

UN-REDD VIET NAM PHASE II PROGRAMME

3 years Programme Extension Proposal 2016-18

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1. Introduction

This document is intended as a proposal and for an extension of the Viet Nam UN-REDD Phase II Programme into the years 2016, 2017, and 2018. It was initially developed for 2 years only in January 2015 as a cautious response to a 2 or 3 year extension recommendation suggested by a “Mid Term” Review (MTR) of the Programme undertaken in the fourth quarter of 2014. Later, by early April 2015 it was been significantly redesigned as to accommodate the Executive Group’s decisions of late March 2015, in where some priorities were shifted. In the said meeting, a three years extension period was agreed on as found more suitable compared to a two years extension, which contained an excessive number of potentially fatal risks. By end of April 2015, this 2nd draft is submitted for final comments. When comments by the Programme’s direct stakeholders are received by CTA, before 9th May, a final draft will be submitted officially by May 13th 2015.

2. Background

The Phase I of the UN-REDD Viet Nam Programme was implemented during 2009-2012 (including two no-cost extensions). The Phase II Programme was designed for a three-year period starting December 2012 until December 2015. However, the National Programme Document was signed only on 29 July 2013, and the inception workshop was held only on 13 October 2013. It is evident from the Programme implementation perspective, and supported by the MTR that the planned scope and targets of the Programme will be far from reached by the original Programme by end of 2015. Thus, an extension is proposed for the Programme to continue implementation towards the intended targets. A no-cost extension is considered appropriate, as outstanding resources are considered sufficient for the continued Programme implementation.

3. Programme update

Effectively, 2014 was the first year of actual implementation of Programme activities, although the Programme was still grappling with several operational issues, as well as change of key staff. Key posts like the National Programme Director, his Deputy, and the CTA, were only filled in mid or late 2014. On the operational side, in particular 5 co-implementing partners (CIPs) were being mobilized and contracts only concluded in early 2015 (some are still pending as of March 2015). CIPs are considered the main national delivery partners of the Programme, thus the situation has left the Programme effectively in a limbo during 2014.

In order to make up for the delays in 2013, the targets set for 2014 were ambitious; the bulk were unattained by the end of 2014, and none of the 33 outputs had been fully accomplished, although some have been partly achieved and most have been initiated.

Under Outcome 2, which is financially the largest component, and the main component for demonstration activities, progress is observed with provincial REDD action plans (PRAPs) and site-level planning and trainings undertaken and progressing towards approval. Technical guidelines on several components (e.g. site-level planning, stakeholder engagement, and PRAP) were drafted to guide implementation.

Under the other Programme outcomes, activities including workshops and awareness raising and capacities raised on NFMS, FRLs, allometric equations¹, and planning, drivers analysis, as well as enhanced communication, defined gender and IP involvement, took place during 2014, indicating the Programme picking up pace of implementation. In a national discussion and drafting session for FRLs (December 2014) a national government task force was proposed to push the process for FRL/RELS towards submission in time for the 2016 technical assessment. Discussions within

¹ Allometric equations can estimate and substitute comprehensive tree measurements, such as a trees’ standing volume, from simple, easily assessed parameters such as diameter and height.

Government on strengthening the Viet Nam REDD Office (VRO) and the establishment of the National REDD Fund (NRF) are taking place.

During 2014, the Programme became better equipped with more key staff assigned while institutional bodies, nationally and provincially, were established. The Programme thus basically became operational at all levels. Previous issues with government decision-making were improved though not fully solved.

A 3rd draft of the Programme Implementation Manual (PIM) was developed and piloted. The Annual (effectively Mid-Term) Review (MTR), conducted late 2014, provided 12 major recommendations including a Programme extension. The MTR also raised a critical issue of further harmonization of UN agency procedures, which has required further review and harmonization actions (ongoing) and implying a further and final revision of the PIM. AWP 2015 Work Plan has been developed and approved by the Programme Executive Board (PEB) and the Executive Group (EG).

Information on financial delivery is available through the Annual Progress Report of 2014. The total delivery rate of the Programme (by end 2014) was about 22% of the budgeted amount for the same duration. The 2015 budgets are multiple of what has been spent hitherto. As shown in Table 1, the estimated remaining funds will by end of 2015 constitute approximately half of the initial Programme budget and provide a solid base for a no-cost extension.

Table 1: Estimated remaining budget by end 2015, assuming that 2015 budgets are spent in full. Figures in USD

Outcome	Initially Allocated	Remaining end 2015	Remaining end 2015
1 Policy	3,430,000	1,420,597	41%
2 Implementation	13,934,025	6,133,098	44%
3 NRIS/MRV	2,513,335	1,134,355	45%
4 BDS	1,626,740	1,159,097	71%
5 Safeguard	2,115,830	1,257,718	59%
6 Regional	2,051,965	1,151,970	56%
Total	25,671,895	12,256,834	48%
Administration	2,580,260	1,004,955	39%
7% IDC Costs	1,977,651	963,484	49%
Grand Total	30,229,806	14,225,273	47%

4. Mid-Term Review (MTR)

Delayed up till December 2014 the MTR team developed a set of recommendations which the Programme considered by addressing all, accepting most, and eventually proposed an extension. The table below represents a brief summary of the responses:

#	Recommendation by Review Mission	Response from PMU, UN, and GoVN
1	The logframe should be updated and made simpler, where possible. Roadmap for annual targets	The Logframe is now simplified and a roadmap with milestones is linked to it (see Milestones section, ahead). The new logframe will be effective beyond year 2015. Some activities are already now being redirected.
2.1	Max. responsibility delegated from VNFOREST to PMU. And, <i>once an extension has been agreed:</i>	MARD issued Decision No. 5684 dated 29 December 2014 to delegate responsibility and decentralization

2.2	NPD better empowered	to PMU and 6 PPMUs within limits of Decree 38/2013/ND-CP CPO already signed an MoU with VNFOREST Proposals of 5 CIPs have been appraised VRO has been lifted away from DOSTIC and resides now directly under VNFOREST. New director appointed. Annual work plan for VRO 2015 launched
2.3	Decentralise more to PPMUs as more direct responsible	
2.4	CPO signs MoU with VNFOREST	
2.5	Key CIPs identified and contracted	
2.6	VRO clearer mandate, functions and role	
3	The PMU fully staffed as soon as feasible	Further recruitments are undertaken
4	LoAs with CIPs	5 CIPs proposals are appraised. LoAs are signed
5	JCG and PEB strengthen roles and function	In progress. See point 7, below
6	Reactivate STWG	Attempts are being made inc. revival of REDD+ network. Depends on other REDD+ players interest and capacity. First STWG reactivation meeting conducted by VRO on 23 January 2015
7	PEB to make more decisions	In progress. A Programme <i>Technical Committee</i> was established January 2015. <i>No Objection</i> modality with EG
8	Annual planning. NPD approves quarterly updates as needed	PIM revision is in progress. Awaits results of harmonization of operations among the three UN agencies, below
9	Fully harmonised UN agency delivery. One lead agency that aligns financial management, procurement, disbursements, audits, and reports. More technical focus inc. redirecting of CTA	UNDP selected as lead among the three agencies. Administrative, financial, and other technical procedures under alignment (April 2015). CTA empowered. UN establish current risk log and conduct monthly technical meetings.
10	Programme Manager appointed and Chief Administrative Adviser contracted	Accepted by UN. Declined and modified by PMU to avoid additional management layers. Instead, a senior UN administrative officer is provided for PMU
11	Programme extension by two years or three years recommended provided progress above	A three year extension 2015-18 was decided at the 2 nd EG Meeting in Lam Dong March 2015
12	Informal luncheon among Norway, MARD, and UN Agencies	Pending. However, PEB chair and vice chair have met twice since MTR

5. Justification for Programme Extension

Viet Nam has become a net afforestation country since the late nineties. However, a closer look suggests that there are areas of high deforestation and forest degradation among natural forests, and remaining primary forests are approximately 1% of all forests. Measures to reduce deforestation and forest degradation are still relevant. And, of course, increased investment in reforestation, rehabilitation, and afforestation will further increase potential benefits.

The Viet Nam UN-REDD Phase II Programme is of large magnitude. It has proven time consuming to identify and develop the necessary administrative infrastructure for Programme implementation, and the initial three-year duration set aside to meet all the objectives was ambitious for a Programme of this size. For example, the planning, budgetary, and administrative arrangements for the CIPs are not fully finalized, and it also has proved difficult to recruit well-qualified staff for key positions. Because of this, progress in 2014 was slow, with many activities delayed by the unclear or unestablished administrative infrastructure. The result is that the Programme can clearly not achieve its expected targets defined by the Programme design by the end of 2015. The high proportion of unspent funds is an indirect, but strong, indicator of this.

