Environmental and social co-benefit enhancement and risk mitigation measures

The following table summarises the identified benefits and risks and environmental and social co-benefit enhancement and risk mitigation measures for the REDD+ policies and measures (PaMs) on reducing deforestation and forest degradation and on conserving and enhancing forest carbon stocks and sustainable forest management set out in Viet Nam's National REDD+ Programme (NRAP). For the purposes of this analysis, the PaMs have been grouped according to the overall theme/outcome to which they would contribute. Enhancement and mitigation measures have only been proposed where medium or high risks have been identified.

NRAP PaMs	Environmental		Social	
	Benefits and Risks	Proposed Co-Benefit Enhancement/Risk Mitigation Measures	Benefits and Risks	Proposed Co-Benefit Enhancement/Risk Mitigation Measures
1.1a. Review and adjust the master land use planning at national level and land use plans for relevant sectors to ensure the target 16,24 million hectares of land for forestry. 1.1b. Support the development of integrated provincial land use planning and related land use plans with effective participation of stakeholders to balance forests and other sectors' objectives. 1.1c. Strengthen the implementation of, and public participation in, social and environmental impact assessment, for land use planning and development projects.	*Benefits* Improved, or maintained, supply of forest goods and ecosystem services (natural capital) *Risks* Ongoing loss of natural forests, high carbon value forests or forests that perform other important ecosystem services (deforestation despite increase in forest land cover)	(i) Prioritising conservation and protection of natural forests in land use planning (ii) Decision support tool to incorporate and spatially map biodiversity and ecosystem service values, considering the Total Economic Value (TEV) of forests in land use planning (iii) SEA in the context of land use and sectoral planning and EIA implementation and monitoring (iv) Capacity-building to consider cumulative impacts, risks related to displacement of land use into forest areas, and impacts on habitat fragmentation	*Benefits* Improved access to, and strengthened use rights over, lands and forest resources (natural capital) Improved awareness, knowledge and capacity (human capital) among beneficiary populations and social organisations participating in REDD+ interventions Improved governance framework for land/forest use enhancing the potential for more secure livelihoods through positive transformations to enabling structures and processes	(i) Decision support tool for integrated land use planning to integrate social parameters to avoid/mitigate access/use restrictions and loss of productive assets and livelihoods. Special attention to be given to the inclusion of poorest communities, ethnic minorities and gender issues into the process to ensure that private investors are not favoured. (ii) SEA and activities to improve consultation, participation and transparency of process provide opportunity for considering social benefits and risks in the land use and forest sector planning. Representatives of ethnic minorities and women to be selected by communities in an

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1.1d. Build capacity and support inspection and monitoring of project implementation in compliance with approved reports of social and environmental impact assessments.			*Risks* Loss of productive assets, access or use rights to forests/forestry lands and, therefore, increasing land tenure/use conflicts	inclusive, participatory and transparent manner and to participate at all stages of the process. (iii) Appraisal and field verification to ensure that communities will not be negatively impacted by land-use planning processes and that their rights are respected, especially for ethnic minorities and women.
	Benefits Conservation of biodiversity through maintaining natural forests or restoring forest ecosystems, and through maintained or improved connectivity of forest habitats *Risks* Conversion of natural non-forest habitats impacting biodiversity, ecosystem services, soil carbon stocks and ecological connectivity (habitat fragmentation)	(i) As above, biodiversity and ecosystem services values surveys and incorporation of results in decision support tool, incl. in non-forest lands (ii) Systematisation and improvement of SEA in ; land-use planning process will also support avoiding conversion of natural non-forest habitats important for biodiversity conservation and ecosystem services, or areas with high soil carbon stocks (e.g. peatlands).	*Risks* Lack of transparency, non-inclusivity and/or use of manipulation in consultation process in SEA/EIA	To ensure inclusive, participatory and transparent consultation processes, clear guidelines to be elaborated for (i) selection of representatives, (ii) inclusion of all impacted groups including gender issues (iii) organisation of consultation that does not limit access by stakeholders (iv) information to be disclosed/ discussed (v) number/ frequency of consultations, (vi) consent process, etc. Guidelines will also include reporting template for information disclosure, and will ensure that stakeholders' feedback is recorded and considered, and manipulation of
	Risks	(i) In the land planning process, as part of the elaboration of		

