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## United Nations Development Programme

Country: Viet Nam

# PROJECT DOCUMENT

### Project Title:

**Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning.**

**UNDAF Outcome 1:** Government economic policies support growth that is more equitable, inclusive and sustainable

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Mobilizing environmental financing. **UNDP Strategic Plan Secondary Outcome:** Mainstreaming environment and energy

**Expected UN One Plan Outcome(s):** UN FOCUS AREA 1: INCLUSIVE, EQUITABLE AND SUSTAINABLE GROWTH

**UN One Plan Outcome 1.4:** By 2016, key national and sub-national Agencies, in partnership with the private sector and communities, implement and monitor laws, policies and programmes for more efficient use of natural resources and environmental management, and implement commitments under international conventions

### Expected Output (s)

**UN OP Output 1.4.2:** A set of coherent policies and plans are prepared or updated to strengthen (1) management of protected areas and biodiversity conservation, and (2) environment management at national and community levels

**Executing Entity/Implementing Partner:** Ministry of Natural Resources and Environment (MONRE)

**Implementing Entity/Responsible Partners:** Biodiversity Conservation Agency (BCA)

### Brief Description

Vietnam is considered as one of the 16 most biologically diverse countries. Its biodiversity is however under threats which are often grouped as: (1) over-exploitation of plant and animal species, (2) habitat loss, (3) pollution, (4) invasive species, and (5) climate change. Underlying causes that are often deep rooted and complex are originated from urbanization; industrialization; local, regional and global economic trends; and on-going demographic changes in regions. Main barriers that have limited Vietnam in its ability to properly conserve the country's biodiversity richness are associated with (i) the absence of updated biodiversity conservation priorities and targets agreed by stakeholders across sectors and at different levels of the government; and (ii) inadequate capacity and commitment to integrate biodiversity conservation into development and land use planning at provincial levels. Without the project, the country's biodiversity will continue to be at risk, fragmented and degraded. The project will provide technical assistance to the Government of Vietnam (GoV) to address the above-mentioned barriers. More specifically, it will promote biodiversity conservation through the updating of the country's NBSAP; enhance government capacity for the implementation of the new NBSAP, including monitoring and reporting on the status biodiversity to the CBD and the national assembly; and mainstream biodiversity priorities into provincial land-use plans. The project will also help the GoV to fulfil its commitments to associated international conventions it has ratified.

<b>Programme Period:</b>	2012 - 2016
<b>One Plan PCG:</b>	Climate Change and Environment
<b>Project Title:</b>	<i>Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning.</i>
ATLAS Award ID:	00063449
Project ID:	00080525
PIMS #	4811
Start date:	March 2012
End Date:	February 2016
Management Arrangements:	NIM
LPAC Meeting Date:	_____

<b>Total resources required:</b>	5,459,091
Total allocated resources:	5,459,091
• Regular – TRAC	300,000
• Other:	
○ GEF	909,091
○ Government	200,000
○ Other	4,150,000

Agreed by (Executing Entity/Implementing Partner):

\_\_\_\_\_

Date/Month/Year

Agreed by (UNDP):

\_\_\_\_\_

Date/Month/Year

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## *Acronyms and Abbreviations*

ABS	Access and Benefit Sharing
AWP	Annual Work Plan
BCA	Biodiversity Conservation Agency
BD	Biodiversity
CHM	Clearing House Mechanism
CO	Country Office
CRES	Centre for Research and Environmental Sciences
DARD	Department of Agriculture and Rural Development
DONRE	Department of Natural resources and Environment Committee
DPI	Department of Planning and Investment
GEF	Global Environment Facility
GoV	Government of Viet Nam
GIZ	German International Cooperation
HPPMG	Harmonised Programme and Project Management Guidelines
IUCN	The World Conservation Union
ISPONRE	Institute of Strategy and Policy for Natural Resources and Environment
IW	Inception Workshop
JICA	Japan International Cooperation Agency
MARD	Ministry of Agriculture and Rural Development
MASPAS	Management Strategy for a Protected Area System in Viet Nam
MB	Management board
METT	Management Effectiveness Tracking Tool
M&E	Monitoring and Evaluation
MOF	Ministry of Finance
MONRE	Ministry of Natural Resources and the Environment
MPA	Marine protected area
MPI	Ministry of Planning and Investment
NBSAP	National Biodiversity Strategic Action Plan
NGO	Non-governmental organization
NPD	National Project Director
ODA	Overseas Development Assistance
PA	Protected area
PC	Peoples Committee
PES	Payment for Ecosystem Services
PPC	Provincial People's Committee
PM	Prime Minister
PMU	The Project Management Unit
REDD	Reducing Emissions from Deforestation and Forest Degradation
SUF	Special-Use Forest
UNDP	United Nations Development Programme
VEA	Viet Nam Environment Administration
VND	Viet Nam Dong (US\$1 = approx VND 21,000)

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## I. SITUATION ANALYSIS

### 1.1 BIODIVERSITY CONTEXT

Viet Nam has a land area of 332,000 km<sup>2</sup>, of which three-quarters are hilly or mountainous, and a 3,300-km coastline. Viet Nam's importance as a global biodiversity hotspot has been known for more than 20 years. In 1992, the World Conservation Monitoring Centre (WCMC) classified Viet Nam as one of the 16 most biologically diverse countries in the world or as a "mega-biodiversity" country. Viet Nam is home to some charismatic rare species such as the rarest primate in the world - golden-headed langur (*Trachypithecus poliocephalus*), the Asian elephant (*Elephas maximus*), Javan rhinoceros (*Rhinoceros sondaicus*), gaur (*Bos gaurus*), tiger (*Panthera tigris*), Sunda slow loris (*Nycticebus coucang*) pygmy slow loris (*Nycticebus pygmaeus*), black gibbon (*Hylobates concolor*), red-shanked douc langur (*Pygathrix nemaus*), black-shanked douc langur (*Pygathrix nigripes*), Tonkin snub-nosed langur (*Rhinopithecus avunculus*), sarus crane (*Grus antigone*), white-winged duck (*Cairina scutulata*), and other species.

One of the major changes since Viet Nam's first NBSAP was published in 1995 is the rapid growth in the number of species assessed, as globally threatened □ from 228 faunal species and 1998 plant species in 1996 (of which 57 were assessed as CR or EN<sup>1</sup>) to 2,944 today. This is a measure of our greatly improved knowledge of biodiversity in the country. The importance of Vietnam as a global treasure trove of biodiversity has continued to increase over the past 20 years with some astonishing new discoveries. A new genus of large-hoofed mammal, the Saola (*Pseudoryx nghetinhensis*) was discovered in 1992. This antelope-like wild ox is the world's largest land dwelling animal discovered since 1937. Three new deer species have also been discovered, the Silver-backed Chevrotian (*Trangulus versicolor*), Large-antlered Muntjac (*Muntiacus vuquangensis*), and Annamite Muntjac (*M. truongsongensis*), and a monkey, the Grey-shanked Douc langur (*Pygathrix nemaus cinera*). Other taxa newly discussed since the early 1990s include 3 turtles, 15 lizards, 4 snakes, 31 frogs, more than 55 fish, and over 500 invertebrates. New discoveries include more than 200 species of vascular plant, and a recently described pit viper from Vietnam (*Triceratolepidophis sieversorum*). In addition to the endemic saola, Viet Nam is also home to several endemic bird species. Threatened bird species in some of the country's Important Bird Areas (IBAs) include white-eared night-heron ( *Gorsachius magnificus*, EN), which occurs in southeastern China and north-eastern Vietnam, Edwards's pheasant ( *Lophura edwardsi*, EN) of the wet evergreen forests in the Annamese Lowlands of Vietnam, orange-necked partridge ( *Arborophila davidi*, EN) of the South Vietnamese Lowlands, and grey-crowned crocias ( *Crocias langbianis*, EN) of Vietnam's Da Lat Plateau<sup>2</sup>.

Viet Nam has a diversity of forest ecosystems including Mangrove forests, Melaleuca forest, dry dipterocarp forests, coastal dry forests, lowland evergreen/semi-evergreen broadleaf forests, forest on limestones, montane evergreen and mixed coniferous forests, and even sub-alpine vegetation. It also has several islands, coral reefs, estuaries, tidal marshes, lakes, rivers and swamps. Viet Nam's freshwater and marine wetlands are mainly distributed in the Red River and the Mekong River Deltas and along the 3,260-km coastline. Current estimates show that there are 1 million hectares of wetlands mainly concentrated in river mouths and around some island lagoons, and 100,000 hectares in 12 lagoons from Thua-Thien-Hue to Binh Thuan. The Mekong Delta has a total area of approximately 3.9 million hectares. Its wetlands are among the richest ecosystems of the river basin (tidal floodplains, coastal marshes, peat land marsh, estuaries, etc.) and are considered as important breeding sites for many aquatic species migrating from the upper reaches of the Mekong River. The Directory of Asian Wetlands lists over 25 wetland sites in Viet Nam that meet the criteria of Wetlands of International Importance. Three wetlands have been so far listed as Ramsar sites: Xuan Thuy, Bau Sau (in Cat Tien National Park), and Ba Be, and two more wetland sites are prepared to be included in the list. Many of Viet Nam's ecosystems fall within the WWF's Ecoregion 200 due to their global importance. Viet Nam is included in six of WWF's Ecoregion 200 – the Annamite Range Moist Forests; Indochina Dry Forests; Mekong River; Northern Indochina Subtropical Moist Forests; Southeast China-Hainan Moist Forests; Xi Jiang Rivers and Streams.

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<sup>1</sup> IUCN threat nomenclature; CR = critically endangered and EN = endangered.