This proposal reflects a re-assessment of the Programme, under which the Programme will seek to achieve its targets over the period 2015-2018, supported by a revised logframe, and benefitting from the nearly finalized administrative infrastructure manual, PIM, as a result of UN harmonising efforts. It is a reflection of the dialogue that has taken place among the Programme partners and the results of the MTR, which has recommended an extension of 3 years. All parties, Norway, MARD, the 3 UN agencies, PEB, and EG all recognize the need for an extension, and called for this proposal to be launched.

As a whole, the Programme now stands a better chance to operate more smoothly in future with some remarkable changes, such as:

- NPD empowered to make decisions
- CTA empowered by UN
- CIP agreements being signed
- UNEP funds channelled through UNDP
- Process in place for PRAP development
- Mechanism being established to lower risks of not achieving targets by mitigating them earlier

6. Logframe changes

The following are the main rationales and principles for revision of the logframe:

- i) The extension required reviewing of annual targets towards completion by the proposed Programme closure in 2018. As to easy accommodate the Annual Work Plan 2015 (AWP2015) which relies on the present, “old” logframe², all linkages between the old and the new logframe are documented in *Annex A: Logframe Changes* on page 24.
- ii) Responding to the MTR recommendation to “simplify” the original logframe, a number of outputs have been combined or modified.

All Outcomes, the Overall and Immediate Objectives remain unchanged. However, the previous 33 Outputs in the “Old Logframe” are now reduced to 23. Further, various outputs have been reshuffled to enhance the logical structure. The corresponding activities will be defined through the annual work plans.

² latest revised in July 2014

7. REDD+ Milestones for the coming years

Component:	Milestones 2015	Milestones 2016	Milestones 2017	Milestones 2018
NRAP Output 1.1	Review NRAP	Draft revised NRAP proposal	Prime Minister endorses revised NRAP	
FREL/FRL Output 3.5	Provide support towards GoVN's submission of FREL/FRL to UNFCCC MARD deadline for FREL/FRL proposal: 15 October, 2015		Receive and address feedback from UNFCCC	Report on REDD+ included in the <i>national communication</i> to UNFCCC
NFMS Outputs 3.1, 3.2, 3.3	National level allometric equations (AE) are developed and selected REDD+ geo-portal is launched Develop database to monitor results of PRAP implementation	Integration of the forestry data (including NFIS) into FORMIS	Integrate REDD+ geo-portal and NRIS with FORMIS platform Continue integration of forestry data (including NFIS) into FORMIS Update estimation of carbon stock applying AE on latest NFI data	Continue integration of forestry data into FORMIS Update estimation of carbon stock applying AE on latest NFI data
National Safeguards Outputs 5.1, 5.2	Institutional assessment for PLRs SIS designed and indicators identified Based on a thorough PLR gap analysis amend or draft new PLR, if required FPIC guidelines accomplished Establish CSO + IP networks and participate in PRAP and NRAP work	Strengthened governance Design of SIS with indicators Include indicators with M&E system for PRAP and site implementation as needed	MARD decision/circular on SIS to address requirements set by COPs	SIS operational and summary of information submitted to UNFCCC (to coincide with 3 rd <i>national communication</i>)
PRAP Guidelines	Finalize 2 nd version of PRAP guidelines	PRAP guidelines issued by MARD	Monitoring report on	Evaluation of relevance of

Component:	Milestones 2015	Milestones 2016	Milestones 2017	Milestones 2018
Outputs 2.1, 1.1, 1.2, 4.1	Level of PRAP integration with FPDP examined and concluded Draft guidelines on PRAP implementation		overall implementation including policies and guidance	PRAP guidelines and assessment of need for any revision
PRAPs Outputs: 2.2 - 2.4	Lam Dong PRAP being implemented. Other, 5 pilot provinces' PRAPs approved Develop PRAP monitoring framework	Implement all 6 PRAPs Establish PRAP monitoring framework	Continue to implement PRAP in all 6 provinces Monitor PRAPs implementation effectively	Continue to implement PRAP in all 6 provinces Monitor PRAPs effectively
PRAP implementation at site level	Prepare agreements covering ≥30 sites /communes	Implement ≥30 sites / communal plans Prepare new agreements covering covering 30 sites /communes	Implement and monitor agreements reached in 2015-2016 Additional agreements for about 60 sites /communes	Implement and monitor all agreements reached in 2015-2017
NRF³ Output 4.1	The Prime Minister assigns MARD Minister to make decision on NRF Have a decision on Institutional arrangement in interim phase	Develop operational NRF guidelines Testing of the fund operations Capacitate national agencies to manage NRF Plan for NRF management transfer	Assess capacity independently NRF staff capacitated sufficiently MoU on transfer NRF receive test funds for RBP Funds received are managed according to terms and conditions agreed for NRF	Testing disbursement efficiency and efficacy Independent capacity assessment (TNA)
BDS	Decision for testing Benefit Distribution System (BDS) for pilot provinces	Pilot positive incentive deliveries	Development of potential national BDS options	Prime Minister's decision on national or Decree of

³ Despite NRF is deemed to be empty in the period the Programme may assist mobilising fund to test the system in 2017-2018

Component:	Milestones 2015	Milestones 2016	Milestones 2017	Milestones 2018
Output 4.2	Pilot incentive deliveries	GRM decision by GoVN Conduct consultations on provincial mechanism, R-factor	Government review draft national integrated BDS	Government on national BDS
Regional Cooperation 6.1, 6.2, and 6.3	2 regional WS on development and implementation of national REDD+ strategies 1 regional seminar on control of illegal logging and reduced regional displacement	Regional e-network are established 2 regional WSs on country-led approaches to safeguards Draft due diligence guideline for wood processing industry	Regional REDD+ Forum established 2 regional WSs on sub-national REDD+ planning and implementation	Regional REDD+ Forum functioning 2 regional WSs on biodiversity enhancement in region

8. Changes of Outcomes and Outputs⁴

OUTCOME 1: CAPACITIES FOR AN OPERATIONAL NATIONAL REDD+ ACTION PROGRAMME (NRAP) ARE IN PLACE

Output 1.1 has been rephrased and expanded in scope to highlight the need to develop technical and policy guidance by VNFOREST. The initial idea of formulation of an NRAP Guideline is shelved as it is taken care of by PRAP Guidelines. The NRAP will, however, be reviewed and analysed for its relevance and sufficiency already within 2015. As the second phase of the NRAP is soon due, a more detailed and updated NRAP for 2016-20 is expected to be designed and presented to the GoVN to enable it and VRO to guide the REDD+ processes in Vietnam more clearly. Eventually, a new NRAP is expected decided on by GoVN and then disseminated accordingly. This is expected to happen no later than 2017.

In recognition of the reviving VRO, Output 1.2 and 1.3 are now merged into 1.2 as to embrace three major VRO activities on revoking NRSC, STWGs, and REDD+ Academy. The national REDD+ Academy (in a Training-of-Trainers style) is being developed for Viet Nam through initial cooperation with Vietnam Forest University to be rolled out for wider awareness raising. The new 1.3 is the previous 1.6 on law enforcement by FAO.

1.4 is a new merger of the original outputs 1.7 and 1.8, which both covered awareness raising, but for different audiences. Original output 1.4 on NRF has been moved to Outcome 4 (see below) to link it with BDS.

Output 1.5 remains as the Programme's "outlook" to ensure sustainable production with other NRM sectors (e.g. coffee, shrimp, rubber, timber, etc.).

OUTCOME 2: THE SIX PILOT PROVINCES ENABLED TO PLAN AND IMPLEMENT REDD+ ACTIONS

In 2015, the Programme will support the implementation of PRAP in Lam Dong province, and will prepare PRAPs in the other five pilot provinces for approval by the provincial governments. In addition, the six pilot provinces will also start preparation and approval of site agreements (SiRAPs) covering several communes and at least 30 sites⁵. Implementation of SiRAPs in 14 communes is envisaged. Provincial REDD+ institutions will be strengthened by establishing a REDD+ network in each pilot province and their capacities will be built to support for the preparation and implementation of PRAP and SiRAPs. Each province will develop a monitoring framework to monitor their PRAP implementation.