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	Lack of or poor assessment of land suitability for agricultural/timber production	decision support tools, commodity-siting/landscape analysis will be performed to ensure that actual land designated for agricultural/commercial forestry purposes are suitable for production and improved yields		stakeholders during the consultation process is avoided.
1.2a. Support (and establish if necessary) commodities forums to facilitate dialogue and transition towards more sustainable (deforestation free) production. 1.2d. Support more efficient structuring and organisation of producers to benefit from sustainable models (better access to information, cooperation, connection to supply chains, etc.) 1.2b. Pilot and replicate at scale sustainable models of agricultural/ aquaculture production with high adaptability to climate change for aquaculture, coffee, rubber,	*Benefits* Increased resilience and adaptation to climate change and its associated effects (reduced vulnerability context) *Risks* Investments, incentives and potential higher markets prices in agriculture could make crop production more effective/attractive and contribute to deforestation over the long term or at scale	(i) 'Green financial mechanisms' (e.g. sustainable business incubator-accelerator) to include clear environmental safeguards such as: criteria and procedures for screening proposed investments; due diligence checks; and monitoring. Such standards could refer to other international agricultural certification standards that prevent investment in recently converted land areas, or that require assessment of displacement risks. (ii) To avoid forest conversion to agriculture, monitoring and traceability system to be developed and implemented on pilot sites. This will be supported through	*Benefits* Rural employment opportunities, improved incomes and sustainable/diversified livelihoods from forestry activities, including from forest protection, as well as from non-forestry activities (financial capital) for rural and forest-dependent households and communities, especially the poor *Risks* Financial mechanisms & business incubator-accelerator better serve interests of private sector vs smallholders and/or	(i) Development of clear policies, principles, standard operating procedures and guidelines for financial mechanisms and incubator-accelerator to enhance social co-benefits and address social risks. Considerable attention should be focused on developing and operationalising safeguards to protect rural communities and smallholders in key commodities (coffee, shrimp, rubber), including: – Policies/principles to guide selection of support recipients – Procedures, guidelines and formats for due diligence and screening private sector buyers and contracts to ensure that compliance with

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cassava and other commodities. 1.2c. Undertake study and develop financial mechanisms to support and encourage the development of sustainable deforestation-free agricultural/ aquaculture production.		strengthening monitoring and enforcement of land use plans in priority hotspots of commodity-driven deforestation. Early deforestation warning systems will also be developed. (iii) Deforestation-free agricultural models will not only focus on production areas but also engage stakeholders and farmers to address trade-offs in frontier regions where most deforestation takes place through tailored collaborative management approaches.	Increased profitability for private sector at the expense of smallholders	labour rights and promotion of equitable and socially inclusive business practices – Operational guidelines, manuals and capacity building for business incubator-accelerator units on socially responsible business practices and legal requirements – Free, prior and informed consultation process with farmers on proposed business concepts facilitated by the incubator-accelerator – Grievance redress mechanisms for dealing with land disputes – Inclusive business approaches in commodity platforms.
	Risks Risks of soils, water, biodiversity degradation with the use of agro-chemicals to improve yields	Sustainable models identified for agriculture/aquaculture production will integrate practices and techniques which minimise the use of agro-chemicals and water. This will also include promoting appropriate agro-forestry	*Risks* Increased vulnerability to economic shocks/trends. In the promotion of sustainable agriculture models focused on particular cash crops, smallholders could become overly dependent	Sustainable models will integrate risks mitigation measures such as: diversification of income sources with agroforestry models; improved varieties to reduce risks of pests and diseases; and reducing overall