<sup>2</sup> [http://www.biodiversityhotspots.org/xp/hotspots/indo\\_burma/pages/biodiversity.aspx](http://www.biodiversityhotspots.org/xp/hotspots/indo_burma/pages/biodiversity.aspx)

## 1.2 SOCIOECONOMIC CONTEXT

Vietnam has undergone dramatic socio-economic development in the past decades. Although the population has grown from over 72 million in 1995 to over 87 million in 2009, the overall life expectancy, health condition, GDP per capita have all increased over the period (table 1 and 2). One of the major drivers of socioeconomic development in Viet Nam is economic reforms, industrialization and growth in service industries. As seeing in table 2 below, the average rate of GDP growth has been over 5% since 1994. After two decades of strong economic growth, Vietnam reaches to the status of “lower-middle-income country” in 2009<sup>3</sup>. Aligned with the economic growth is a sharply declining poverty rate.

**Table 1:** HDI trend of Vietnam over the period from 1995 – 2010 (UNDP)

<b>Vietnam</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2010</b>
Population*	72.98	77.64	83.11	87.28
Hybrid HDI values	0.547	0.597	0.629	0.656
Hybrid HDI ranks	98	93	93	92
Life expectancy at birth (years)	69.4	72.0	73.8	74.9
Health Index	0.78	0.82	0.85	0.87
Adult Literacy Rate (both sexes) (% aged 15 and above)	89.2	90.4	91.3	92.1
Literacy Index	0.90	0.91	0.92	0.93
Education Index	0.65	0.70	0.71	0.72
GDP per capita, PPP\$	1344.5	1729.2	2319.9	3096.9

Source: UNDP, *Human Development Index*

Note: \* World Bank, *World Development Indicators, 2010*. Population in “2010” refers to 2009 count.

**Table 2:** Economic development indicators

<b>Vietnam</b>	<b>1994</b>	<b>2000</b>	<b>2004</b>	<b>2009</b>
GDP growth rate (%)	8.8	6.8	7.8	5.3
GDP per capita (Current US\$)	227	402	554	1113
Gross Domestic Product ( Billions US\$)	16,29	31.17	45.44	91.18
Import as percent of GDP (% of GDP)	43.5	57.5	73.3	78.7

Source: WB, *World Development Indicator, 2010*

Economic reforms led to a transition in the country’s economy from a centrally-planned toward one that is increasingly market-oriented, with a socialist orientation. As a part of this process, governance has become increasingly decentralised with devolution of decision-making from the national government to lower levels of government becoming more effective.

Much of the economic growth in Viet Nam has however been fuelled by intense exploitation of natural resources. Utilization of land has intensified, water resources are increasingly stretched, natural forests have been logged, widespread fish capture is gradually depleting the fisheries resource base and mineral resources are increasingly exploited. While Viet Nam’s economic growth was based on the capture and use of natural resources, there are concerns about the sustainability of this model and its impacts on the country’s biodiversity. Sustainable development

<sup>3</sup> Vietnam Development Report 2011, Natural Resources Management

requires that renewable resources be harvested at a level that will not threaten the welfare of future generations. This also implies that the process of exploitation of non-renewable resources contributes to investments in other forms of capital. More-intense utilization will also bring about more competition and even conflict over resources. This increases the need for clear property rights, rules of transactions, and conflict resolution. In many respects, this touches upon the process of developing sound policies and strategies to protect and sustainably use Viet Nam's biodiversity. The country's burgeoning population coupled with the fast pace of economic growth pose new challenges to biodiversity. Policies will need to be transformational in order to have an impact at the rate of biodiversity loss.

### 1.3 POLICY AND LEGISLATIVE CONTEXT

Viet Nam has one of the most well developed policy and legal framework for biodiversity conservation. At the beginning of 2005, the Government of Viet Nam made a commitment to allocate 1% of the state budget to the environment. The approval of the Biodiversity Law in 2008 represents a milestone for conservation because it elevated the principles and priorities of biodiversity conservation to the level of law independent of other sectors in the country. Until this law was passed, the only references to biodiversity were in sector laws such as the 1998 Water Law, 2004 Forest Law and 2005 Environmental Protection Law. The Biodiversity Law is a major step forward in creating a national standard for protected area and ecosystem management. It mandates a more systematic process of conservation planning at the national and provincial levels. It also lays a legal basis for local communities to conserve natural resources through schemes like Payment for Environmental Services (PES). The promulgation of the following two decrees, the first under the aegis of Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) and the second under Biodiversity Conservation Agency (BCA) in 2010 will further push the implementation of the Biodiversity Law:

- Decree 65 dated June 11, 2010 which provides regulations and guidance on applying certain aspects of the Biodiversity Law (Annex F)
- Decree 69 dated June 21, 2010 which addresses bio-safety issues with respect to GMOs, genetic specimens, and their products.

The process of legal strengthening is ongoing, with several legislations currently under draft<sup>4</sup> including:

- Decree concerning fines for administrative violations to biodiversity (Department of Legislation and Policy, DLP).
- Decree concerning the identification, protection and management of threatened, rare and other important species (BCA).
- Circular concerning the management of alien invasive species (BCA).

In addition to the Biodiversity Law of 2008, other key policy document for biodiversity conservation through protected areas includes the Decision No.192/2003/QD-TTg, approved by the Prime Minister on 17<sup>th</sup> September 2003, entitled "*The Management Strategy for a Protected Area System in Viet Nam to 2010 -MASPAS*". The primary objective of the Management Strategy (MASPAS) is to establish, organize and manage effectively an integrated protected area system covering terrestrial, wetland and marine ecosystems. The MASPAS highlights five fields, where urgent action is required to develop and safeguard Vietnam's protected areas system: (1) landscape management, (2) local community participation, (3) development control, (4) financial innovation and (5) institutional reform. For the management of the Special Use Forest system (forest protected areas) it is governed by the Law on Forest Protection and Development (2004), Decree No. 23/2006/ND-CP dated 3<sup>rd</sup> March 2006 of the Government on the implementation of the Law on Forest Protection and Development, and Decision No. 186/2006/QD-TTg of 14<sup>th</sup> August 2006 on issuing forest management regulations. Decree No. 109/2003/ND-CP of 23<sup>rd</sup> September 2003 on wetland conservation and sustainable development can also be used for managing SUF in wetlands as mentioned in Decision 186. Other laws related to management of PAs include the Law on the Government Organization, the Land Law, Law on the Environmental Protection, and the Law on Water Resources.

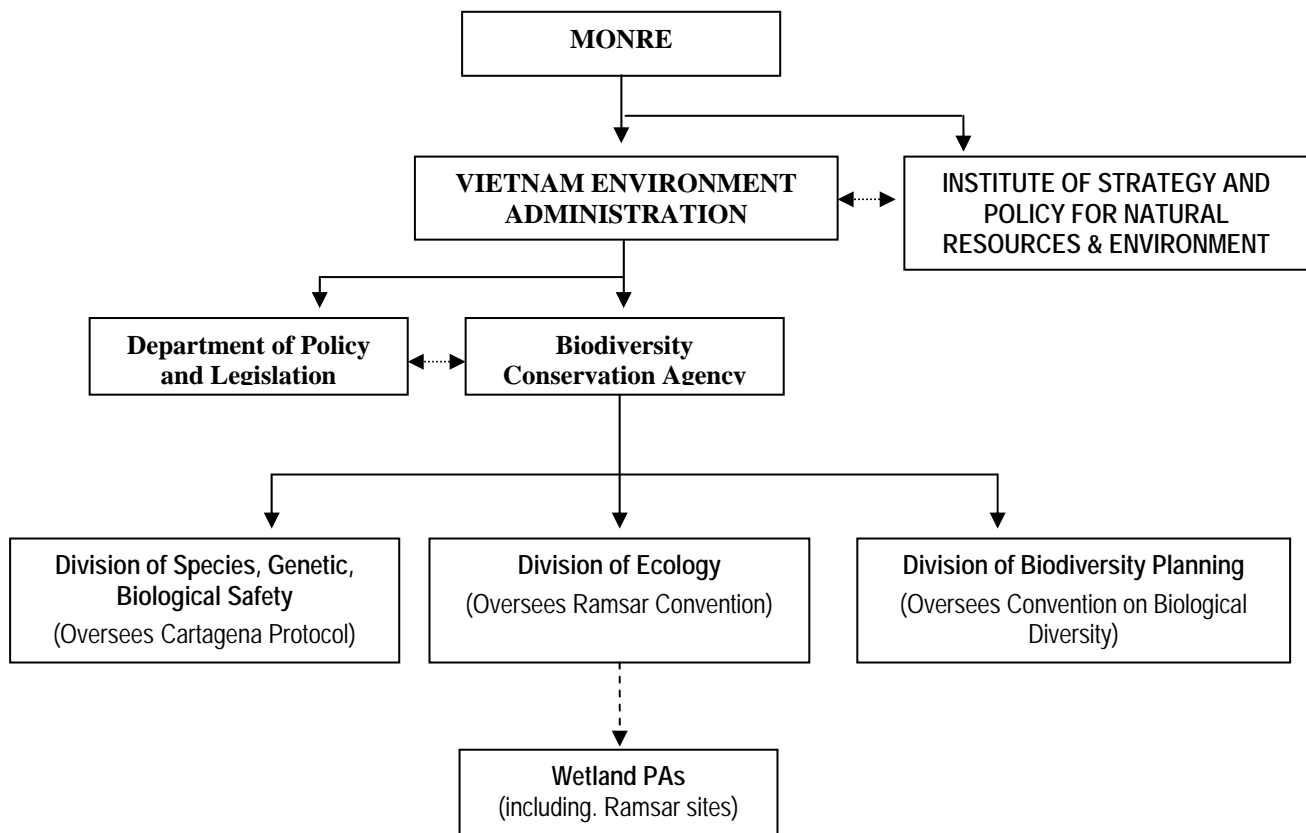
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<sup>4</sup><http://www.monre.gov.vn/v35/default.aspx?tabid=669>

## 1.4 INSTITUTIONAL CONTEXT

Viet Nam has 63 provinces and cities (under the central government) with about 565 districts and 10,000 communes. PPCs are the state organs responsible for steering socio-economic development (including conservation) and administrative processes at the provincial level. Probably the single most significant institutional change over the last 20 years, and part of the *doi moi* reforms aimed at liberalizing the economy and boosting economic growth, has been the devolution of management authority from central government to the provinces. The landmark document was the Public Administration Reform Master Plan that was approved by the Party Congress in 1995. This led to a rapid shift in authority and responsibility from the center to the provinces. Measured in terms of economic growth, decentralization has been a success. At the provincial and district levels, national line ministries usually have specialized departments. Examples include the Department of Planning and Investment (DPI), Department of Agriculture and Rural Development (DARD), and Department of Natural Resources and Environment (DONRE). These departments receive technical instructions from their national line ministries but report to the PPCs. In effect, the Provincial government and its constituent departments are the primary biodiversity agencies for the implementation of any national policies and plans.