In 2016, the Programme will implement PRAPs in all six pilot provinces including the reached site agreements. Additional SiRAPs covering about 30 sites /communes will also be prepared. The monitoring system established in 2015 will start functioning to monitor activities and outputs of PRAPs and site plans. In addition, it is expected that the Programme will implement activities allocating land to users at least at two demonstration sites, assuming that these activities are part of the PRAPs.

In 2017, the Programme will continue implementation of 6 PRAPs including the number of SiRAPs accomplished during the year. An additional SiRAPs covering about 60 sites/ communes will be prepared to reach a total number of 120 sites / communes by 2018. The Programme monitors implementation of PRAPs and all site plans in a sub-national M&E system. These are linked with a National M&E system to which they provide feedback to have an

⁴ A summary table of logframe changes under each output is available as [Annex A](#).

⁵ It is difficult to estimate how many SiRAP the Programme will endorse + implemented in 2015. Available figure suggests that max. number is 34, including 2 village, 2 group of households, 13 commune, 10 FMB and 7 SFCs.

entire system. As 2018 is the last year of Phase II budgets for comprehensive field implementation may be diminishing. Furthermore, new endeavours may not be possible to accomplish within the year. Therefore, 2018 will focus on demarcation and documentation of existing demo's and pilots as to capture lessons learnt and provide overview.

Technically, the number of Outputs in Outcome 2 is now reduced to 6 outputs. Original outputs 2.6 and 2.7 have been merged to 2.6. The original Output 2.5 on *forest* land tenure is relegated as a separate Outcome but is retained in a reduced form in Outcome 2.4.

OUTCOME 3: NATIONAL FOREST MONITORING SYSTEM (NFMS) FOR MONITORING AND MEASUREMENT, REPORTING AND VERIFICATION AND NATIONAL REDD+ INFORMATION SYSTEM (NRIS) ON SAFEGUARDS ARE OPERATIONAL

All Outputs under Outcome 3 remain largely unchanged.

It is proposed that by the newly proposed end of Programme (2018), the relevant information for Viet Nam to fully participate in the UNFCCC envisaged REDD+ will be made available. The role and mandate of the FORMIS platform (being developed under the FORMIS II Programme) has become clearer in recent months, and it is now envisaged that the FORMIS platform will be the core national system also to support reporting and provision of information related to REDD+ to the UNFCCC. Meanwhile, the NFMS data to populate the FORMIS platform will be generated through a number of sub-systems and processes, including the government's NFI&S and future NFI programmes, the former of which will be updated annually at the provincial level for improved PRAP monitoring and is proposed to be strengthened through Programme assistance (Output 3.2), in close collaboration with related investments by FORMIS II.

The formulation of the national GHG-Inventory (Output 3.4) is being implemented through other national initiatives, and the Programme intends to contribute to setting up a sustained institutional arrangement for its formulation.

Work on FREL/FRL (Output 3.5) has been underway in 2014, and in 2015, further input from the Programme is envisaged. Based on the recommendations presented by the Programme (in collaboration with other partners), the government is proposing to further work on its FRL towards a submission for the 2016 technical assessment.

OUTCOME 4: STAKEHOLDERS AT DIFFERENT LEVELS ARE ABLE TO RECEIVE POSITIVE INCENTIVES

Output 4.1 on NRF is the original Output 1.4 which has been shifted across Outcomes because of the close relationship between the NRF and a BDS. The various aspects of a BDS which were previously three separate outputs have been merged into new Output 4.2. A new output 4.3, on a grievance/redress mechanism is proposed, although the scope of work under this output needs to be assessed based on coordination meetings with the FCPF.

Outcome 4 now consists of three main outputs: NRF, BDS, and GRM. It is developed to make sure that an efficient, equitable, and transparent system of BDS is actively involving all relevant stakeholders, especially local communities and people who directly participating in REDD+ activities on the ground. This outcome is based on the results achieved during Phase I and now link BDS and NRF. The principles of Cancun Safeguards as well as other UNFCCC decisions on REDD+ and Vietnam legal framework are respected in the results to be achieved.

OUTCOME 5: MECHANISMS TO ADDRESS THE SOCIAL AND ENVIRONMENTAL SAFEGUARDS UNDER THE CANCUN AGREEMENT ESTABLISHED

Outputs 5.1 and 5.2 are new and restructured outputs. While the Outcome remains the same the previous four Outputs have been reduced to two, to simplify the logic and emphasize the focus on a country-led process of identifying weaknesses in existing safeguards, addressing those weaknesses, and developing a Safeguards Information System (SIS).

For Output 5.2, the main activities are proposed to include: (1) Establish transparent and effective forest governance structures; (2) Strengthen policies and measures to respect rights and knowledge of ethnic minorities and local communities related to the implementation of REDD+ activities; (3) Strengthen policies and measures for full and effective participation of stakeholders, especially for women, local communities and ethnic minorities (including FPIC); (4) Strengthen environmental safeguards related to avoidance of conversion of natural forests, and risks of reversals and displacement.

OUTCOME 6: REGIONAL COOPERATION ENHANCES PROGRESS ON REDD+ IMPLEMENTATION IN THE LOWER MEKONG SUB-REGION

The original logframe is largely maintained for the Outputs towards enhancing regional collaboration for reduced illegal logging. Output 6.4 on a regional strategy for reducing displacements has effectively been merged into Outputs 6.1 and 6.2, as this is considered implicit through the process of working on the Outputs 6.1 and 6.2. However, these regional activities need to be designed and implemented from a neutral regional point of view, thus proposed to be taken out of the overall governance framework of the Programme and implemented through FAO's direct execution modality with Viet Nam and other regional country governments as implementing partners.

Outputs under UNEP have been merged as a single Output; Output 6.3. In here, new landmarks are being defined establishing a regional e-network and a regional REDD+ forum. Knowledge exchange workshop will ease national and sub-national implementation particular in areas where there hitherto seems to be only slow moves forward (e.g. on Safeguards and Field Implementation). Biodiversity is high on the agenda as to benefit from neighbouring effects and efforts.

9. Communication, Liaison, and Visibility

The Programme will strive to enhance visibility through an effective and well documented communication and awareness raising and training programme. Yearly statistics and overview of all liaison and communication activities will be made public through the Programme's web page. A critical and consistent quality assurance system for trainings and workshops to be held will be standardized. The Communication Strategy will be modernised, more detailed, and furthermore focus on content, quality, and modes as to address and ensure that it is need based merely than purely REDD+ propaganda.

10. Revised Log-frame

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
<p>Outcome 1</p> <p><u>NRSC/MARD, MONRE, MPI, MoF</u></p> <p><u>UNDP</u> FAO, UNEP</p>	<p>CAPACITIES FOR AN OPERATIONAL NATIONAL REDD+ ACTION PROGRAMME (NRAP) ARE IN PLACE</p>	Human resources suffice to carry out REDD+ actions as required	Human resources suffice to carry out REDD+ actions as required	Human resources suffice to carry out REDD+ actions as required	The REDD+ agenda, its understanding, and commitment is high	<p>Size of GoVN's fund allocations to forestry, REDD+ and REDD+ related actions</p> <p>≥ 80% of national stakeholders whose work relate to implementation of NRAP assessed to understand REDD+</p>
<p>1.1 UNDP</p> <p>NRAP improved. NRAP guidelines omitted</p>	NRAP updated as necessary	Review and analyse NRAP for its relevance and sufficiency	Revise NRAP as needed for 2 nd part 2016-20	Revised NRAP approved by GoVN	NRAP guides the REDD+ process in Vietnam	New NRAP decided on and disseminated by GoVN
<p>1.2 UNDP</p> <p>Merger of 1.2 and 1.3</p>	Building effective mechanism to generate knowledge, organize policy dialogues, and feed policy recommendations is adopted and functioning	<p>VRO strengthened in its managerial, secretarial and technical capacity to lead the NRAP implementation and support NRSC</p> <p>VRO's vision and mission sharpened by annual workplans</p> <p>NRSC functioning</p> <p>At least 3 additional staff recruited for VRO</p> <p>STWG established and revoked</p> <p>REDD+ Academy to be hosted an academic</p>	<p>Build database, aligned with NRIS, on REDD activities in Vietnam</p> <p>STWG established and revoked</p> <p>NRSC meetings convened</p> <p>Maintain REDD+ network and REDD+ fora and events for knowledge sharing and experience exchange</p>	<p>Maintain database, aligned with NRIS, on REDD activities in Vietnam</p> <p>STWG established and revoked</p> <p>NRSC meetings convened</p> <p>Maintain REDD+ network and REDD+ for knowledge sharing and experience exchange</p> <p>Be innovative and proactive to pursue new avenues for REDD+</p> <p>REDD+ Academy operates in at least 2 Universities in Viet Nam</p>	<p>Maintain database, aligned with NRIS, on REDD activities in Vietnam</p> <p>STWG established and revoked</p> <p>NRSC meetings convened</p> <p>Maintain REDD+ network and REDD+ for knowledge sharing and experience exchange</p> <p>Be innovative and proactive to pursue new avenues for REDD+</p> <p>Technical advisory group</p>	<p>Database on REDD+ projects in Vietnam established and accessible on www.Vietnam-REDD.org</p> <p>≥4 STWG established or revoked</p> <p>VRO conduct ≥2 NRSC meetings yearly</p> <p>Organise national and subnational REDD+ network</p> <p>Increased capacity and no. of staff in VRO</p> <p>National REDD+ Network functioning</p>

