

Grading for ER-PIN Assessments:

Color	Qualification	Analysis
Green	The indicator is clearly addressed and supported by country stakeholders and other sources of evidence;	Reasons for attributed grade should be clearly stated and supported by evidence.
Yellow	The indicator is partially addressed, ER-PIN claims are contested, and/or supporting evidence is weak;	
Red	The indicator is not addressed or is mentioned but not defined/explained, nor supported by evidence and local stakeholder input.	

Section 1: ADVANCING INDIGENOUS AND COMMUNITY RIGHTS TO LAND AND FORESTS: To what extent does the proposed emission reduction program protect and advance the rights of Indigenous Peoples (IP) and local communities (LC) to land and forests within REDD+ systems and processes?

1) Stakeholder participation in ER-PIN planning and ERP design

Grade	Indicators	ER-PIN Assessment
Yellow	1a) The ER-PIN design process shows evidence of full and effective engagement of locally affected populations and vulnerable groups, including women, indigenous peoples and local communities	The ER-PIN states that “intensive consultations” on aspects of the ER Program design were held. Some concerns from ethnic minority communities are presented, including around unclear land tenure and food security concerns for part of each year (ER-PIN, pp. 27-29).
Yellow	1b) The ER-PIN presents a clear and realistic approach for ensuring IP/LC involvement in the design and implementation of the full ER Program	The ER Program design phase is proposed to be based on the national communications and stakeholder consultation plan produced under the FCPF grant (April 2014), which includes an eight-step FPIC process, based on the UNREDD pilot methodology. There is a specific discussion of strategies to include women and ethnic minorities (ER-PIN, pp. 29-30).

2) Land and forest tenure

Grade	Indicators	ER-PIN Assessment
Yellow	2a) Robust tenure assessments (i.e., assessment takes into account customary and legal land hold, disputed areas, challenges, etc) in the geographical area of the proposed ER Program were conducted as part of the SESA	While the formal SESA process under FCPF grant had not begun at the time of the ER-PIN, many social and environmental studies and discussions have taken place, some in the proposed ER Program area (MTR, 2015 pp. 23-25). Despite lacking a robust assessment, the ER-PIN provides an overview on land and resources tenure (ER-PIN, pp. 58-64) and describes a planned program intervention in charge of the subject (ER-PIN, p. 62).
Red	2b) Land and resource tenure assessments were publically vetted and endorsed by all concerned stakeholders;	Despite presenting an overall description of tenure in Vietnam (ER-PIN, pp. 58-64) and how the ERP will tackle the main issues related to it (ER-PIN, pp. 62-64), the ER-PIN lacks stakeholder input. It says local communities in Quang Tri province raised concerns on how insecure land tenure is (ER-PIN, p. 28) and that this issues serve as a “snap shot” of a bigger context. The MTR states consultations underway for SESA include land tenure situation in the ERP area (MTD, p. 23)
Yellow	2c) The land use / land tenure context of the proposed ER Program, including implementation risks (conflicting claims) and available arbitration processes is well defined.	The ER-PIN describes the distribution of land among three different land categories and related issues. It notes a history of conflicts between communities and forest management boards in Special Use Forests and agricultural encroachment into forest areas generating conflict between companies and communities in planted forests. The ER-PIN also notes the existence of grievance procedures in Land Law and Law on Forest Protection and Development, but states that a common problem is that local villagers do not know their rights (ER-PIN, pp. 57-58). District Courts have authority to adjudicate land disputes, but no evidence is presented on the caseload or the efficiency and effectiveness of judicial remedies to land disputes.
Yellow	2d) The process for addressing emerging land and forest tenure issues (e.g., conflicting claims, tenure insecurity for IP/LC and women) is clearly defined in the ER-PIN	The ER-PIN states that FPIC processes will be used for further allocation of land use certificates (LUC) and their boundaries are generally agreed and marked, and titles are registered.

3) Assignment of rights to forest carbon

Grade	Indicators	ER-PIN Assessment
	3a) The legal framework for carbon rights is defined in the ER-PIN	Rights to carbon are not discussed at all in the ER-PIN.
	3b) The process for dealing with contested and/or overlapping land, forest and carbon claims is defined.	A variety of sub arrangements to facilitate both REDD+ activities and benefit sharing are proposed, including contracting forest lands to communities, contracting degraded lands to communities for tree planting, payment for environmental services contracts, among others, none of these are specifically linked to any discussion of who owns the carbon. Forest contracting does not provide much security of carbon tenure, as the contract is short term and those with the contracts, usually local households and communities, do not have much say in whether their contract will be renewed.
	3c) The legal basis for the transfer of ER titles is defined.	The issue of transferring title to emission reductions is also not discussed in the ER-PIN.