The lead biodiversity agency at the national level is the Ministry of Natural Resources and Environment (MONRE). Within the Ministry, two key agencies responsible for biodiversity conservation. These include (i) the Vietnam Environment Agency (VEA) or more specifically the Biodiversity Conservation Agency (BCA) which is under the VEA; and (ii) the Institute of Strategy and Policy for Natural Resources and Environment (ISPONRE). The Department of Policy and Legislation is also a stakeholder involved guiding national policy and legal documents, planning and reporting on biodiversity conservation (Figure 1).



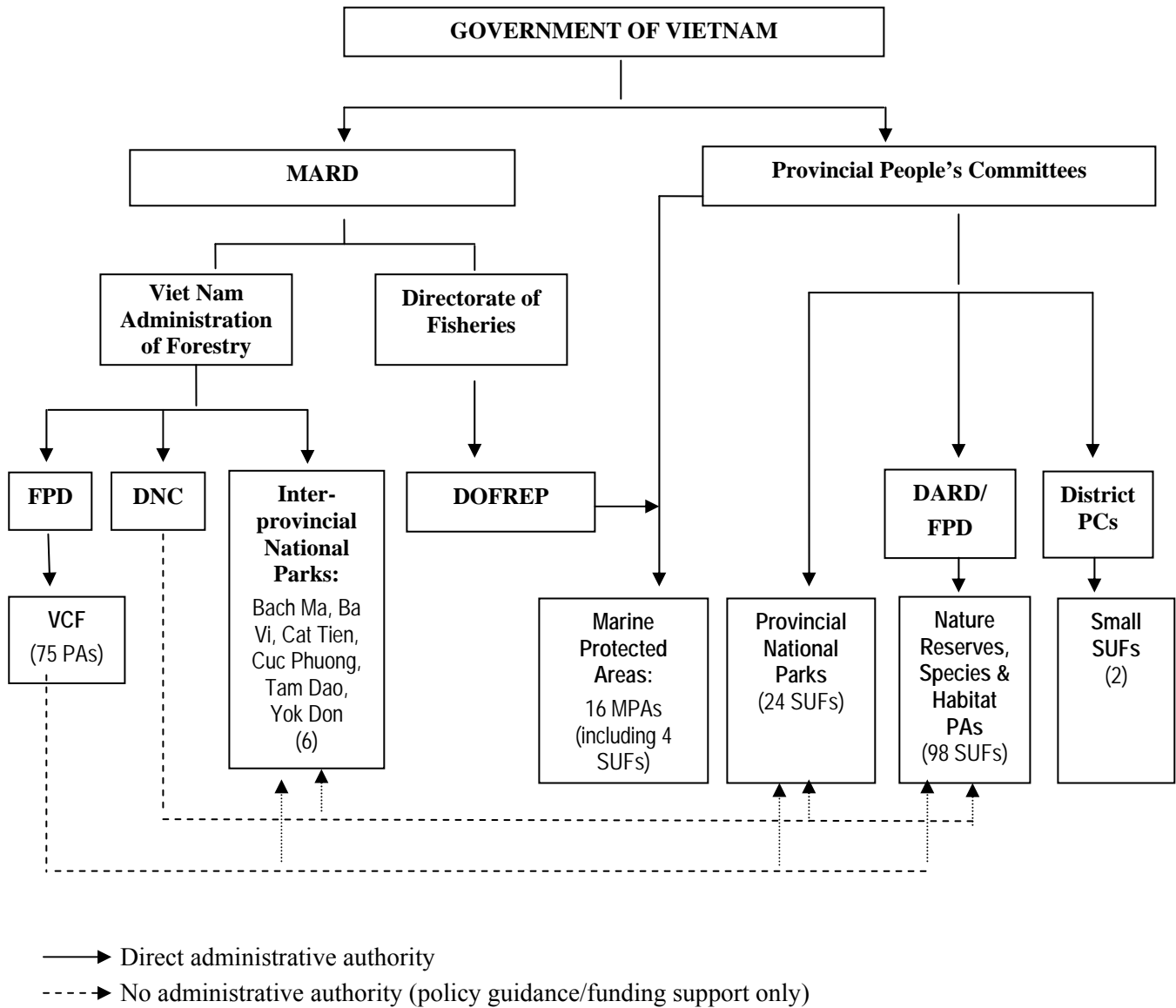
—▶ Direct administrative authority

- - - -▶ No administrative authority (policy guidance/funding support only)

**Figure 1:** Organization chart of Biodiversity Conservation within MONRE



Administration of PAs is based on ecosystem types which is summarised in Figure 2 of the Project Document. PAs within terrestrial, inland water surfaces and marine ecosystems fall within the remit of MARD, i.e. its Department of Fisheries Resources Exploitation and Protection (DOFREP) (Figure 2). PAs within wetland ecosystems, including wetlands listed under the Ramsar Convention are the responsibility of MONRE, i.e. BCA. In line with Viet Nam’s national reform process towards a socialist-oriented market economy, management of PAs is decentralised to the lowest appropriate level (provincial and district people’s committees) and responsibility for individual PAs lies with their respective PA management boards. An exception is the 6 national parks that encompass more than a single province, for which management responsibility remains entirely within MARD.



**Figure 2** Institutional responsibilities for SUFs and MPAs in Viet Nam

## 1.5 STAKEHOLDER ANALYSIS

The key stakeholder for this project is MONRE, which is government lead agency for biodiversity conservation planning in Viet Nam. Additionally, MARD is also a key government agency for protected areas management in Viet Nam as already outlined in the section above. Key stakeholders for this project are summarized in the table below.

Structures	Function/area of expertise
<i>Government and state research organizations</i>	
Ministry of Natural Resources and Environment (MONRE)	Established in 2008, the Biodiversity Conservation Agency (BCA) is a department of MONRE's Viet Nam Environment Administration (VEA); located within VEA, BCA is responsible for the implementation of the biodiversity conservation provisions of the Biodiversity Law in cooperation with other ministries. BCA is the focal point of the CBD, Ramsar Convention, Cartagena Protocol on Biosafety, and Nagoya Protocol on ABS. Institutionally BCA is the agency authorized for preparation of NBSAP, biodiversity master planning, and reporting of biodiversity conservation including these submitting to CBD. Hence BCA will be the focal point for this project
Ministry of Agriculture and Rural Development (MARD)	Manages terrestrial and marine protected areas; hosts CITES Management Authority. MARD will seek to play a leading role in the NBSAP preparation and will also seek to defend its authority over protected areas.
National Assembly	Responsible for passing laws including the annual budget, holding ministries to account, and receiving MONRE's annual SOE report. The National Assembly's Committee on Science, Technology, and Environment was involved in the passage of the Biodiversity Law and will be a key audience and potential advocate for the NBSAP.
Provincial People's Committees (PPCs)	Responsible for development and land use planning; this is the level at which the key decisions that affect biodiversity are made. The project will work closely with PPCs, particularly in the two focal provinces where the NBSAP will be mainstreamed.
Research organizations such as Institute of Ecology and Biological Resources (IEBR) and Institute of Tropical Biology (ITB)	CITES Scientific Authority, primates and plants in Southern Viet Nam. IEBR, ITB, and other national research organizations are important custodians of biodiversity data and have been closely involved in several red listing workshops.
<i>Selected non-state organizations</i>	
IUCN	Manages the Red List; coordinated red listing of 5,000 freshwater species in Mekong Region with the results to be published in late 2011. Present in Viet Nam since 1993, IUCN has extensive experience on protected area management and water bird and marine turtle conservation. IUCN could support NBSAP chapters that cover ecosystem valuation and coastal and marine biodiversity. It is keen to see local environmental NGOs participate in the NBSAP preparation.
Birdlife	Birdlife is custodian of Important Bird Areas (IBAs) and 15 years experience implementing protected area management projects in Viet Nam. It is currently coordinating the Critical Ecosystem Partnership Fund (CEPF) program in Indochina, which includes updating the Ecosystem Profile and several thematic studies.
Missouri Botanical Gardens (MBG)	MBG is coordinating the red listing of 30,000 plant species in Mekong Region. The results should be available in early 2013.
Wildlife Conservation Society (WCS)	WCS specializes in the illegal wildlife trade, particularly tigers, and law enforcement training. WCS and TRAFFIC (see below) could lead the NBSAP chapter on the impact of the illegal wildlife trade in wild populations of commercially valuable species.
Fauna and Flora International (FFI)	FFI specializes in primate and plant conservation in Northern Viet Nam. FFI manages several long running projects to conserve the last populations of several highly threatened and endemic primate species. It is preparing a gibbon status review that will provide important input to the NBSAP.
Asia Turtle Program (ATP)	ATP is the center of excellence in Viet Nam for turtle and tortoise conservation. It can provide the latest information on turtle and tortoise distributions, threat assessments, and ex situ conservation needs and opportunities.