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
		institution		Technical advisory group established commissioning study, peer review of policies report and facilitate policy dialogue	established commissioning study, peer review of policies report and facilitate policy dialogue	Workplan exists
Output 1.3 FAO Previously 1.6 with minor changes	Law enforcement capacity and mechanisms are developed to enhance effective forest law enforcement in pilot provinces	Assessment of provincial law enforcement capacity conducted, and training needs identified (also through the PRAP process).	Together with national FPD, conduct trainings for different policing units to address capacity gaps in forest crime law enforcement in pilot provinces. TLAS database integrated into FORMIS II Platform	Continued from 2015.	Continued from 2016.	Address capacity gaps in forest crime law enforcement in the pilot provinces.
Output 1.4 UNEP Merger of former 1.7 (UNDP) and 1.8 (UNEP)	Awareness on climate change and REDD+ raised among key stakeholders at national and sub-national levels through enhanced communication and dissemination of lessons learned Effective dissemination of high quality and relevant information, tailored according to circumstances	Priority Communications products are developed based on a needs assessment The UN-REDD Phase II Communications Strategy, including communications action plan (2016) is revised and implemented Extend scope of sharing information and lessons learned to other forestry provinces	Review and improve of communication strategy and prepare 2 year communication plan Communications products continually produced and disseminated to priority audiences Awareness raising events organized Documentation and dissemination of lesson learnt with PRAP preparation and site-based implementation Needs assessment is re-	Same as 2016	Same as 2017 Evaluation assessment is conducted at national and provincial levels	Yearly 2 workshops/trainings organized, 1 report on lessons learnt, and quarterly newsletters produced By the end of programme, one film is produced; Yearly REDD+ implementation progress featured in the public media at least 4 times Other forms of documents/lessons published and features in various media outlets such as newspapers,

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
			assessed			social media, and TV Number of provinces whose Provincial REDD+ Steering Committee members and key stakeholders have an adequate or better understanding of REDD+
Output 1.5 UNDP	Action Plans for greater sustainability of production of raw materials from key industries (e.g. aquaculture, coffee, rubber and timber) implemented	Proposals for sector engagement finalised for 04 sectors (rubber, coffee, shrimp-farming, and wood processing)	Relevant Policy/strategy revision are formulated for ≥ 1 sectors taking into account the integration and co-operation with REDD+ elements and activities Draft sustainable Action plans to integrate REDD+ activities with other natural resource based industries	Relevant Policy/strategy revisions are formulated for other sectors (≥ 1) taking into account the integration and co-operation with REDD+ elements and activities. Draft sustainable Action plans to integrate REDD+ activities with other natural resource based industries	Review and recommend funding options for activation and piloting of the Action plans developed in 2016-17.	Level of adherence to industry action plans designed to reduce emissions from forests Four Action Plans exists
Outcome 2 DARDs FAO UNDP, UNEP	THE SIX PILOT PROVINCES ENABLED TO PLAN AND IMPLEMENT REDD+ ACTIONS	Provincial institutional capacity built, six provincial plans prepared and endorsed. Monitoring framework for PRAPs developed	Six provincial REDD+ action plans implemented and monitored	Six provincial plans prepared and approved	Six provincial plans prepared and approved	6 provincial plans prepared, endorsed and implemented
Output 2.1 UNDP Unchanged except for UN agencies engaged	REDD+ institutions in pilot provinces established, and REDD+ planning coordinated with FPDPs	REDD+ institutions in the 6 pilot provinces are established and REDD+ is mainstreamed into Forest Protection and Development Plans (FPDPs)	Capacities of the REDD institutions are strengthened to implement and achieve identified targets of PRAP	Capacities and performances of the REDD institutions are evaluated and further institutional development activities will be carried based on evaluation	No further activities envisaged beyond maintaining the set up	6 provinces that have REDD+ institutions functioning to implement PRAPs
Output 2.2 UNEP Unchanged	Awareness on climate change and REDD+ raised among provincial, district and commune officials and other stakeholders in	Communication materials are refined and designed to support PRAP and site level plans, and to address	Provincial communication team and Communication networks fully functioned at grassroots	An evaluation is carried out to assess key stakeholders' understanding of REDD+	At least 2 milestones for each province achieved as defined in the revised communication strategy of 2017 (see left)	70% of stakeholders at provincial, district and commune level in six provinces who have a "good understanding" of

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
	six pilot provinces	<p>safeguards and FPIC in PRAP and site level plan implementation.</p> <p>Communication networks established at grassroots level and communication staff trained.</p> <p>≥ 50% of the provinces with forests among those described in Logframe provided with information material and strategy to conduct REDD+ campaigns</p>	<p>level.</p> <p>≥ 20% additional key stakeholders provided knowledge to understand REDD+ well</p>	Communication strategy redesigned and implemented based on the evaluation report		REDD+ in terms familiar for the local population such as climate change, forest protection, sustainable forest management
Output 2.3 FAO, UNDP, and UNEP Unchanged	Site-based REDD+ Activity Plans and Provincial REDD+ Action Plans in the six provinces are finalized and approved	<p>Provincial REDD+ Action Plans (PRAPs) of the 5 pilot provinces prepared and approved.</p> <p>Agreements in the pilot provinces prepared and approved for at least 30 sites</p> <p>Guidelines for site level agreement process are prepared and approved</p>	New site agreements prepared and approved to cover at least 30 sites.	New agreements prepared and approved to cover about 60 sites		<p>6 provinces that have approved PRAPs or FPDPs with integrated REDD+ specific actions</p> <p>The number of communes covered by agreements</p>
Output 2.4 UNDP, FAO Unchanged except for adding old 2.5	Provincial REDD+ Action Plans are implemented	Site agreements implemented, covering 14 communes	Agreements are implemented covering at least 30 sites /communes	<p>PRAPs of six pilot provinces implemented.</p> <p>New agreements (approved up to 2016) are implemented covering at least 30 sites /communes</p>	New agreements (approved up to 2017) are implemented covering about 60 sites / communes	<p>Number of site agreements implemented</p> <p>Number of SiRAPs produced</p> <p>Number of communes implementing</p>
Output 2.6 FAO	NFMS - Monitoring framework in the six pilot	Monitoring approach developed for at least 6	Provincial monitoring framework implemented	Results of monitoring of PRAP and site agreements	Monitoring, particularly of site agreements are	Number of provinces which have established

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
New (merger of old 2.6 and 2.7)	provinces established, including participatory monitoring	intervention packages Provincial monitoring frameworks developed in pilot provinces with approved PRAPs Monitoring frameworks for site agreements prepared and approved	in all 6 pilot provinces with approved PRAPs. Monitoring frameworks implemented as part of all prepared site agreements	are available as documentation/data in databases	conducted with active participation from local stakeholders Results are transparently documented/input into databases	and implementing their monitoring framework Results of monitoring of site agreements are available in databases
Outcome 3 FAO	NATIONAL FOREST MONITORING SYSTEM (NFMS) FOR MONITORING AND MEASUREMENT, REPORTING AND VERIFICATION, AND NATIONAL REDD+ INFORMATION SYSTEM (NRIS) ON SAFEGUARDS ARE OPERATIONAL	An interim REDD+ geo-portal is developed providing aggregated level data on historical and updated national forest cover, and links to provincial and site level REDD+ plans.	PRAPs and monitoring frameworks will be available on the interim REDD+ geo-portal for all six provinces, and where site agreements are available.	The interim REDD+ geo-portal will be integrated into the FORMIS platform. The FORMIS platform will make available with different levels of access permission, data on national forest cover, safeguards as well as monitoring results of provincial and site-based REDD+ actions.	Relevant REDD+ related information (including geo-spatial information and others) will be made available through the FORMIS Platform and other related tools	Level of establishment of NFMS and NRIS and readiness to generate and receive data
Output 3.1 Unchanged	National REDD+ Information System (NRIS) operational	An interim REDD+ geo-portal is developed providing aggregated level data on historical and updated national forest cover, and links to provincial and site agreements. Relevant information related to safeguards will also be made available	PRAPs and provincial and site level monitoring frameworks will be available on the interim REDD+ geo-portal for all six provinces, and where site agreements are available. Relevant information related to safeguards will also be made available	The interim REDD+ geo-portal will be integrated into the FORMIS platform. The FORMIS platform will make available with different levels of access permission, data on national forest cover, as well as monitoring results of provincial and site-based REDD+ actions. Relevant information related to safeguards will also be made available	Relevant REDD+ related information (including geo-spatial information and others) will be made available through the FORMIS Platform and other related tools	6 provinces have made data entry in NRIS on plans, safeguards, monitoring results and IAS
Output 3.2 Unchanged	NFMS – Land Monitoring System (LMS) developed	(c.f. Output 3.1, above). - specific to the land	Relevant activity data (AD) for pilot provinces	Relevant national level activity data generated	Continue from 2017	6 provinces equipped with available QA/QC