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		(coffee/rubber) and mangrove polyculture (shrimp) models	on specific commodities and vulnerable to their price fluctuations with potentially serious impacts on livelihoods, particularly poorer farmers with limited capacity to bear risks and invest in new livelihoods.	costs of plantations/farming techniques, etc.
1.3a. Assess current socio-economic dynamics in key hot spots of deforestation, forest degradation and potential areas for forest carbon enhancement in order to design integrated livelihoods and local forest governance programmes. 1.3b. Support development and replication of associate/ collaborative models for management of natural forests between the forest owner (state organizations), local communities and other stakeholders. 1.3b. Review forest and forest land areas, notably areas under management by CPC,	*Risks* Forest land allocation and collaborative management approach could lead to adverse effects on forest protection and legitimise unsustainable use of forests and forest lands	(i) Conducting prior forest inventories to check baseline status of forests to be allocated, including value for biodiversity and ecosystem services that are relevant to local communities. (ii) Conducting studies to understand existing legal and customary/informal tenure arrangements and household/community poverty, forest dependency/use, and vulnerability. Forest land allocation and co-management need to be considered in the wider context of land/forest management at the farm-forest interface and optimal arrangements for forest protection and management.	*Benefits* Improved access to, and strengthened use rights over, lands and forest resources (natural capital) Rural employment opportunities, improved incomes and sustainable/diversified livelihoods from forestry activities, including from forest protection, as well as from non-forestry activities (financial capital) for rural and forest-dependent households and communities, especially the poor	(i) Clarifying and properly implementing forest land allocation procedures: many of the risks identified arise due to forest land allocation procedures being variously interpreted and implemented differently across the country. They have also been implemented hastily and higher cost steps often are left out due to limited budgets or cost-saving. Existing forest land allocation procedures should be clarified and address issues of inequity/ inequality. (ii) Going beyond forest land allocation: Forest land allocation has a number of potential social co-benefits, which are enhanced when

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and allocate forest and forest land to the people, giving priority to individuals and households, particularly to ethnic minorities, lacking land and productive land. 1.3b. Implement programmes to support employment and livelihood improvement for local people living near and in the forest in hotspots of deforestation and forest degradation. 2.2a. Evaluate and replicate effective models for the promotion of natural forest protection and regeneration. 2.2b. Undertake study and pilot cooperation between forest owners, local people and private sectors on business models contributing to forest protection and forest conservation, through NTFPs and other forest environmental services.		(iii) Implementing participatory mapping and consultations on forest land allocation and co-management zoning options, including where possible promoting allocation to community groups to reduce the risk of non-compliance. (iv) Developing negotiated agreements and local regulations with clear and spatially explicit rights and responsibilities and which clarify and improve benefits/benefit distribution. (v) Extension support and improved capacity of extension support providers, including on good practice in sustainable forest management and natural forest enhancement. (vi) Inputs or improved access to credit (to enable investment in forest restoration/sustainable business models). (vii) Implementing other livelihood support (on/off farm livelihood improvements allowing households to invest in	Improved connections and networks (social capital) among communities and social organisations to effect positive outcomes for rural forest-dependent poor and other vulnerable groups Improved community infrastructure (physical capital) for poor and remote communities Improved governance framework for land/forest use enhancing the potential for more secure livelihoods through positive transformations to enabling structures and processes *Risks* Reduce access to resources for subsistence/livelihood	combined with other supporting investments in community/household ability to develop, manage and protect forest land effectively, e.g.: – Improved access to credit to support investments in regeneration – Provision of equipment and inputs to manage, protect and restore forest lands – Training of in forest planting, tending, harvesting, protection etc. – Promoting the allocation of better quality natural forests (iii) Development and implementation of clear guidelines for collaborative forest management, NTFP businesses and livelihoods interventions to include: – Social impact screening and surveys – Land tenure assessment (including recognition of customary claims) – Participatory mapping and land use zoning (to negotiate trade-offs)