Structures	Function/area of expertise
Center for Natural Resources and Environmental Studies (CRES)	CRES has expertise in reptiles and amphibians, and mangrove ecosystems
Critical Ecosystem Partnership Fund (CEPF)	Coordinating revision of Ecosystem Profile covering Viet Nam and thematic studies
People Resources and Conservation Foundation (PRCF)	PRCF works primarily on primate and bird conservation in Northern Viet Nam. It can provide extensive information on conservation status of and threats to these species
Education for Nature-Vietnam (ENV)	ENV, a local NGO, specializes in combatting the illegal wildlife trade. It runs a hotline to report wildlife crimes, issues monthly and quarterly wildlife crime bulletins, and organizes volunteer groups.
WWF	WWF, the largest international conservation NGO in Viet Nam, has many projects dealing with protected area management, business engagement, species conservation including the saola, wildlife trade, and water resources management
Pan Nature	Pan Nature, a local NGO, has carried out policy research and advocacy on mining, dams, and forest policy and works closely with the media.
Local communities	Local communities are the direct custodians and users of biodiversity services, and manage these resources effectively, and in some cases also the causes of biodiversity losses. Their equitable participation and benefit sharing from sustainable use of biodiversity is one of the key principles of the CBD. The project will ensure that community voices are integrated into biodiversity planning and target setting. Relevant community representatives (such as farmers' organization, youth organization, women's organization) will be invited to relevant consultations. Viet Nam has pioneered the use of FPIC in its work on REDD and such relevant principles will also be integrated in the revised NBSAP.

## 1.6 THREATS TO BIODIVERSITY AND IMPACTS

Viet Nam has changed dramatically over the past 15 years in ways that have also increased environmental impacts. The World Bank's *Viet Nam Development Report (VDR) 2011* has noted that the overall growth of the economy, population growth, urbanization, and industrialization are all combining to increase water pollution, air pollution, and the extraction of natural resources. The overriding immediate threats facing Viet Nam's biodiversity can be grouped as (1) overexploitation of plant and animal species, (2) habitat loss, (3) pollution, (4) invasive species, and (5) climate change.

### (1) Overexploitation

Overexploitation of selected species of animals, plants and fish are all contributing to biodiversity losses in the country.

#### *Overexploitation of animals*

Unregulated, unsustainable, unreported, and generally illegal over-exploitation has driven many animal species in the region to the verge of extinction in the wild, and severely decreased populations of others. There are several inter-related causes, including subsistence needs, recreation, and incidental, opportunistic exploitation. However, trade demand from both domestic and international markets is often a key factor driving overexploitation. Trade demand is a particularly significant factor in the case of certain species, especially ones used in the manufacture of traditional medicines. For instance, a recent re-evaluation of the global threat status of turtles in Asia (a significant proportion of which occur in Viet Nam) resulted in 18 species being assessed as Critically Endangered and 27 as Endangered, primarily as a result of trade-driven exploitation. Limited capacity, and motivation among enforcement agencies mean that overexploitation of animal species continues largely unabated. Incentives to hunt these species are often high for rural people, particularly where there is an actual or perceived trade demand. The values of some species have risen to the point that even formerly secure populations in more affluent areas are heavily trapped. Many target species have been reduced to such low levels that traders now acquire wildlife and wildlife products from neighboring countries. For example, most pangolins found in trade in Viet Nam recently have been in shipments from Malaysia and Indonesia.

### *Overexploitation of plants*

The threat posed to plant species from overexploitation for local consumption and trade is potentially as massive as that to animal species. However, very little accurate information has been published on the impacts of overexploitation on plant species in the region. Thousands of plant species have documented uses in human societies, from decoration to construction, and from food to traditional medicine. Overexploitation of plants does not, therefore, only have implications for biodiversity but also for rural livelihoods, as forest products form an important component of the livelihood strategies of many households. Lack of data constrains assessments of the magnitude of this threat, but its effects on many groups of plants, for instance orchids, are potentially devastating. Plant species with high economic values are often particularly at risk, most notably timber species. Viet Nam's forests support a great diversity of commercially valuable timber species, including *Erythrophleum fordii*, *Dalbergia* spp., various members of the Dipterocarpaceae family (such as *Dipterocarpus* spp., *Shorea* spp. and *Hopea* spp.) and various conifers, most notably *Fokienia hodginsii*. Stocks of most timber species have declined significantly over recent decades, although the implications of this for the long-term viability of populations of these species are not fully known. Other economically valuable plant species threatened by overexploitation include *Aquilaria crassna*, which is a source of agarwood, and *Panax vietnamensis*, which is used to produce a tonic; both of these species are threatened with extinction in Viet Nam as a result of overexploitation.

### *Overfishing*

As human populations and levels of consumption increase, overfishing presents a growing threat to Viet Nam's freshwater fish diversity, with potentially significant indirect impacts on other species through, for example, depletion of food supply. The increasing incidence of poison, electric and, even, bomb fishing on a local scale, as Viet Nam's rivers and non-flowing wetlands succumb to increasing pressure of human settlement, especially in conjunction with other threats, has the potential to cause drastic reduction in whole fish communities.

## **(2) Habitat Loss**

### *Commercial logging*

Forests are the key habitats for a high proportion of Viet Nam's globally threatened plant and animal species. However, these forests have been the focus of commercial logging for decades, which has had a massive impact on their extent and condition. The opening of logging roads often provides access to forest areas to subsequent settlement and conversion to other land uses. Moreover, for some species, the direct effects of habitat degradation and loss may be compounded by increased susceptibility to hunting in small forest patches or in forests penetrated by roads. Lowland evergreen and semi-evergreen forests have been the principal focus of commercial logging activities. Lowland evergreen forests have been so severely affected that few intact areas remain.

### *Conversion of forest to cash crops*

Conversion of forest to cash crop plantations is a particularly significant cause of forest loss in Viet Nam. There has been extensive replacement of natural forests by a variety of cash crops, including sugar, tea, cocoa, rubber, cashew, and most recently cassava (for export to China to be turned into biofuels). Montane forests in the Central Highlands have been converted to coffee plantations. As domestic and export demand for many commodities is likely to increase, remaining forests are becoming increasingly vulnerable to conversion. Even reforestation programs, which have been underway for some years in Viet Nam, have a heavy focus on plantation of monocultures of eucalypts or pines, which are fire prone, nutrient depleting and ecologically sterile.

### *Clearance of forest for shifting cultivation*

In much of Viet Nam's uplands, rural communities practice various forms of shifting cultivation, typically involving rotational systems of swidden fields and regenerating fallows. While shifting cultivation is often cited as a cause of forest loss, there is significant variation in the forms of shifting cultivation practiced, and not all forms have been historically, or are presently, destructive to forest. While, in some parts of the region, shifting cultivation has been

correlated with forest degradation and loss, there is also evidence that, in other areas, shifting cultivation is being practiced with minimal impacts on biodiversity.

#### *Agricultural expansion and intensification*

Economic development and population growth have led to an intensification and expansion of permanent agriculture in many lowland parts of the region. Extensive drainage and conversion of wetlands, most notably seasonally inundated grasslands, has occurred to accommodate this. In the Mekong Delta, almost all natural grasslands have now been converted for intensive rice cultivation. Viet Nam's low-intensity agricultural systems, which not only represent a rich tapestry of landscape, tradition and culture but also support biodiversity of considerable global importance, are also being fragmented into increasingly isolated pockets, as a result of agricultural intensification.

#### *Conversion of coastal habitats*

Intertidal mudflats in Viet Nam are the feeding areas of hundreds of thousands of migratory and resident shorebirds, at least 20 shorebird species occur in internationally significant numbers, and several areas qualify for Ramsar designation. Piecemeal conversion of intertidal mudflats through mangrove afforestation is a potentially serious threat to the most important areas for migratory shorebirds in the Red River Delta. Mangrove afforestation changes the nature of the substrate, and tends, therefore, to make intertidal mudflats unsuitable for bird species for which they are the preferred feeding habitat, such as Black-faced Spoonbill. The forces driving this form of conversion include the coastal protection, land reclamation, and aquaculture development agendas of national and local governments, and financial incentives from national forestry programs.

Aquaculture development is also driving the conversion of other coastal habitats. Mangroves, lagoons, marshes, and other wetlands have undergone widespread and rapid conversion to shrimp and fishponds. This has particularly affected coastal mangroves, including Xuan Thuy – a Ramsar site. It should be noted that extensive aquaculture, such as practiced in part of Ca Mau, can provide valuable habitat for many waterbirds, including a number of globally threatened species. However, various forces, including the need for fish and shrimp pond owners to generate rapid financial returns in order to repay loans for the construction and lease of ponds, are driving a shift from extensive aquaculture to unsustainable forms of intensive aquaculture, leading to die-back of mangrove and loss of habitat for many waterbirds.

#### *Infrastructure development*

Viet Nam has experienced rapid economic growth and associated urban, industrial and infrastructure developments are having severe direct and indirect impacts on natural habitats. A pillar of its economic development strategy is the extension of the road network. A second major north-south highway linking Hanoi with HCMC runs through the Annamite Mountains, bisecting several protected areas. And at the regional level, major road networks are being created that link capital cities and major ports, such as the East-West Corridor linking the port of Da Nang with Bangkok, via southern Laos. As well as causing direct loss and fragmentation of habitat, creating barriers to the dispersal of species such as gibbons, new roads open up previously inaccessible areas to settlement and habitat conversion. Moreover, new roads have strengthened economic links between remote rural areas and urban centers, facilitating the expansion of wildlife trade networks and placing increased pressure on plant and animal populations. Increasing demand for flood control, irrigation, and electricity generation has fuelled a wave of dam construction and almost all of Viet Nam's large rivers have been dammed. The reservoirs created often flood important terrestrial habitats, while artificially managed discharges cause major alterations to seasonal flow regimes and natural sedimentation processes. The dams themselves impact directly on fish migration routes and access to spawning grounds.