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
		monitoring system for which data will be generated from NFI/FIPI	generated from the NFI and NFI&S programmes are integrated into the FORMIS platform	from the NFI and NFI&S programmes are integrated into the FORMIS platform		activity data (AD)
Output 3.3 Unchanged	NFMS-Emission Factors (EF) developed	NFI IV reviewed (recommendation for species identification conducted) and EFs developed (including for mangrove forests)	All AE's developed	All BEF/allometric equations developed for relevant representative species and/or forest types in the pilot provinces and country		Number of BEF/allometric equations developed
Output 3.4 Unchanged	NFMS – Institutional arrangements for compiling National REDD+ GHG-Inventory clarified	A proposal on coordinating and implementing mechanism for GHGs estimation and inventory in REDD+ activities. A guideline on data inputs collection (inc. forms) for GHGs estimation and inventory in REDD+ ; guideline on the data quality control and quality Assurance (QC/QA)				GoVN institution with the required capacity to work on sector data for the National REDD+ Inventory Report has been identified
Output 3.5 Unchanged	Interim performance indicators and REL/FRL established	Discussions on National FRL methodology are consolidated towards a submission to the UNFCCC by GoVN		The national FRL submitted to UNFCCC in 2016 is reviewed for updates/improvements		National FRL submitted and accepted
Outcome 4 UNDP	STAKEHOLDERS AT DIFFERENT LEVELS ARE ABLE TO RECEIVE POSITIVE INCENTIVES	NRF, GRM and IAS (BDS) drafted and improved through stakeholder consultations	NRF is ready, IAS (BDS) designed, GRM analysed and documented with according guidelines	National IAS (BDS) and NRF approved. GRM designed	IAS (BDS) tested and improved as needed. NRF functions on test basis. GRM being tested	National IAS (BDS) exists through legal document GRM mechanism defined and functioning NRF operates
Output 4.1 UNDP Moved – old output 1.4	National REDD+ Fund (NRF) operational	NRF design proposal adopted by MARD decision	NRF guidelines developed Testing of the fund	NRF staff capacitated sufficiently NRF is able to receive	NRF is operating, receiving financial resources and starts making disbursement	National REDD+ Fund and associated institutions are ready (All criteria required by international finance standards i.e.

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
			operations National agencies identified to manage NRF capacitated	funds for RBP	Plan for NRF management transfer TNA to ensure training gaps are known National agencies capacitated to manage NRF	transparency, participatory are adopted by national REDD+ fund); NRF is accredited by an independent international qualified organisation to receive international finance and disburse to beneficiaries
Output 4.2 UNDP Merger of old 4.1, 4.2, 4.3	National and provincial-level mechanisms and standards for allocation of REDD+ positive incentives adopted	All 6 pilot provinces have delivered incentives to those implementing and accomplishing interventions linked with site-level agreements.	Procedures for allocation of incentives designed in each pilot province, accommodating tenure arrangements of site agreements, and governed by a MARD decision. Further development for national IAS (BDS) based on pilot activities	Procedures for allocation of incentives design at the national level The national IAS (BDS) is capable of integrating incentives from other mechanisms, including PFES and government budget	IAS (BDS) being tested and adjusted for any shortcomings and for improvement	Percentage of elements of national-level mechanisms and standards of a national IAS (BDS) fully established Government approval of a proposal that will allow distribution of integrated positive incentives from REDD+ revenues and government budget
Output 4.3 UNDP	Grievance/ redress mechanism established	In collaboration with the FCPF, a GRM designed; Elements of GRM tested at provincial level	A full GRM endorsed by MARD based on the lessons learnt from provincial elements testing	GRM operational in all 6 pilot provinces	GRM operational in all six provinces Revision if deemed needed	MARD approval of full GRM to enable the use of the mechanism at different levels
Outcome 5 UNDP and UNEP	MECHANISMS TO ADDRESS THE SOCIAL AND ENVIRONMENTAL SAFEGUARDS UNDER THE CANCUN AGREEMENT ESTABLISHED	Assessments of policies, laws and regulations (PLRs), institutional capacity to implement PLRs, and existing information systems are completed. Outcome 5 monitoring framework with indicators developed	Institutional arrangements, information content and structure, and technological dissemination for SIS(s) are finalised, endorsed by multi-stakeholder, and approved by GoVN.	Safeguards and SIS(s) operational.	Safeguards and SIS(s) continue to be operational and further strengthened.	Summary of information and SIS(s) to demonstrate how GoVN is addressing and respecting the safeguards in Cancun Agreement are available.
Output 5.1	Scope of country safeguards approach	Existing institutional capacity to implement	SIS(s) designed or	SIS(s) operational and summary of information	SIS(s) improved and strengthened, where	All information related to national approach to

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
UNDP, UNEP New – restructured	defined and safeguards information system determined	PLRs, and information systems reviewed. Information content and structure, and technological dissemination for safeguards information system(s) proposed to GoVN. Identify or apply existing indicators for SIS(s).	strengthened and tested.	available.	necessary.	safeguards publicly available and accessible.
Output 5.2 UNDP, UNEP New – restructured outputs from old outcome 5	Policies and measures to address and respect social and environmental safeguards operationalized	Gaps in governance arrangements to operationalise safeguards are identified, and measures to address gaps are proposed.	Measures to address gaps in governance arrangements for safeguards are implemented	Measures to improve governance arrangements to operationalise safeguards supported by government and affected stakeholders	Measures to improve governance arrangements to operationalise safeguards strengthened	National approach to address and respect safeguards approved and being implemented 50% of stakeholders, including men, women, ethnic minorities and local communities are aware of, and satisfied with the implementation of the national approach to safeguards
Outcome 6 UNEP FAO	REGIONAL COOPERATION ENHANCES PROGRESS ON REDD+ IMPLEMENTATION IN LOWER MEKONG SUB-REGION	2 regional meetings and learning events among the 5 LMS countries are organized annually to share lessons learnt implementing REDD+ Regional REDD+ Coordination Forum and e-network are established				Regional REDD+ meetings and learning events with relevant /appropriate level of participation. Progress al REDD+ readiness in LMS countries compared with other countries in region
Output 6.1 FAO Merger of original 6.1	Effective cooperation between governments in	At least one regional consultation process for the control of illegal	Preparatory actions towards a collaborative arrangement on border	Collaborative arrangements towards border control are in place		3 countries are actively working through a collaborative

Lead Co-lead	Outcome Output	Target Year 2015	Target Year 2016	Target Year 2017	Target Year 2018	Indicators
and 6.4 and changes of target	the Lower Mekong Sub-Region on reducing illegal logging and trade	logging and reduced regional displacement has taken place	controls are undertaken			arrangement on improved border control Statistic show a decline in seizures of illegal logs crossing borders in LMS region
Output 6.2 Merger of original 6.2 and 6.4 and changes of target	Commitments by the wood processing industry in Viet Nam and other countries in region to source legal and sustainably harvested timber	Regional cooperation in controlling illegal logging and trade in wood, timber and non-timber forest products among Lower Mekong Sub-Region countries strengthened	Draft due diligence guideline is available	Due diligence guideline is launched and made widely available	Due diligence guideline reviewed based on user feedback	A due diligence guideline has been made available
Output 6.3 UNEP (Merger of old 6.3, 6.5, 6.6)	REDD+ strategies across the Lower Mekong Sub-region and beyond are informed by Vietnamese lessons. Enhanced biodiversity conservation through REDD+ collaboration	A Regional REDD+ Coordination Forum and e-network are established and regularly share lessons related to implementing REDD+ Two exchange workshops (on e.g. development and implementation of national REDD+ strategies, country-led approaches to safeguards, sub-national REDD+ planning and implementation, etc.) organized annually				A Regional REDD+ Coordination Forum and e-network are established and regularly share lessons related to implementing REDD+ Number of exchange workshops
		The impacts on biodiversity of REDD+ demonstration activities are reviewed and documented	A common tool for forest management for reducing biodiversity risks and enhancing the biodiversity benefits of REDD+ developed and customized for country's application	Enhanced collaboration and upscaling the use of the developed tools		Number of common tools and approaches developed for forest biodiversity conservation and biodiversity monitoring

11. Risk Analysis

The “Risk Log” in the ProDoc [Annex J](#), should have been reviewed by the PEB and the EG. However, this did not happen and risk responses were not in place when the Programme started. As the Programme failed to deliver timely, a renewed Risk Analysis was needed as to anticipate any derailed assumptions and mitigate risks potentially to occur. A renewed risk status is amended in *Annex B2 Risk Listing, Rating, and Analysis* on page 26 and Annex B2 Risk Log on page 28.