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		natural forest protection and restoration) (viii) Implementing awareness and education campaigns among target (and neighbouring) communities.		– Free, prior and informed consultation (including awareness-raising /education on rights and responsibilities and full information on potential impacts through culturally-appropriate and gender-sensitive methods.
	Risks NTFP business models could result in over-exploitation of NTFP and/ or degradation/ deforestation for their production (e.g. spread of bamboo over natural forest)	(i) Business models and associated practices to strictly aim at promoting natural forest/protection and enhancement; screening procedures will be developed in order to eliminate inappropriate investments. (ii) Strict condition for forest land allocation and/or collaboration management models that includes NTFP production/commercialisation to be elaborated on case by case basis to ensure natural forest protection. (iii Strengthening of forest law enforcement and monitoring in hot spots of forest degradation and deforestation to ensure respect of negotiated agreements with beneficiaries.	*Risks* Inequitable benefit distribution, social exclusion and elite capture	– Beneficiary selection and participation (guidelines to ensure selection of poor households, women, etc.) – Benefits, costs and cost/benefit-sharing agreements and contracts – Implementation modalities (e.g. collaborative management structures, participatory and inclusive approaches for livelihoods activities etc.) – Grievance redress mechanisms – Capacity-building for public sector implementation agencies e.g. Forest management boards, extension agencies, on safeguards measures and procedures

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2.1a. Undertake research for producing new varieties and experimental models with recognized timber species, to meet the requirements for large wood businesses. 2.1b. Test and develop guidelines for transformation from small to large wood plantations, reforestation after harvesting, and afforestation by intensive cultivation with group of crops in different site conditions. 2.1c. Support testing and replication of the forms of association and collaboration along the value chain for business development of large wood plantation with high yield. 2.1d. Support the development of financial incentives packages and insurance policies for large wood planting and transformation	*Benefits* Conservation of biodiversity through restoring forest ecosystems, and through maintained or improved connectivity of forest habitats Improved, or maintained, supply of forest goods and ecosystem services (natural capital) *Risks* Plantation development and the risk of pest and disease infestations Poor plantation planning and management and impacts on biodiversity and soils Fire risks in plantations Displacement of land use into forest areas	(i) Development of practical guidelines for afforestation/reforestation and plantation management to avoid the environmental risks, which should and include detailed provisions on: – Site/species selection and matching – Consideration of existing land uses in site selection, including assessment of displacement risk – Plantation design – Plantation establishment – Tending – Pest control and invasive species management – Fire prevention and control – Harvesting – Access road construction and maintenance (ii) Research and development into new varieties and models. (iii) Promotion of sustainable forest management practices and certification for plantations through improved access to advisory services.	*Benefits* Improved awareness, knowledge and capacity (human capital) among beneficiary populations and social organisations participating in REDD+ interventions *Risks* Land tenure conflict, loss of productive assets (land), access restrictions and livelihood impacts induced by the establishment of new plantations Financial mechanisms & better serve interests of private sector vs smallholders Inequitable benefit-distribution in community forest management	(i) Plantation and sustainable forest management activities to include communities (e.g. providing employment/livelihood opportunities) and address social safeguards issues relating to surrounding communities. Part of the PaMs should also specifically promote long rotation forestry and sustainable forest management for smallholders and community forestry cooperatives. (ii) Development of financial incentives/mechanisms to include provisions to enable poor farmers and communities to access credit, insurance and make long term investments in their forest lands, as well as the provision of interim alternatives (e.g. mixed inter-cropping/ agroforestry while timber species are growing) (iii) Sustainable forest management as an opportunity to resolve conflicts and