#### *Mining and quarrying*

Mining and quarrying for ores, gems and construction materials is causing localized but significant habitat loss in the region. Quarrying of limestone for cement manufacture is a particular threat to limestone karsts, whose potential severity is greatest in smaller, more isolated karsts, such as those in the Kien Giang, which also happen to be among

the richest in terms of invertebrate endemism. Mine access roads and temporary settlement by mine workers can also have serious indirect impacts, including increased levels of hunting by mine workers living in temporary camps in remote forest areas. Moreover, several mining techniques can lead to pollution of aquatic systems by sediment or toxic chemicals, with negative impacts on freshwater biodiversity.

### **(3) Pollution**

Rapid urbanization and industrialization—with untreated domestic, hospital, and industrial wastewater, poor urban drainage, an expansion in tourism, and the use of rivers, lakes, and ponds as dumping grounds for most solid waste—has seriously affected water quality. Much of the untreated wastewater is illegal. Discharge of industrial waste into major waterways frequently occurs unregulated, and agrochemicals applied onto agricultural land rapidly enter river systems, wiping out sensitive organisms and causing their predators to desert and search food elsewhere. With the intensification of agriculture, the extensive use of agrochemicals will pose many problems for species and ecosystems. As well as the direct impacts on species through toxicity, the severe declines in invertebrate abundance associated with high levels of pesticide use are one of the major factors contributing to the collapse of open country and peri-urban bird populations in agricultural landscapes throughout the region.

The National Assembly’s Science, Technology, and Environment Committee has reported on the difficulties with institutional and regulatory arrangements, lack of resources, inadequate planning of urban areas and industrial zones, lack of funding for infrastructure, and lack of investment in toxic waste treatment facilities. In addition, community concern about pollution is increasing, perhaps brought to a head by the much publicized Vedan case of extreme and illegal pollution in the Thi Vai River.

### **(4) Invasive Species**

Concern over invasive species is relatively new. In 2000, MONRE submitted a short report to CBD on invasive species that concluded these that posed “a strong danger to some provinces.” But no details were provided. The Global Invasive Species Database ([www.issg.org](http://www.issg.org)) lists 126 invasive plants and animals in Viet Nam. In 2011, MONRE issued a circular that lists 33 invasive plants and animals defined as species invading the habitat of or causing harm to endemic species, or those disturbing the ecological balance in the areas they live. These include the red-eared slider turtle and the Cuban crocodile, along with four kinds of viruses, six invertebrates, nine species of fish and eleven of plant. The circular also listed 20 exotic species found in Viet Nam that could one day be listed as invasive. MONRE plans to update the list annually. Beyond these administrative steps, no practical action has been taken to prevent, monitor or eradicate invasive species. Nor is there a clear understanding of the threats they pose to native plants and animals. In terms of threats to biodiversity, invasive species therefore represents a major information gap.

### **(5) Climate Change**

Global climate change is an emerging threat, which has manifested itself most tangibly in the increasing frequency, severity, and geographic extent of regional droughts. The medium to long-term impacts of climate change are far from being fully understood but clearly warrant careful scrutiny. Although it is not possible to predict the precise effects with any degree of confidence, under any scenario of significant climate change, the spatial distribution of habitats and biotic communities is likely to change, as some habitats increase in area while others decrease.

The impacts of these combined threats on Viet Nam’s biodiversity have been reflected in a continued loss and degradation of biodiversity values nationally. This has meant that several species found in Viet Nam are threatened to extinction. The table 3 below shows the total numbers of plants and animals that are native to, and that have been assessed in Viet Nam and neighbouring countries and the number assessed as Critically Endangered (CR) and Endangered (EN) are the two highest threat categories.

**Table 3:** Situation of species assessed in the Region

	Number of species assessed	CR	EN
Viet Nam	2,944	61	112
Thailand	2,146	29	48
Cambodia	1,538	19	44
Laos	1,265	11	28

Thus, of the 2,944 assessed plants and animals in Viet Nam, 173 or 6% are classified as CR or EN. The same figures for Thailand, Cambodia, and Laos are 77 (4%), 63 (4%), and 39 (3%) respectively. One of the most highlighted case of extinction in Viet Nam has been the extinction of Javan rhino (*Rhinoceros sondaicus annamiticus*) in recent times<sup>5</sup>. It has also been reported that the endangered Edwards's pheasant (*Lophura edwardsi*) has not been observed in the wild since 2000, and now surveys conducted by the World Pheasant Association (WPA) in the bird's two most likely habitats in Vietnam have failed to turn up any sign of the species, pointing to their likely extinction<sup>6</sup>. While total forest cover has increased as a result of plantations to 43% as of 2010, the area of natural forest has declined to less than 5% of forest area. Only about half a million hectares of primary forests remain—scattered in the Central Highlands and north-central Viet Nam—and primary mangrove forests have almost vanished. Many wetlands have also been converted to other land uses – for example wetland turn to aquaculture ponds. Since 1943 Viet Nam has lost at least 220,000 ha of mangrove forests due to deforestation and aquaculture development.

The underlying causes of the threats outlined above are often deep rooted and complex. Many of them have their origins in regional and global economic trends, on-going demographic changes, and the socio-political history of the region. The causes may become further compounded by the unpredictable impacts of climate change. Economic growth and ever-increasing consumption are the main underlying causes of habitat loss and degradation, and overexploitation of plant and animal species. Viet Nam's export-led growth strategy has also put enormous pressure on its natural resources, particularly in the context of weak controls over land conversion. Increasing levels of consumption in developed countries is contributing to loss of natural habitats. For example, the major export markets for shrimp farmed in ponds cut out from mangroves are Japan, US, and EU. Many threats to biodiversity arise from situations where agencies mandated to manage natural resources face limitations of personnel, resources, training, and above all motivation. Viet Nam's protected areas are plagued by a suite of management problems, ranging from low staff morale, lack of incentives for good performance, limited technical capacity, inappropriate budget allocations, and overemphasis on infrastructure development. Inadequate regulation of companies, illegal land clearance and encroachment of protected areas are other symptoms of capacity limitations. Although biodiversity has important cultural, spiritual, recreational, and personal values, government policies frequently recognize natural resources only for their market value. The fact that quality of life which is dependent upon a complex range of ecological functions that provide clean air, pure water, fertile soils and other ecosystem services, is seldom considered. The undervaluation of ecological services is partly because immediate gains from exploiting a natural resource which are frequently more attractive to provincial authorities than long-term, less tangible benefits from its maintenance. Furthermore, many of the most important values of biodiversity may simply be unquantifiable.

## 1.7 BASELINE PROJECT

As noted earlier in this document, the government of Vietnam has made strong commitment to environmental conservation. Vietnam's 4th National Report to the CBD has noted that since 2006, Vietnam's Government has started to allocate 1% of the national budget for environmental protection. The national budget allocated to biodiversity conservation appears in two forms: central budget and provincial budget. The average spending for biodiversity conservation constitutes about 0.4% of the total national budget. This was a significant increase in biodiversity conservation investment. In 2005 alone, for example, it totalled USD51.8 million, whereas previously the total budget allocation for biodiversity from the national budget was only USD81.6 million over the period 1996-2004. Currently, the total investment in protected areas in Viet Nam from the Central government is estimated at more than

<sup>5</sup> [http://wwf.panda.org/wwf\\_news/?202074/Inadequate-protection-causes-Javan-rhino-extinction-in-Vietnam](http://wwf.panda.org/wwf_news/?202074/Inadequate-protection-causes-Javan-rhino-extinction-in-Vietnam)

<sup>6</sup> <http://blogs.scientificamerican.com/extinction-countdown/2011/10/14/surveys-find-no-sign-of-endangered-vietnamese-pheasant/>

21,000,000 US\$ per annum. Though the government has invested some resources in updating the original NBSAP of 1995 in 2007, this was only done for the period up to 2010.

However, due to lack of mechanism to account for investment in biodiversity conservation nationally from central government sources, provincial and sub provincial government sources and donors the full figures for biodiversity conservation are unknown and are likely to be significantly more than the above mentioned figure. As will be further described in the barrier section, the overall investment is not guided by up-to-date and inter-sectorally agreed upon priorities. Much of such funds have been invested in programmes such as the 5 Million Hectare Reforestation Programme, under which government funds are mainly allocated for restoration of degraded lands. The funds are also allocated to Vietnam Environmental Fund, Aquatic Resource Reproduce Fund of MARD and the Vietnam Conservation Fund. An ODA report on Environment from Environment Protection Agency and UNDP (2003) has analyzed that 20-30% of the total amount of the fund allocated for environment protection has been for biodiversity conservation.

The 4th National Report has also noted that much of the “investment for biodiversity is limited and untargeted; usually focusing on infrastructure construction rather than for scientific research, management and protection activities”. It further notes that “investment in biodiversity conservation is also insufficient, when little funding is allocated to management, strategic development and legislative formulation, capacity building, and public awareness raising as well as baseline biodiversity investigation. It is estimated that nearly 90% of the biodiversity fund were spent for infrastructure construction, and only 10% was directly costed for biodiversity conservation and management.” New and complex issues in biodiversity protection such as genetic access and benefit-sharing, ecosystem-based approach adoption, and terrestrial and marine biodiversity conservation have not received sufficient attention.”

Similarly, the government has also supported some efforts to integrate biodiversity planning and implementation through regional plan. The Minister of MARD, for example, approved “Biodiversity Conservation in the Central Annamite Ecoregion 2004-2020 in 2004. The long-term goal of this program is to promote the adoption of integrated methods to manage, protect and recover natural resources and biodiversity in Central Annamite in sustainable way in the industrialization and modernization process; to raise conservation awareness, to develop management capacity, and to improve living standards of local people. Additionally, MONRE supported some provinces such as Quang Tri, Quang Nam, Binh Dinh, Dong Nai and Central Highlands to develop provincial biodiversity action plans in order to harmonize the biodiversity development with other regional and local socio-economic development plans. However, such planning and implementation have been done with extremely limited resources, have not built on major recent concerns (such as climate change issues) and lessons from these have not been adequately captured and disseminated nationally.