The big advantage with REDD+ is the holistic approach embracing many sector as to avoid that good results are impacting other sectors and other areas. Although in the list of risks, none are considered “very high” or “extremely high”, the sum of risks are substantial and they are in many cases interdependent. Further, some have negative interactions meaning that if several come into effect they not only add but accelerates negative impact. Thus the success of the Programme and of the REDD+ endeavour in Viet Nam depend on all actors’ willingness, capacity, and ability to alleviate constraints which occur and inevitably still will occur in the coming years.

The Risk Analysis compares the likelihood of counteracting Risks for a two years extension period versus counteracting the same risks for a three years extension period. The results clearly show that the Programmes’ ability to address, solve, mitigate, or defy the risks increases very significantly in a three years period as compared to a two years extension period. However, the risks must be observed currently and all efforts made to address them timely as to avoid delays and halts.

12. Budget

A no cost-extension is proposed, as outstanding resources are sufficient to cover for both Programme and management costs for the extended duration. [Annex C](#) shows the expenditures and the AWP2015 and a proposed estimation of budget for the extension period to be divided and allocated yearly budgets within the frame of entire remaining budget. This assumes that all budgets for 2015 will be spent and that the budget plans for 2016 till 2018 will entail the entire budgets which also will be spent accordingly. Budget transfers or current adjustments among Outputs are envisaged within each Outcome as needed. Likewise, by end of year 2015 a few budget lines (e.g. 2.1 UNDP and 3.5 FAO) will be negative as compared to initial allocation but will be adjusted from other budget lines. For the Extension period, the budgets will adjusted agency-wise. This is being decided within the three UN agencies. The reason for disclosing expenditures to Outcome level only and not continue the breakdown to Output level (for 2013 and 14) is that some figures for certain Outputs are still debated despite although being accounted and audited. In a coming new Programme Document all Outputs details will be presented.

Table 2: The table shows status and amounts of budget used prior to 2015, the budgets envisaged being used in 2015, and the envisaged expenditures for the extension phase. For the sake of simplicity the table differs slightly from Annex C as it assumes no removal of Outputs among Outcomes. All figures in USD.

Outcome in ProDoc	Allocated Budget	Spent 2013	Spent 2014	Budget 2015	Remaining end 2015	Budget new logframe	End Balance
	a	b	c	d	e = b-c-d-e	f	e-f
1 Policy	3,430,000	57,388	520,383	1,431,632	1,420,597	1,063,000	357,597
2 Implement	13,934,025	238,039	1,139,893	6,422,996	6,133,098	6,355,265	-222,167
3 NRIS/MRV	2,513,335	6,002	574,758	798,220	1,134,355	1,530,000	-395,645
4 BDS	1,626,740	6,778	145,215	315,650	1,159,097	1,230,000	-70,903
5 Safeguard	2,115,830	0	137,574	720,538	1,257,718	1,225,074	32,644
6 Regional	2,051,965	185	27,546	872,264	1,151,970	910,000	241,970
Total	25,671,895	308,392	2,545,369	10,561,300	12,256,834	12,313,339	-56,505
Administration	2,580,260	266,582	672,073	636,650	1,004,955	1,050,000	-45,045
7% IDC Costs	1,977,651	40,621	189,690	783,856	963,484	861,934	101,550
Total	30,229,806	615,595	3,407,132	11,981,806	14,225,273	14,225,273	0

Annex A: Logframe Changes

New Output	Logframe change	Reason for change	Budget implication
Output 1.1 UNDP NRAP updated as necessary	Rephrased, shortened	NRAP need updating NRAP Guidelines seem less relevant as they rely on those of PRAP	Combine old outputs 1.1 and 1.7
Output 1.2 UNDP Building effective mechanism to generate knowledge, organize policy dialogues, and feed policy recommendations is adopted and functioning (= wording of old 1.3)	Merger of 1.2 and 1.3	VRO's strengthening moved to Targets. Integrate major VRO activities (NRSC, STWGs, and REDD+ Academy)	Budgets 1.2 and 1.3 merged
Output 1.3 FAO Law enforcement capacity and mechanisms are developed to enhance effective national forest law enforcement	Previous 1.6 Rephrased, now excl. regional coop. + incl. TLAS in targets	1.3 became vacant as a consequence of the merger, above. Regional moves to Outcome 6	1.6 budget moves to 1.3
Output 1.4 UNEP Awareness on climate change and REDD+ raised among key stakeholders at national and general provincial levels through enhanced communication and dissemination of lessons learned	Merger of former 1.7 and 1.8	Previous 1.4 become 4.1. No strong need to separate 1.7 and 1.8 as the two outputs covered similar activities	Budget for old output 1.7 + 1.8 should be used for new output 1.4
Output 1.5 UNDP Action Plans for greater sustainability of production of raw materials from key industries (e.g. aquaculture, coffee, rubber and timber) implemented	Unchanged	None	None
Output 2.1 UNDP REDD+ institutions in the six pilot provinces established, and REDD+ mainstreamed into FPDs	Unchanged	n/a	None
Output 2.2 UNEP Awareness on climate change and REDD+ raised among provincial, district and commune officials and other stakeholders in six pilot provinces	Unchanged	n/a	None
Output 2.3 FAO and UNEP Site-based REDD+ Activity Plans and Provincial REDD+ Action Plans in the six provinces are finalized and approved	Unchanged	n/a	None
Output 2.4 UNDP Provincial REDD+ Action Plans are implemented	Unchanged	n/a	Combine budgets of old outputs 2.4, 2.3 (UNEP) and 2.5
Output 2.5 FAO Forest Land Tenure	Deleted	Now under 2.4	Budget transferred to 2.4
Output 2.6 FAO NFMS - Monitoring framework in the six pilot provinces established, including participatory monitoring	Merger of old 2.6 and 2.7	Participatory monitoring is part of monitoring	Combine old outputs 2.6 and 2.7
Output 3.1 FAO National REDD+ Information System (NRIS) operational	Unchanged	n/a	None
Output 3.2 FAO NFMS – Land Monitoring System (LMS) developed	Unchanged	n/a	None
Output 3.3 FAO NFMS-Emission Factors (EF) developed	Unchanged	n/a	None
Output 3.4 FAO NFMS – Institutional arrangements for compiling National REDD+ GHG-Inventory clarified	Unchanged	n/a	None
Output 3.5 FAO Interim performance indicators and REL/FRL established	Unchanged	n/a	None

New Output	Logframe change	Reason for change	Budget implication
Output 4.1 UNDP National REDD+ Fund (NRF) operational	Moved – old output 1.4	NRF better placed under Outcome 4	Old output 1.4
Output 4.2 UNDP National and provincial-level mechanisms and standards for distribution of REDD+ positive incentives researched and drafted	Merger of old 4.1, 4.2, 4.3	Activities in old outputs were very similar	Combine budgets of old outputs 4.1, 4.2, 4.3
Output 4.3 UNDP Grievance/ redress mechanism established	New	Logically belongs better to Outcome 4 than 1. Coordination with FCPF	Budget allocated from old 1.4. FCPF covers further works
Output 5.1 UNDP, UNEP Scope of country safeguards approach defined and safeguards information systems determined Main activities	New – restructured outputs from old outcome 5	Old logframe did not highlight country-led approach and SIS	Budget from all 4 old outputs under Outcome 5 reallocated to the two new outputs
Output 5.2 UNDP, UNEP Policies and measures to address and respect social and environmental safeguards operationalized	New – restructured outputs from old outcome 5	Better highlights measures to improve safeguards	Budget from all 4 old outputs under Outcome 5 reallocated to the two new outputs
Output 6.1 FAO Enhanced cooperation between law enforcement agencies in the Lower Mekong Sub-region and to reduce regional displacement	Merged with original Output 6.1 and 6.4	Original 6.4 on regional strategy is considered to be implicit through activities and results of Outputs 6.1 and 6.2	Combine part of budget under 6.4
Output 6.2 FAO	Merged with original Output 6.2 and 6.4	As above.	As above.
Output 6.3 UNEP Cooperation and actions among countries in Lower Mekong Sub-region on biodiversity conservation	Merger of old 6.3, 6.5, 6.6	Old outputs quite similar in scope	Combine budgets of old outputs 6.3, 6.5, 6.6