4) Equitable benefit sharing and non carbon benefits

Grade	Indicators	ER-PIN Assessment
	4a) The ER-PIN presents a transparent and verifiable process to equitably share carbon-related benefits (e.g., REDD+ revenue streams).	Discussion of benefit sharing mechanisms for REDD+ has been underway for years. Some analytical work is piloting different approaches to their benefit distribution system, including a payment for environmental services program, the use of forest protection contracts and co-management arrangements (ER-PIN, pp. 22-23; 65-68). GIZ supported work has also devised an “R-coefficient” system whereby different variables, (biodiversity, poverty levels, etc.) are weighted to determine inter and intra-community values for benefits.
	4b) The ER-PIN presents a transparent and verifiable process to prioritize and equitably share non-carbon benefits (e.g., alternative business models and revenue streams).	The ER-PIN identifies five categories of non-carbon benefits (ER-PIN, pp. 68-69), proposing monitoring of three of the five (ER-PIN, p. 48). Monitoring plans are to be developed in participatory planning workshops for provincial REDD+ Action Plans and incorporated into environmental and social mitigation plans that will accompany the plans. Efforts will be made to build on the experiences of participatory monitoring of biodiversity in the Lam Dong pilots and Participatory Governance Assessments conducted under the UNREDD Programme.
	4c) The benefit sharing mechanisms outlined in the ER-PIN are broadly supported by indigenous and forest dependent communities, including women.	The ER-PIN states the design of the Benefit Distribution System, within the National REDD+ Action Plan, was preceded by consultations at national, sub-national and local levels, engaging a wide range of stakeholders (ER-PIN, p. 67). The content itself of these consultations is not presented. The MTR says there is a number of number of pilot benefit sharing mechanism is engaging local communities. Despite being funded by de UNREDD+ and not the FCPF, it affirms they are working together on the development of the Benefit Distribution System (MTR, p. 46).

5) Alignment of ERP strategies with main drivers of deforestation

Grade	Indicators	ER-PIN Assessment
	5a) The drivers of deforestation and forest degradation identified in the ER-PIN are consistent with expert analyses and local stakeholder input.	The ER-PIN identifies three main drivers in the proposed ERP area. At the time of the analysis, new studies have been commissioned and were underway. The ER-PIN notes data limitations in what is currently gathered by the FPD in the Annual Forest and Forestry Land Monitoring and Reporting Program, where changes in land use are reported but the reports are not associated with maps and thus cannot be tracked spatially. Identification of drivers is in accordance with studies headed by JICA and GIZ REDD+, and the ER-PIN says they were also reviewed by the UNREDD+ at provincial level (ER-PIN, p. 55). The ER-PIN also this process was preceded by stakeholder workshops (ER-PIN, p. 11) and participatory social studies for risk assessment (ER-PIN, p. 55).
	5b) Challenges to overcoming identified drivers (i.e., technical, institutional, political or economic) are clearly defined.	The proposed ERP has strong linkages with identified governance challenges, with significant activities proposed to improve the enabling environment, although the interventions in the forest sector are clearer than those in the agriculture and energy sectors.
	5c) Proposed ER Program interventions specifically target the main drivers and their related challenges.	The ER-PIN proposes four overarching strategies for the ERP that would be tailored to individual drivers/situations in each province: The forest sector strategy comprises multiple proposes interventions, including: allocation of remaining production forest to communities, certification of SFM, PES and strengthened law enforcement to deal with illegal logging. It is proposed that some 750,000 ha of bare or degraded forest land without statutory ownership will be allocated to forest owners, with priority given to local communities and ethnic minorities dependent on forests. The energy sector strategy includes promotion of energy efficiency, renewable energy and biogas to reduce demand, and improved environmental planning. A series of capacity building needs is identified at a general level.

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6) Safeguards framework

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	6a) The country has completed its SESA and elaborated an ESMF (yes/no; if yes then consider b through e; if no, got to 6f)	No, no
	6b) The assessment of social and environmental considerations was conducted in a transparent and participatory manner.	
	6c) FPIC is presented as a requirement of the ESMF.	
	6d) The EMSF identifies key steps, including budget and timeline, to strengthen forest governance issues within the national legal framework	
	6e) The ER-PIN presence a credible grievance/dispute resolution mechanism, based on the FGRM assessment.	While the ER-PIN states that Vietnam has operational grievance procedures under the Land Law and PFES, it notes that people are not aware of their rights under these systems and that there no evidence is presented on the track record of those mechanisms to resolve disputes. It also states that an independent panel will be established under the readiness grant, with a register of grievances established that would carry over to the ER Program, but that details would be worked out in the delayed ESMF.
	6f) The ER-PIN describes the design of the Safeguard Information System and its application in the context of the ER-P.	The SIS is not discussed in the ER-PIN.
	6g) Proposed safeguards adequately address the land and resource rights of indigenous peoples, forest communities and women	Vietnam has conducted safeguard works that identifies a viable path forward. The ER-PIN states that Vietnam has adopted a country led approach under the National REDD Action Plan, relying on the national legal, policy and regulatory framework to develop a country safeguard system for REDD (ER-PIN, p. 71). The ER-PIN says safeguards will dialogue with concluded SESA and ESMF, but a safeguard plan itself, will be developed only during the preparation phase (ER-PIN, pp. 56-57).