Current efforts underway at national level to support analysis and prioritization for biodiversity conservation includes the development of a National Biodiversity Database (with support from JICA); updating of the Ecosystem Profile for Viet Nam Red Listing of 30,000 plant species in Mekong countries, including Vietnam and the Red Listing of 5,000 freshwater plant and animals for all the Mekong Region, including Viet Nam (with CEPF Partnership support). Work is also underway to strengthen national protected area financing through a GIZ support entitled Preservation of Biodiversity in Forest Ecosystems project, which is testing conservation planning and sustainable financing in three pilot sites in north and central Viet Nam. Reviews of protected area financing and ranger capacity building have been completed through this, which are relevant to the updating of NBSAP. This project is also starting to examine the incentive systems that govern protected area management.

## **1.8 LONG-TERM SOLUTION AND BARRIERS TO ACHIEVING THE SOLUTION**

The long term solution that this project is aiming at “conservation and sustainable use of the rich and unique biodiversity resources within the sustainable development framework of Vietnam”. Despite the strong baseline of national policy and legal context and institutional arrangements, past and ongoing investments on biodiversity



conservation and sustainable use, a number of barriers still exist in attaining the long term goal. The key two barriers are described below.

**(i) Absence of updated biodiversity conservation priorities and targets agreed to by all relevant state and non-state stakeholders**

There have been major institutional and policy changes since the first NBSAP was prepared in 1995. In 2002, MONRE was established by merging parts of MARD and the former Ministry of Science, Technology, and Environment (MOSTE). Although the Biodiversity Law has clarified the role of MONRE as the lead biodiversity agency for Viet Nam, it is a relatively new organization, its capacity is low and is slowly being built to take on the leadership role on biodiversity conservation. Most of MONRE's expertise and experience has been on urban, industrial, and other "brown" issues. It has relatively little experience on biodiversity and other "green" issues. Consequently, implementing of the Biodiversity Law, which gives MONRE responsibility for biodiversity conservation, is challenging because it requires MONRE to work closely with MARD and other ministries with much greater operational capacity.

The knowledge on Viet Nam's biodiversity status has changed dramatically since the NBSAP was prepared in 1995 – the number of species being described by science and new species found, but also the systematic classification of threat of a number of species. A major change since Viet Nam's first NBSAP is rapid growth in the number of species assessed from 2,226 in 1996 to 2,944 today. These include the emblematic Saola, three new deer species and a monkey. Other taxa newly described by science since the early 1990s include three turtles, 15 lizards, four snakes, 31 frogs, more than 55 fish, and over 500 invertebrates. New botanical discovered include more than 200 species of vascular plant. In 2010-11, the conservation status of over 5,000 freshwater and 30,000 plant species was assessed using the IUCN Red List criteria. This is a measure of our greatly improved knowledge of biodiversity, but the updated knowledge on biodiversity status has not been effectively compiled and thus is not easily available for conservation planning. At the same time as our knowledge of biodiversity has increased, threats to biodiversity have also increased, as described in threats section of this document. For example, unsustainable aquaculture and capture fisheries, and poaching has reduced populations of several endemic primates to below 100 - appoint at which a disease outbreak could wipe out the entire global population. Such information and concerns are not adequately compiled and communicated to the policy makers and the general public effectively.

Although Viet Nam's legal system incorporates a large number of globally accepted principles on environmentally sustainable management, and it is one of the few countries with a biodiversity law, their operationalization at national level through appropriate actions are hampered by the absence of up-to-date and widely agreed and adopted biodiversity targets, and action plans that are underpinned by sustainable financing mechanism. As noted earlier in the document, Viet Nam's NBSAP, which was prepared in 1995 and updated with a brief addendum in 2007, is out of date. Since its preparation, not only has much more knowledge on Viet Nam's biodiversity been acquired, including of its unique values (discovery of new species to science for example), but also there have been drastic changes in the legal/ policy and socioeconomic context – which provide both opportunities and challenges for biodiversity conservation. For instance, in the last 15 years, hundreds of new species have been described and the conservation status of over 5,000 freshwater and 30,000 plant species have been assessed using the IUCN Red List criteria.

The international context for biodiversity conservation and Viet Nam's obligations has also changed. The new CBD Strategic Plan, adopted at COP-10 in 2010 in Nagoya, clearly addresses the need for updating NBSAPs, stating in Target 17 that "By 2015, each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan." The strategic plan also covers a range of issues that will need to be incorporated into the revised NBSAPs, including guidance to countries to: (1) fully realise the value of biodiversity and ecosystem services, and incorporate these values into national and local development and poverty reduction strategies (Targets 1 and 2); (2) increase the global terrestrial protected area estate from 12% to 17% and the marine estate from 6% to 10% (Target 11); (3) restore and safeguard key ecosystem services, especially for water, health and livelihoods (Target 14); and (4) strengthen ecosystem resilience to climate change and promote ecosystem-based approaches to climate change adaptation and mitigation (Target 15).

The 1995 Viet Nam NBSAP does not include the following key elements of the CBD Strategic Plan's Aichi Targets that are particularly relevant to the country:

- Plan for integrating the value of biodiversity into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems (Target 2).
- Plan for creating incentives and removing harmful subsidies (Target 3).
- Plan for restoring and safeguarding ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being (Target 14).
- Plan for the mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources (Target 20).

## **(ii) Inadequate capacity and commitment to integrate biodiversity conservation into development and land use planning at provincial levels**

Building understanding and capacity at the provincial level is critical because of the very high level of decentralization that has taken place in Viet Nam over the last 10 years. Viet Nam's governance structure is such that there is considerable devolution of government responsibility and authority from the Central Government to Provincial Governments and even to sub-provincial governments (districts and communes). The process of decentralization, defining of functions, modernizing public financial management, e-government, and civil service reform were launched in the 1990s through the launch of the Public Administration Reform Master Plan. Under this context, poor communication of international commitments from central governments to provincial levels as well as low provincial capacities to implement such commitments has been a major concern in the country. Provinces have primary responsibility for protected area management, allocation of mining permits, and other aspects of land use planning and natural resource use with direct impacts on biodiversity. But this decentralization has not been accompanied by increased central government oversight or increased provincial government capacity to assess conservation and development trade-offs. This capacity gaps is arguably the greatest threat to biodiversity in Viet Nam because without greater provincial commitment and leadership, no NBSAP, however well designed, can be effectively implemented.

The current understanding of Provincial policy makers and even those that are responsible for biodiversity conservation are extremely limited on such commitments and their capacities for operationalizing such commitments is also very low. Provincial officials have extremely limited experience mainstreaming biodiversity into land use and development planning. International conservation support has tended to focus on central government or particular sites. The provincial governments have not been significantly involved in such actions. Biodiversity impacting sectors— particularly landuse planning – do not adequately consider impacts of their plans and actions on biodiversity conservation. Although the Central Government requires provincial authorities to consider biodiversity conservation and to report to the central government on the status of biodiversity in their provinces, this has not occurred in a systematic way. Mechanisms for provincial level monitoring and reporting on biodiversity status, threats and actions have not been established. All these combined have greatly hampered Viet Nam's performance nationally on biodiversity conservation.

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## **II. STRATEGY**

This project has been designed to support Viet Nam's international obligation as a signatory to the Convention on Biological Diversity, and its national priorities for enhancing improved environmental management and biodiversity conservation for sustainable development. The project is also in full compliance with GEF5 Biodiversity Strategic Objectives 5 and the One UN plan for Viet Nam.

### **2.1 POLICY CONFORMITY**

The project has been designed to be in full conformity with government priorities, GEF 5 Strategic Priorities under the biodiversity conservation focal area and the One UN Programme for Viet Nam.

The proposed project is consistent with Objective 5 of the Biodiversity Focal Area Strategy: to integrate CBD obligations into national planning processes through Enabling Activities. A part of the project's GEF budget will come from the Focal Area Set Aside (FAS) under the Biodiversity window and it meets at least two of the six criteria for accessing the FAS as follows: (1) The project is relevant to the objectives of GEF's biodiversity strategy: it is a foundation activity for capacitating countries in biodiversity planning<sup>7</sup>, so they can more effectively contribute to the maintenance of ecosystem goods and services, which is the central goal of the GEF V Biodiversity Focal Area Strategy; and (2) It supports priorities identified by the COP of the CBD: the project directly supports essential biodiversity planning steps in the implementation of the CBD Strategic Plan 2011-2020 approved in Nagoya, in particular CBD Parties' obligations to review their NBSAPs in light of new Convention guidance, to establishing targets in line with the Aichi Targets and to expand their institutional, monitoring, reporting and information exchange frameworks that support the implementation of the CBD at the national level (including resource mobilisation and the development of fully fledged CHMs). Access to the FAS is limited to \$220,000, which is the cost benchmark per country established by the GEF for Enabling Activities under the FAS. The remainder of GEF funds to the project will come from a prioritisation of Viet Nam's STAR biodiversity allocation, exactly because this project is seen as a priority for the country.

Furthermore, the project is designed to ensure that the revised NBSAP is a relevant policy instrument, effectively integrated into development plans, development finance, as well as plans, strategies and policies aimed at managing climate risk; and that convention reporting and the CHM frameworks are produced in a cost-effective manner and with technical quality. Project success will be evaluated by the extent to which development and sectoral planning frameworks in Viet Nam integrate measurable biodiversity conservation and sustainable use targets. Meeting CBD milestones will also be an important project success measure and a contribution to the GEF's Focal Area Strategy, primarily the development of national targets by 2012 and the updating of NBSAPs by 2014.

This project will contribute to achieving key goals under the UN's Development Assistance Framework (UNDAF) for Vietnam, particularly the following outcomes and UN One Plan's (OP) outputs:

- UN One Plan Outcome 3: "Viet Nam has adequate policies and capacities for environmental protection and the rational management of natural resources and cultural heritage for poverty reduction, economic growth and improving the quality of life".
- UN OP Output 3.2: "Environmental strategies, policies, plans and regulations developed with broad participation of local people and stakeholders and in line with international environmental conventions".
- UN OP Output 3.4: Local initiatives supported to promote the sustainable use of natural resources.