Annex B2 Risk Listing, Rating, and Analysis

REDD+ has huge challenges being implemented nationally in many countries for the same or similar reasons. In a comprehensive, national and local project dealing with policy, national and local implementation, instigation new terminology, systems, and databases, etc., it is obvious that the risks are many due to a very high number of stakeholders from all sectors. To assist the decision on duration of Programme duration whether two or three years, a meeting among VM and UNRC on February 11th 2015, assigned PMU to elaborate more on the risks already envisaged and mentioned in the same meeting.

BACKGROUND

The “Risk Log” in the Project Document (ProDoc) should have been reviewed by the PEB and the EG. However, this did not happen and risk responses were not in place when phase 2 started. As the Programme so far has failed to deliver timely, the risk area deserves getting increased attention as it may provide upfront guiding on the likelihood of future success and timely accomplishment of Program. This Risk Analysis is needed as to foresee any derailed assumption and to mitigate risks potentially to occur. The recent Mid Term Review in late 2014 unfortunately did not provide any Risk Analysis at all.

UPDATED RISK ANALYSIS

PMU and TA have developed a more detailed risk listing, status, and analysis, of which is amended in the Annex B2 Risk Log. The number of risks is still high, 22, which incidentally matches the number suggested in the ProDoc, despite they often differ. The risks list has been refined and changed due to new knowledge on programme setting, context, and procedures. Thus, it is deemed much more realistic than earlier versions in the ProDoc. The list is not exhaustive and additional risks could easily be added. Despite that some initial risks are now removed, solved, or considered less relevant, a substantial number of newer risks are added.

The big advantage with REDD+ is the holistic approach embracing many sector as to avoid that good results are impacting other sectors and other areas. Although in the list of risks, none are considered “very high” or “extremely high”, the sum of risks are substantial and they are in many cases *interdependent, negatively correlated, and interacting negatively*.

Risk Level	Risks ##	<i>Of 22 Risks identified only 5 are deemed (rated as) low</i>
Low	5	
Medium	9	
High	8	

Negative interactions mean that if more than a single risk is triggered (comes into effect or “outbreak”) the impact and drawbacks may not only add but are accelerated and exacerbated by other risks’ negative impact as the issues are often linked and the process as a whole is vulnerable politically, internationally, locally, technically, institutionally, and financially. Many processes are halted by a single delay. In general, delays in one area cause delays in others, which again might cause still further problems. Thus, the success of the Programme and of the REDD+ endeavour in Vietnam depend on all actors’ willingness, capacity, and ability to alleviate constraints which occur and inevitably still will occur in the coming years. The restructuring of the Programme itself is a crucial challenge for further success, and if the full restructuring anticipated, based on the MTR recommendations, is not feasible, compromises must be carefully considered as to allow for continued implementations as results are needed.

RISK MITIGATION IN A 3 YEAR EXTENSION SCENARIO

Basically risks increase if endured over a longer time span. However, the ability to mitigate and counteract them increases as well. Despite the Risk Scenarios in Annex B2 Risk Log are subjective chosen and listed by the evaluators, they carry substantial weight as they are numerous and not by any intention sought biased. As a two year scenario (see above) is problematic and carries several risks along the next question is whether an extended programme extension, e.g. a three year scenario, would help. A three year scenario entails risks in itself as longer time and extended deadlines normally does not guarantee a higher effectiveness nor an increased chance of

success. However, in this case, the trend is clear: a three years puts the Program in a far better position to avoid failures and to accomplish it satisfactorily. This calls for a three years extension period to better avoid that the program get clogged or do not fully deliver. Despite the trend is clear there are assumptions beyond Programme control that could turn detrimental, particularly those of international character which are virtually out of control for the UN-REDD Viet Nam Phase II Programme. However, a three year period allows more time for redirect the Programme in case the coming COP meetings (especially COP21 in Paris) provide new ways forward.

Annex B2 Risk Log

Risk Issue	Risk rating	Countermeasure / Management response	Major responsibility	Ability to mitigate, avoid, or accommodate the risk**	
				2 years	3 years
International (5)					
Further guidance from UNFCCC COP21 identifies specific areas of work for Viet Nam	Low	Adjust UN-REDD Vietnam Phase II Programme	COP21, UN-REDD Global Programme	medium	good
Donor cooperation poor	Medium	Ensure proactive coordination in all areas under NRAP	VRO	good	good
UN agencies fail to fully harmonize procedures in timely manner	Medium	Time requirements for harmonization are being analyzed for each party concerned and proposed to be factored into the extension duration	FAO, UNDP, UNEP EG	good	very good
Governments in the Lower Mekong sub-region show no interest in cooperation	High	Identify alternatives such as less ambitious packages and focus on cross-border provinces. Redirect Outcome 6	MoFA, MARD, PMU, PPMUs	medium	good
Vietnam not to receive result-based payments (RBP)	Low	Vietnam may receive RBP any time when the country is ready for it. Extension will not affect this.	UNFCCC, Climate funds	no effect	no effect
Policy / National (6)					
VNFOREST/MARD fail to accomplish its commitments towards MTR report (Decentralisation to PPMU and PMU/NPD, revive VRO)	Medium	Either accept; or suspend funding until appropriate solutions have been instituted	EG	good	very good
Stakeholders lose interest in engagement or patience with the Programme	High	Train PMU staff and additional trainers on stakeholder engagement; coordinate Programme well internally as well towards other projects. Demonstrate results at all levels a.s.a.p.	All staff, and VRO	medium	medium
Land-use conflicts undermine effective REDD+ implementation **	Low	Establish an effective Grievance Mechanism	UNDP	good	very good
Concerned departments in MARD and other ministries do not effectively engage in Phase II and the national REDD+ dialogue	Medium	Implement specific activities to raise awareness among government staff in other ministries (and departments of MARD)	MARD, PMU and PEB	good	very good

Risk Issue	Risk rating	Countermeasure / Management response	Major responsibility	Ability to mitigate, avoid, or accommodate the risk**	
				2 years	3 years
Delays caused by slow official processes	Medium	Closer dialogue, frequent orientations and good reporting	MARD, VNFOREST, PMU	good	very good
VRO fails to coordinate and lead REDD+ projects and REDD+ processes effectively	High	Increase capacity by recruiting more staff, direct support from the Programme, support VRO in achieving higher status in MARD	VNFOREST, VRO, UNDP	medium	good
Public Relation and Image (3)					
Unclear and inconsistent understanding of REDD+ concept and implementation at national and sub-national levels	Medium	Training for PMU and government staff	UN Agencies	medium	good
Provinces are confused about the REDD+ mechanism	High	Streamline communication efforts in provinces based on improved communication methods and tools, targeting different audiences.	VRO, PMU, PPMU, UNEP	medium	good
Local authorities do not commit to REDD+	Low	Intensify awareness raising campaigns and provision of funds for implementation	PMU, PPMU	medium	good
Funding (1)					
GoVN could face difficulties to provide its committed funding share	Low	MARD allocate the needed resources and timely attention to arising issues	MARD/VNFOREST	good	medium
Ethics (1)					
Corruption and inappropriate benefit sharing take place	Medium	Monitoring and evaluation are effective, extended, and field audits support financial audits. Grievance mechanism established and operationalized. PGA implemented in provinces.	PMU, PPMU, GoV, UNDP, FAO	medium	medium
Operational / Logistic (6)					
Complexity of the UN-REDD Viet Nam Phase II Programme	High	Increase coordination, quality control, and reduce the number of layers in implementation	MARD	good	good
Translations and language barriers slow down implementation	High	More translators engaged. Implementation Vietnamese oriented as to increase ownership and pace	PMU	medium	good
PRAP and FPDF mainstreaming cause delays and/or creates complications due to incompatibility	High	Share / divide areas of implementation for mutual complementation. Prolonged Programme duration improves chances of synergies, integration, and complementarity of PRAP and FPDP	VNFOREST	medium	good

Risk Issue	Risk rating	Countermeasure / Management response	Major responsibility	Ability to mitigate, avoid, or accommodate the risk**	
				2 years	3 years
Recruitment and retention of qualified personnel	Medium	Increase incentives and enhance work conditions to attract and retain highly qualified staff	PMU, UN Agencies	medium	medium
Coordination and managerial shortcomings	Medium	Revise and improve PIM; assign more staff and delegate power accordingly to various project levels	PMU / PEB	medium	medium
Failures and delays of site plan implementation	High	Ensure focus on site results and other REDD+ activities locally and document lessons learned to improve over time	PPMU, PMU, FMBs, SFEs, HHs	medium	good

** Rated by same evaluators as for the Risk-column. The ability is judged from a 2 versus a 3 yr extension scenario, respectively.