Section 2: BROADER GOVERNANCE CHALLENGES FOR ADDRESSING DEFORESTATION DRIVERS: To what extent does the proposed emission reduction program consider other key forest governance challenges for achieving REDD+?

7) Government capacity and coordination in ERP planning and implementation

Grade	Indicators	ER-PIN Assessment
Yellow	7a) The ER-PIN shows evidence of coordination across sectors, line ministries, and levels of government (local, sub-national, national).	The ER Program implementation structure is described, but the capacity of institutions to manage and implement the activities in the proposed ERP is not adequately discussed, especially for sub-national actors.
Green	7b) The ER-PIN identifies opportunities for community-based interventions, including natural resource management, tenure recognition, and other dedicated REDD+ investments.	The proposed ER program includes a suite of activities, among them community forest management, intensification of sustainable agriculture, plantations on degraded land, which would involve local communities.
Red	7c) The ER-PIN discusses efforts to combat corruption and the measures that will be used in the ER Program.	There is no discussion of corruption issues in the ER-PIN, nor discussion of measures to prevent corruption in the ER Program.

8) Transparent monitoring and oversight of REDD+

Grade	Indicators	ER-PIN Assessment
	8a) The ER-PIN shows evidence of an open-access information management systems for REDD+	The information management system is still in design phase. Its design is briefly described in the ER-PIN. It also states an information management system will build on a previous project developed in Vietnam, the Development of Management Information System for Forestry Sector (FORMIS) (ER-PIN, p. 45).
	The ER-PIN proposes mechanisms to independently and transparently:	
	8b) Monitor the social and environmental impacts of REDD+ investments;	Each provincial REDD+ Action Plan will have a supplementary Environmental and Social Mitigation Plan, which will attempt to measure progress towards goals, progress in mitigating and managing social and environmental risks, and identification of negative impacts for adaptive management (ER-PIN, p. 49). Its design still seems to rely, however, in the delayed ESMF that would include a process framework for ethnic minorities and an environmental management plan.
	8c) Monitor the application of safeguards via the Safeguard information system	The ER-PIN does not discuss a Safeguard Information system.
	8d) Monitor the effectiveness of governance-related interventions;	The methods used to monitor governance changes proposed in the ER Program are not very clear, but would presumably have to be reflected in the monitoring plans for provincial REDD+ Action Plans. The ER-PIN also proposes a role for local communities and ethnic minorities in monitoring the ERP interventions themselves through basic analysis of activity and field data.
	8e) Track and coordinate international finance flows;	The ER-PIN states the Vietnam REDD Fund will operate “openly and transparently, under the supervision of the donors, the international organizations and the authorities of Vietnam”, and the national REDD+ Fund will have a donor representative on its Management Council (ER-PIN, p. 33). Still, the section of the registry contains little or no information, and the ER-PIN does not specify or describe transparency and accountability mechanisms to the National or the provincial REDD+ funds.
	8f) Monitor the distribution of carbon and non-carbon benefits	The ER-PIN proposes a role for local communities and ethnic minorities in participatory forest and carbon monitoring, in collecting and conducting basic analysis of environmental and social data for monitoring non-carbon benefits. Moreover, monitoring plans are to be developed in participatory planning workshops for provincial REDD+ Action Plans and should build on the experiences of participatory monitoring of biodiversity in the Lam Dong pilots.

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Section 3: OVERALL ASSESSMENT

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	9a) The proposed emission reduction program protects and advances the rights of indigenous peoples and local communities to land and forests within REDD+ systems and processes.	The ER-PIN describes a series of consultations and presents feedback from local communities and ethnic minorities in subjects that include land and resource tenure. It also presents an overview of the country situation on tenure, but it lacks a robust tenure assessment on the geographical ERP area and the description of a conflict solution mechanism for cited matters.
	9b) The proposed emission reduction program presents a credible plan for addressing governance issues at national and sub-national levels, and establishes clear processes for monitoring progress on critical risk factors.	The ER-PIN proposes indicators for monitoring governance and includes local communities and ethnic minorities in the design. These processes still seem to rely however, in the completion of a delayed ESMF.