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from small to large timber plantation. 2.1e. Support forest owners to access advisory services in developing and implementing plans for sustainable forest management and forest certification; Formulation and development of forest certification systems Viet Nam. 2.1f. Support for afforestation and reforestation of coastal areas.	*Risks* Lack of maintenance/ abandonment of coastal forests plantations on lands classified as protection or special-use	Collaborative forest management approaches are highly appropriate to address any potential conflict issues as well as promote the participation of communities in afforestation/reforestation activities (land preparation, planting, tending, protection, etc.).		promote equitable benefit-distribution.
1.2e. Improve hydrology management methods to prevent and control forest fires in peatland areas.	*Benefits* Improved, or maintained, supply of forest goods and ecosystem services (natural capital) Increased resilience and adaptation to climate change and its associated effects (reduced vulnerability context) *Risks* Inundation in Melaleuca forest leading to detrimental	Detailed studies and careful consideration of impacts by qualified experts on biodiversity and the ecosystem from interventions that affect water levels, as well as more minor/temporary impacts resulting from construction activities (waste, chemical spills, pollution etc.) to be conducted and included in sites' management plans		

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	Benefits and Risks	**Proposed Co-Benefit Enhancement/Risk Mitigation Measures**	**Benefits and Risks**	**Proposed Co-Benefit Enhancement/Risk Mitigation Measures**
	impacts on biodiversity and GHG emissions			
1.4a. Build capacity and support implementation of Viet Nam's Timber Legality Assurance System (VNTLAS) in order to implement the Voluntary Partnership Agreement on Forest Law Enforcement, Governance and Trade of forest products (FLEGT). 1.4b. Support development and operation of the monitoring system of the State and independent body to ensure compliance to VNTLAS. 1.4d. Finalize coordination mechanism and monitor implementation of inspection and control, illegal logging and forestland conversion, and of violations handling. 1.4e. Support social and professional associations			*Benefits* Improved awareness, knowledge and capacity (human capital) among beneficiary populations and social organisations participating in REDD+ interventions Improved connections and networks (social capital) among communities and social organisations to effect positive outcomes for rural forest-dependent poor and other vulnerable groups Improved governance framework for land/forest use enhancing the potential for more secure livelihoods through positive transformations to enabling structures and processes	

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linked to forest owners, farmers and local communities to organise and access information in order to manage, protect, develop and use forests effectively, and prevent forest law violations. 1.4f. Closely control the reforestation obligations of projects implying conversion, revoke licenses and terminate projects which have not abided with the reforestations obligations or fulfilled their financial responsibilities as prescribed. 1.4g. Strengthen law enforcement of crimes related to forestry, including improved investigation and prosecution practices and procedures. 3.3b. Promote cooperation with neighbouring countries to control illegal logging and trade and promote biodiversity conservation.				
2.3a. Undertake study and develop green investment and	*Benefits*	Green credits mechanisms to include clear environmental	*Benefits*	The development of green credits mechanisms to include

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green credit mechanisms for forest protection and development in the framework of the Green Growth Strategy. 2.3b. Coordinate development and piloting of principles and methods for determining the total economic value of forests, mapping relevant financial flows and modelling inter-sector policies; Integrate forest values in planning and financing processes including GDP and national wealth. 2.3c. Assess feasibility of the potential domestic carbon market; attract investment, financial support and forest carbon credit trade; study and exchange experience with advanced countries on forest carbon credit trade; link REDD+ emission reduction units recognized under the UNFCCC to the domestic trading carbon market.	Improved, or maintained, supply of forest goods and ecosystem services (natural capital) *Risks* Green credits mechanisms are used for non-sustainable investments	safeguards such as: criteria and procedures for screening proposed investments, due diligence checks and monitoring. Such standards could refer to other international certification standards that prevent investment in recently converted land areas. Guidelines for risk assessment in credit analysis should be developed with extensive and participatory consultation and tested to avoid gaps/loopholes that will allow beneficiaries to not comply with sustainability and deforestation-free requirements.	Improved governance framework for land/forest use enhancing the potential for more secure livelihoods through positive transformations to enabling structures and processes *Risks* Green investments and green credits mechanisms better serve interests of private sector vs smallholders	provisions to enable poor farmers and communities to access credit and make long term investments.