Specifically, the project directly contributes to achievement of the following results: OPI 3.2.1 - Strengthened formulation of strategies priorities, policies and regulatory instruments that encourage environmental protection and sustainable natural resource management, specifically to deal with biodiversity, desertification, and clean technologies. (national and local levels)"; OPI 3.4.1 - Technical capacities improved in prioritized topical areas to support sustainable management of natural resources (national and local levels); and OPI 3.4.3] - Protected Area management, including in World Heritage sites and Biosphere reserves, strengthened and building local capacities (local level).

## **2.2 COUNTRY OWNERSHIP**

Eligibility: Viet Nam ratified the CBD in 1994 and became a full member in 1995. It is, therefore, eligible for GEF grants for both biodiversity and climate change mitigation focal areas.

Country Drivenness: This project is country driven as it is in line with national policies and priorities (described below). It was identified as a high priority project nationally by MONRE and has been endorsed by the GEF Operational Focal Point, which also prioritised STAR funds for this project due its importance and scope. The formulation of the project through extensive involvement of multi-sectoral stakeholders and others has also ensured

that it has strong national ownership. The co-funding committed and leveraged by the Government of Viet Nam is an added testament to the importance attached to this project.

The project directly addresses Article 6 of the CBD, which requires Parties to: “(i) develop national strategies, plans or programmes for biodiversity, or adapt existing strategies, plans or programmes; and (ii) integrate biodiversity into relevant sectoral and cross-sectoral plans, programmes and policies”. It also addresses numerous CBD decisions related to NBSAPs, of which Decision X/2 is particularly worth stressing. It urged Parties to: “(i) develop national and regional targets, using the Strategic Plan and its Aichi Targets, as a flexible framework, in accordance with national priorities and capacities [...] with a view to contributing to collective global efforts to reach the global targets, and report to COP 11 (2012); (ii) review, and as appropriate update and revise NBSAPs, in line with the Strategic Plan and Decision IX/9, and adopt as a policy instrument, and report thereon to the COP 11 or 12 (2012 or 2014); (iii) use NBSAPs as effective instruments for the integration of biodiversity targets into national development and poverty reduction policies and strategies, [...] economic sectors and spatial planning processes, by Government and the private sector at all levels; and (iv) Monitor and review the implementation of NBSAPs [...] and report to the COP.” More importantly, the project is a direct contribution to the implementation of the CBD Strategic Plan 2011-2020 at both at the national and global levels.

The project is consistent with Vietnam’s current NBSAP (1995), which had the long term goal of “protecting the abundance and uniqueness of the country’s biodiversity for the sake of sustainable development”. The NBSAP laid out the status of Vietnam’s biodiversity, threats to them and priority actions for their conservation. As a follow up to the NBSAP, keeping in view the rapidly evolving national socio-economic development context, the government of Vietnam developed a short addendum to the NBAP in 2007. This (the Prime Minister’s decision no. 79/2007/QĐ-TTĐ of May 31, 2007) presented key new targets as “National Action Plan on Biodiversity up to 2010 and orientations towards 2020 for implementation of the convention on biological diversity and the Cartagena protocol on biosafety”. This project is fully consistent with the priorities of the NBSAP and the 2007 Prime Ministerial decision. The project is also consistent with the government’s priorities as outlined in its 4<sup>th</sup> National Report to the CBD, which has noted several ongoing challenges to biodiversity conservation that need to be addressed. The proposed project will assist Viet Nam update its NBSAP to overcome those challenges. Vietnam’s National Capacity Needs Self-Assessment for Global Environmental Management (2006) has also identified the need “to develop National Biodiversity Action Plan (revised BAP)” as a priority and thus this project is also fully consistent with the findings of this assessment. The project’s Outcomes 2 focuses on fostering greater ownership and capacity building in the Provincial and sub-provincial levels. This is consistent with the 1995 NBSAP, which had clearly identified the need for local government to implement this national strategy and had also envisioned the development of provincial biodiversity plans. The Prime Minister’s decision in 2007 also called for strong involvement of local governments and local communities in the implementation of biodiversity targets.

The project is consistent with the Biodiversity Law of 2008 which specifies roles of MONRE and provincial authorities in biodiversity conservation. The Law highlights the importance of biodiversity conservation planning both at national and national level, conservation and sustainable development of natural eco-system, species and genetic resources, and requires to have mechanisms and resources for biodiversity conservation and sustainable development. By development of NBSAP, strengthening capacity both at national and provincial level for implementation and monitoring of NBSAP, and piloting mainstreaming biodiversity priorities into land-use planning at two provinces, the project provides great lesson learns for biodiversity conservation planning and conservation of species in Vietnam, as required by the law. By focusing on strengthening provincial capacity for implementation of the newly developed NBSAP and mainstreaming of biodiversity into provincial land use plan of two selected provinces, the project contributes to strengthening capacity for development of biodiversity master planning required by Biodiversity Law and Decree 65/2010/ND-CP on guiding implementation of the Biodiversity Law. Furthermore the project is consistent with the 2005 Law on Environmental Protection, the 1998 Water Law, and the 2004 Forest Law. The government of Viet Nam has also assigned MONRE to develop a Biodiversity Master Plan by end of 2012. This project will support the Government in localizing requirements of CBD strategic plan 2011- 2020 and AICHI targets. The project is also in line with the direction of the national strategy for environmental protection and strategic Orientation for sustainable development (Vietnam Agenda 21) which emphasizes the importance of biodiversity conservation.

### 2.3 DESIGN PRINCIPLES AND STRATEGIC CONSIDERATIONS

In addition to the project being consistent with national priorities and in line with Viet Nam's international obligation as a party to the CBD, the project has also been designed to build on UNDP's comparative advantage in Viet Nam and to ensure strong coordination and partnership with relevant initiatives in the country.

#### **Building on UNDP's comparative advantages**

UNDP has been assisting the government of Viet Nam in implementing a number of global environmental conventions including the Convention on Biological Diversity (CBD). This project will assist the Government in meeting its obligations under these conventions and developing synergies between different conventions. UNDP Viet Nam's Sustainable Development Unit assisted the government in the design and implementation the NBSAP in 1995. Several biodiversity conservation initiatives have been supported in the past to implement the NBSAP – including a component of the UNDP-GEF regional project on conservation and sustainable use of wetlands; a project to conserve globally important biodiversity in Con Dao islands and marine area; and a project to enhance biodiversity corridor under the UNDP-GEF project “ Making The Link: The Connection and Sustainable Management of Kon Ka Kinh National Park (KKK NP) and Kon Chu Rang Nature Reserve (KRC NR) area.”

In addition, UNDP is working with the government in (1) building national capacities and experiences on strengthening forest governance, especially related to reducing greenhouse gas emissions from forest degradation (REDD), (2) strengthening national capacity to respond to climate change and reducing vulnerability and controlling GHG emissions; and (3) Strengthening resources efficiency and environmental performance for Climate Change responses. UNDP will provide \$300,000 as co-financing in the form of cash contribution through an UNDP “Strengthening Capacity for Natural Resources Policy Development and Environmental Performance” project that supports the government on development of regulations, guidelines/tools for wise use of natural resources, environmental protection, and promotion of green growth. In kind UNDP support will also be provided through its broader programmes on UNREDD, climate change, disaster risk management, poverty and governance portfolio and through its range of technical staff working in the environment and natural resources.

#### **Strong coordination and partnerships with relevant initiatives**

The project will benefit from the experience of previous related initiatives by national and international counterparts. It will also strive for strong coordination and cooperation with ongoing and future initiatives in the country. MONRE's work to prepare a National Biodiversity Database in partnership with JICA will run from July 2011 to December 2014 with the total funding of US\$3.8 million. It will support Nam Dinh province to build a data base prototype using biodiversity data from the province. This project will be a sister initiative to this proposed UNDP-GEF project and JICA supported initiative will contribute directly to Outcome 1 of this UNDP-GEF project. Information and profiles developed by the Critical Ecosystems Partnership in 2011 and thematic studies it has commissioned will also contribute to the baseline information for this project ([www.cepf.net](http://www.cepf.net)). Outputs relevant to the NBSAP include report, map files, species location records, and other GIS data are being concluded in end-2011/beginning of 2012. Additionally, a number of conservation organizations have been supporting conservation initiatives in Viet Nam for a number of years – including the WWF, IUCN, Birdlife International, Missouri Botanical Gardens, and IUCN etc. Information available from these organizations will also contribute to this project's objectives and outcomes.

At least two ongoing protected areas (PA) projects will be useful for this project in defining the new priorities and programming on PA in Vietnam. These include: (1) the *Preservation of Biodiversity in Forest Ecosystems in Vietnam* project implemented by MARD with GIZ support (2010 – 2013, phase 1 with total budget of US\$ 3,6 millions). This project is testing conservation planning and sustainable financing in three pilot sites in north and central Viet Nam. The project has completed reviews of protected area financing and ranger capacity building that are relevant to the NBSAP. The project also examines the incentive systems that govern protected area management. Understanding and seeking to reform these systems is a major outcome of this GEF project; and (2) The UNDP/GEF project *Removing*

*Barriers Hindering Protected Area Management Effectiveness in Viet Nam* (2011-2014 with total budget of US\$3.5 millions) which focuses on supporting government to establish sustainable protected area financing mechanisms.

A number of landscape initiatives are also underway in Viet Nam, primary of which is the **ADB**-supported Biodiversity Corridors Initiative (BCI). The current phase runs from 2011 – 2013 with a budget of US\$3.5 million for the Vietnam component. BCI aims to conserve habitats for wildlife, enhance ecological services, such as water supply and flood protection, and improve local community welfare through poverty alleviation measures and sustainable use of natural resources in high biodiversity corridors in all six GMS countries. In Viet Nam, BCI supports work by **WWF** in the Ngoc Linh, Quang Nam-Xe Sap in Laos corridor.