Annex C Overall Extension Budgets to New Outputs by Agency (as of May 1st 2015)

(Unit: US\$)

Outcome/output		UN org	Allocation in ProDoc	Expenditure		Budget 2015	Remaining budget	Outcome/output		UN org	Budget 2016	Budget 2017	Budget 2018	Total 2016-18	Change from old logframe	
2013	2014															
1	Policies + NRAP		3,430,000	57,388	520,383	1,431,632	1,420,597	1	Policies + NRAP		590,000	363,000	90,000	1,063,000	3 Outputs less	
1.1	NRAP	UNDP						1.1	NRAP	UNDP	50,000	37,000	10,000	97,000	Unchanged	
1.2	VRO strengthened	UNDP						1.2	Policy dialogues	UNDP	90,000	70,000	40,000	200,000	Merger of old 1.2 and 1.3	
1.3	Policy dialogues	UNDP						1.3	HRD + forest law enforcement	FAO	50,000	26,000	20,000	96,000	Previous 1.6	
1.4	NRF operational	UNDP						1.4	Awareness national + non-pilot provinces	UNDP	80,000	40,000		120,000	Previous 1.7	
1.5	Other sectors engagement	UNDP					UNEP			120,000	50,000	20,000	190,000	Previous 1.8		
1.6	HRD + fo. law enforcement	FAO						1.5	External sector's engagement	UNDP	200,000	140,000	20,000	360,000	Unchanged	
1.7	Awareness non-pilot provinces	UNDP														
1.8	Awareness National level	UNEP														
2	Province implement.	all	13,934,025	238,039	1,139,893	6,422,996	6,133,098	2	Province implementing		3,357,159	2,258,106	740,000	6,355,265	2 Outputs less	
2.1	REDD+ institutionalised PRAP and FPDP mainstreamed	UNDP						2.1	REDD+ institutionalised PRAP and FPDP mainstreamed	UNDP	400,000	300,000	100,000	800,000	By UNDP, FAO & UNEP activities terminate	
2.1		FAO														-
2.1		UNEP														
2.2	Awareness in pilot provinces	UNEP						2.2	Awareness in pilot provinces	UNEP	180,000	180,000	120,000	480,000		

Outcome/output		UN org	Allocation in ProDoc	Expenditure		Budget	Remaining budget	Outcome/output	UN org	2016	Budget 2017	2018	Total 2016-18	Change from old logframe	
				2013	2014	2015									
2.3	PRAP and Site Activity Plans	UNDP						2.3	PRAP and Site Activity Plans	UNDP	320,000	300,000	100,000	720,000	
2.3		FAO						2.3		FAO	190,000	100,000	20,000	310,000	
2.3		UNEP						2.3		UNEP	350,000	-		350,000	
2.4	Provincial REDD+ Plans implemented	UNDP						2.4	Provincial REDD+ Plans implemented	UNDP	600,000	500,000	100,000	1,200,000	
2.4		FAO						2.4		FAO	900,000	600,000	300,000	1,800,000	
2.5	Forest land tenure	FAO											-	Abolished; integrated with 2.4	
2.6	NFMS – PFM	FAO						2.6	NFMS - PFM	FAO	417,159	278,106	0	695,265	Merged old 2.6 and 2.7
2.7	NFMS – PFM	FAO												Abolished. Merged to 2.6	
3	NFMS + NRIS operational		2,513,335	6,002	574,758	798,220	1,134,355	3	NFMS + NRIS operational		850,000	520,000	160,000	1,530,000	Unchanged
3.1	NRIS operational	FAO						3.1	NRIS operational	FAO	200,000	100,000	50,000	350,000	unchanged
3.2	Land Monitoring system developed.	FAO						3.2	Land Monitoring System devl.	FAO	300,000	150,000	50,000	500,000	unchanged
3.3	Emission Factors (EF) developed	FAO						3.3	Emission Factors (EF) developed	FAO	150,000	120,000	20,000	290,000	unchanged
3.4	Institutional arrangements	FAO						3.4	Institutional arrangements	FAO	100,000	100,000	40,000	240,000	unchanged
3.5	REL/FRL established	FAO						3.5	REL/FRL established	FAO	100,000	50,000		150,000	unchanged
4	BDS		1,626,740	6,778	145,215	315,650	1,159,097	4	BDS, NRF, GRM		650,000	440,000	140,000	1,230,000	restructured

Outcome/output		UN org	Allocation in ProDoc	Expenditure		Budget	Remaining budget	Outcome/output		UN org	2016	Budget 2017	2018	Total 2016-18	Change from old logframe
				2013	2014	2015									
4.1	BDS National	UNDP						4.1	NRF	UNDP	120,000	100,000	40,000	260,000	Old 1.4
4.2	BDS provincial	UNDP						4.2	BDS design + test	UNDP	480,000	300,000	100,000	880,000	Merger old 4.1, 4.2, 4.3
4.3	Full BDS established	UNDP						4.3	Grievance Mechanism	UNDP	50,000	40,000		90,000	New. BDS budget
5	Safeguards		2,115,830	-	137,574	720,538	1,257,718	5	Safeguards		615,000	410,000	200,074	1,225,074	Less 2 Outputs
5.1	Forest Governance	UNDP								UNDP					Old 5.1 ceased
5.2	Minority rights	UNDP						5.1	Safeguards SIS	UNEP	70,000	60,000	30,074	160,074	Restructured
5.3	Stakeholder participation	UNDP						5.2	Safeguards Policies and Measures	UNDP	455,000	300,000	120,000	875,000	Restructured inc. forest governance
5.4	Environment safeguards	UNEP					5.2	UNEP		90,000	50,000	50,000	190,000		
6	Regional cooperation		2,051,965	185	27,546	872,264	1,151,970	6	Regional cooperation		450,000	310,000	150,000	910,000	reduced by 3 Outputs
6.1	LMS illegal logging and trade	FAO						6.1	Reduce Displacements	FAO	100,000	70,000	20,000	190,000	Merger old 6.1 and 6.4
6.2	Wood industry Code of Conduct	FAO						6.2	Due diligence guidelines	FAO	190,000	120,000	10,000	320,000	Merger old 6.2 and 6.4
6.3	LMS REDD+ strategies	UNEP						6.3	Biodiversity Conservation	UNEP	160,000	120,000	120,000	400,000	Merger old 6.3, 6.5, 6.6
6.4	LMS displacement	FAO													
6.5	LMS biodiversity conservation	UNEP													
6.6	South-South Cooperation	UNEP													

Outcome/output		UN org	Allocation in ProDoc	Expenditure		Budget	Remaining budget	Outcome/output		UN org	Budget			Total	Change from old logframe
				2013	2014	2015					2016	2017	2018	2016-18	
TOTAL			25,671,895	308,392	2,545,369	10,561,300	12,256,834				6,512,159	4,301,106	1,500,074	12,313,339	
3 UN	7% ISC	FAO	836,412	43,100	49,835	324,317	454,525			FAO	188,801	119,987	37,100	345,889	
		UNDP	861,987	132,683	155,071	335,565	367,588			UNDP	204,050	153,090	46,205	403,345	
		UNEP	279,252	13,906		123,974	141,371			UNEP	63,000	28,000	21,700	112,700	
Programme Management		UNDP	2,580,260	266,582	672,073	636,650	1,004,955			UNDP	500,000	350,000	200,000	1,050,000	
TOTAL			30,229,806	615,595	3,407,131	12,026,865	14,225,273				7,468,010	4,952,183	1,805,079	14,225,273	-10 outputs

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