GRM is described in Section 6 of this Process Framework.

Project management services will be delivered by the PSC staffed as follows:

* National Project Coordinator
* Provincial Technical Coordinators:

Short-term technical support will be procured as needed among qualified consultants, institutes, and civil society organizations and other service partners through competitive bidding processes. The types of expertise envisaged on short-term assignments may include but are not limited to the following: Policy Analysis and Design, Capacity Building/Training, Business Development, Forest Restoration Design and Monitoring, Design and Delivery of Knowledge, Attitudes, and Practices (KAP) Survey, Knowledge Management and Communications, Safeguard and Gender Mainstreaming, and Monitoring and Evaluation.

Provincial Technical Coordinators **(Gender Focal Points)** will be responsible to ensure landscape level stakeholders are engaged in the project, liaising with subnational government departments, civil society, and business enterprises, assist in communication and awareness raising among local communities, and support monitoring and evaluation activities. The Provincial Technical Coordinatorswill be assigned by the provincial covered by the recipient government co-financing contributions.

**Monitoring and Evaluation:**

The implementation of the Process Framework will be monitored and evaluated through the 4-year project timeframe. Details will be captured in project reports, meeting memorandums and through various knowledge products. Adaptive management measures will be put in place, as needed, to adjust the plan to current circumstances and according to the findings of monitoring and evaluation efforts.

Monitoring and evaluation of the implementation of the Process Framework are part of the project M&E plan, and co-financing contributions are included.

The monitoring and evaluation plan for implementation of the Process Framework is outlined below.

*M&E plan for implementation of the Process Framework*

| **M&E Activity** | **Description** | **Timeframe** | **Responsibility** |
| --- | --- | --- | --- |
| Track progress of Process Framework implementation | Ensure implementation of the Process Framework is coordinated and completed in a timely manner, with results reported to the PSC and shared among the project landscapes. | Continuous | National Project CoordinatorProvincial Technical Coordinators:  |
| Learning | Knowledge, good practices, and lessons will be reviewed and used to inform decisions on improving project performance and inclusiveness. | At least annually | National Project CoordinatorProvincial Technical Coordinators:  |
| Annual project implementation review (PIR) reports | Include description of progress of Process Framework, in the annual PIR reports, including a summary of avoidance and mitigation of potential impacts, sharing lessons and good practices across the landscapes | Annually | National Project CoordinatorProvincial Technical Coordinators:  |

# Costs and budget

Funds allocated for implementation of the Process Framework is included in the indicative budget in the Project Document. The estimated costs are listed below.

*Breakdown of project level costs for Process Framework implementation and M&E*

| **Description** | **Indicative Budget, USD** |
| --- | --- |
| **Interventions contributing towards the implementation of the Process Framework** |
| Capacity needs assessment for community forest management, training, establishment of participatory processes | 16,320 |
| Technical support for establishment of forest-based enterprises, training, business development and value chain and financial mechanisms, women livelihood development | 19,200 |
| Gender mainstreaming training and risk management | 5,760 |
| Training and management of community forest co-management and design and implementation of financial models | 99,000 |
| Livelihood support for women-based enterprise development and management | 52,000 |
| Training and workshops, community meetings etc. for PA management plans development and operationalization of expansion of existing PAs | 70,000 |
| Consultation meetings, workshops and training sessions for training of PA and FMU staff in co-management, support community capacity building for co-management, community small enterprise and value chain programs | 45,000 |
| Consultation meetings, workshops and training sessions for livelihood and small enterprise development for women, including nursery techniques | 46,500 |
| **Sub-total:** | **353,780** |
| **Monitoring and evaluation of the implementation of the Process Framework:** |
| Gender safeguard consultant to support monitoring and evaluation of the implementation of the Process Framework | 11,520 |
| Consultation workshops, training and meetings relation to gender, safeguards | 26,000 |
| Travel expenses | 50,465 |
| **Sub-total:** | **110,065** |

Costs associated with the time of PSC for coordinating the implementation of the Process Framework are not included in the above budget breakdown.

* National Project Coordinator
* Provincial Technical Coordinators:

Co-financing contributions will also support the implementation of the Process Framework, specifically the National Project Coordinator and Provincial Technical Coordinators (Safeguard-Gender Focal Points), which will be funded by the governmental partners. National Project Coordinator will assist in communicating and socializing the project to landscape level stakeholders. The Provincial Technical Coordinators will assist in ensuring gender mainstreaming considerations are integrated into the implementation of the Process Framework.

1. More detail on the proposed procedures for obtaining and documenting FPIC are outlined in the project’s Ethnic Minority Planning Framework (EMPF) [↑](#footnote-ref-1)
2. This socioeconomic/forest user survey could be undertaken as part of the site specific ESIA’s that are proposed as per the project’s ESMF. [↑](#footnote-ref-2)