Mainstreaming of biodiversity into sectors is also a priority for biodiversity conservation in Viet Nam. Key initiatives include **FAO** is supported Regional Fisheries Livelihoods Programme (RFLP) (2009-2013) which will strengthen capacity among participating small-scale fishing communities and their supporting institutions in a number of countries including Viet Nam ([www.rflp.org](http://www.rflp.org)). RFLP activities in Viet Nam are being undertaken in three central provinces, namely: Quang Tri, Quang Nam, and Thua-Thien-Hue. The **World Bank** is funding is the \$100M *Coastal Resources for Sustainable Development Project* that will reduce the dependence of coastal communities on capture fisheries and is currently under development. It will work in eight provinces.

## 2.4 PROJECT OBJECTIVES AND OUTCOMES

**The project's goal** (or development objective) is Integrate CBD Obligations into National Planning Processes through Enabling Activities, which is the GEF's focal area objective for this project (BD5).

**The project objective** is to strengthen biodiversity conservation in Viet Nam by the articulation of nationally agreed targets and action plan for national and provincial level implementation to fulfil its obligation under the CBD.

This project has been designed to support Viet Nam's international obligations as a signatory to the CBD, and its national priorities for enhancing improved environmental management and biodiversity conservation for sustainable development. It has two components, under which specific outcomes and outputs are expected:

- **Component 1:** New NBSAP and 5<sup>th</sup> National Report prepared in compliance with Biodiversity Law and CBD Strategic Plan 2011-2020.
- **Component 2:** Provincial commitment and capacity strengthened to implement NBSAP.

These are described below in detail. By operating at both the national and provincial levels, the project's results will strengthen the formulation and implementation of NBSAP. Building capacity at the provincial level is essential because while central government is responsible for setting policies, how these are interpreted and applied depends increasingly on the provinces.

### Component 1

#### **New NBSAP and 5<sup>th</sup> National Report prepared in compliance with Biodiversity Law and CBD Strategic Plan 2011-2020**

Under this component, two *Outcomes* will be produced.

- 1.1 10-year NBSAP with clear institutional design and financing plan approved by government by 12/2012.
- 1.2 Biodiversity status, trends, and actions communicated nationally and internationally.

**Outcome 1.1 A 10-year NBSAP with clear institutional design and financing plan approved by government by 12/2012.**

An Inter-Ministerial Drafting Committee (IMDC) comprising the representatives from various ministries, such as MONRE, MARD, MPI, MOF, National Assembly, Office of Government, etc, will be set up to support the project implementation, review contents of NBSAP, and make sure that the final NBSAP is to be in line with government and sectoral policies.

This will include:

- Prioritizing biodiversity through economic valuation of goods and services.
- Restoring and safeguarding ecosystems that provide essential services.
- Assessment of protected area design and management effectiveness.
- Conservation status of selected species (re)assessed based on international criteria, e.g., Red List.
- Assessment of rules and procedures for species reintroductions.

This new generation of NBSAP will help setting a regional standard of excellence by creating a national road map for achieving the Aichi Biodiversity Targets (ABTs). Special emphasis will be placed on mainstreaming biodiversity into development plans, incorporating protected area networks and sustainable production systems into ecosystem-based climate adaptation and resilience plans, and creating sustainable finance for biodiversity conservation through the full valuation of key ecosystem services. As part of the NBSAP preparation, measurable, achievable, and time-bound targets for the NBSAPs based on the global ABTs will be set. While the NBSAP will address all 20 ABTs, it may focus on the following 10 targets because of the high relevance to Viet Nam in terms of geographic scope, immediacy, and impact:

Target 2: By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems. *The project will help Viet Nam achieve this target by developing tools, methods, and training materials to guide provincial authorities to explicitly incorporate biodiversity in land use plans, and by working with selected provinces to review their land use plans and SEDPs to ensure consistency with NBSAP priorities and targets.*

Target 3: By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the CBD and other relevant international obligations, taking into account national socio economic conditions. *The project will help Viet Nam achieve this target by proposing the inclusion of biodiversity conservation criteria in performance evaluation systems for provincial officials to bring their interests in line with national and global biodiversity conservation priorities.*

Target 5: By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced. *The project will help Viet Nam achieve this target by synthesizing existing land cover maps and data to identify the most threatened habitats, the drivers of habitat loss, and the policies that directly or indirectly encourage the continued loss of natural habitats.*

Target 6: By 2020, all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approaches, so that over-fishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits. *The project will help Viet Nam achieve this target by including material from the Viet Nam Development Report 2011 which includes a chapter on the non-sustainability of coastal fisheries and from a World Bank project under development that will include a GEF component to support the MPA system.*

Target 8: By 2020, pollution, including from excess nutrients, has been brought to levels that are not detrimental to ecosystem function and biodiversity. *The project will address this target by including the results and recommendations of the Water Sector Review and identifying key regulations that need to be promulgated under the new Water Law, which is under development.*

Target 12: By 2020, the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained. *The project will address this target by documenting the large number of species conservation projects and by developing a monitoring system to report in the status of specific species that leverages the knowledge of multiple partners.*

Target 14: By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable. *The project will help Viet Nam achieve this target by including an assessment of the status of Viet Nam's wetlands (building on the National Wetlands Strategy that MONRE published in 2006) and identifying those wetlands of highest conservation value based on biodiversity and human use values.*

Target 15: By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification. *The project will help Viet Nam achieve this target by promoting biodiversity conservation as an explicit goal of the National REDD Program and encouraging the program to focus on the rehabilitation of the large areas of degraded forests, possibly community co-management.*

Target 17: By 2015, each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan. *The project will help Viet Nam achieve this target by supporting the preparation of a new NBSAP that incorporates latest data and information on biodiversity conditions and trends and results and lessons learned from 15 years of field projects through an open and participatory process.*

Target 20: By 2020, at the latest, the mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources, and in accordance with the consolidated and agreed process in the Strategy for Resource Mobilization, should increase substantially from the current levels. *The project will help Viet Nam achieve this target by engaging all relevant state and non-state stakeholders to identify additional technical and financial resources for biodiversity conservation and, equally important, identify ways in which existing resources can be used more effectively.*

The project will also support the development of Viet Nam's 5<sup>th</sup> National Report, so that it is prepared in line with CBD requirements and submitted by March 2014. Different chapters will be prepared by national and international consultants and be peer reviewed to ensure data quality and integrity. The report will include an initial assessment of progress against the NBSAP biodiversity targets.

This Outcome will be produced through the following Output and set of activities:

*Output 1.1.1: Enhanced institutional arrangements and capacities to synthesize, analyze, and report on performance toward biodiversity targets in place*

The project will build MONRE's capacity to prepare a new NBSAP that fully incorporates the new knowledge and lessons learned over the past 16 years since the first NBSAP was prepared, and to monitor NBSAP implementation. To help MONRE play this role effectively, the project will build its capacity to communicate, coordinate, and cooperate with a wide range of partners, state and non-state, national and international.



The new NBSAP will place ambitious demands on Viet Nam, including requirements to protect and sustainably manage their lands and water, to develop comprehensive plans that integrate climate change into their land use, development and sectoral plans and strategies, and to develop appropriate biodiversity and climate policies, laws and incentives. Delivering these results requires a multi-stakeholder approach that includes both state and non-state actors. Activities under this output include workshops, briefings, and other meetings to ensure a robust consultative process that engages representatives from key state and non-state sectors, including National Assembly and Party. The aim is to develop and sustain a participatory process in order to increase the likelihood of successful implementation of the NBSAP so that this process can continue well beyond the preparation of the NBSAP. This is especially important relative to the goals of mainstreaming biodiversity into national development plans, and promoting resilient landscapes that include production sectors.

Enabling Activities are considered foundation activities within the framework of the GEF. The ultimate goal of Biodiversity Enabling Activities is to build national capacity across the board for biodiversity management. The delivery of global biodiversity benefits depend on the development of national capacity for managing biodiversity. The more robust this capacity is in a given country, the more effective the national implementation of the CBD will be. This project will build national capacity in Viet Nam by building individual, organizational and institutional capacity by:

- Focusing on national consultants and national expertise.
- Piloting the land use planning at provincial levels and learning from the experience.
- Building national and local level capacity for implementing NBSAPs through training.

The knowledge developed through these activities will become part of the new NBSAP and will have a greater chance of influencing and even becoming policy. In particular, the following activities are specially targeted at building systemic capacity:

- Assessing and integrating ecosystem services through economic valuation.
- Mainstreaming biodiversity into development policies, plans and practices and into sectoral plans and strategies.
- Incorporating climate change issues into NBSAP.
- Integrating NBSAP with the CBD Programme of Work on Protected Areas implementation plan.
- Securing sustainable finance for NBSAP implementation.
- Monitoring and reporting on the status of biodiversity under climate change scenarios.

Output 1.1.1 is based on the standard GEF template for revising the NBSAP to support implementation of the new CBD Strategic Plan for Biodiversity 2011-2020 and Aichi Biodiversity Targets (ABTs).

#### 1.1.2 Relevant Implementation plans developed through national consultations.

Under this Output, the project will support the development of implementation plans related to a number of key issues as outlined below:

- Indicators and monitoring approach for NBSAP implementation
- Plan for capacity development for NBSAP implementation.
- Technology needs assessment
- Communication and outreach strategy for the NBSAP.
- Plan for resource mobilization for NBSAP implementation
- Assessment of opportunities of mainstreaming into selected sectoral plans such as development, poverty reduction and climate change plans through sectoral consultations

These will form key inputs into the revised NBSAP. They will be developed so that they are practical and implementable within the context of Viet Nam and that they have support and “buy-in” from the key stakeholder groups. Relevant stakeholders will be invited to the consultations, including people representing local communities’

interests, women's interests, indigenous people etc. Technical working groups, with involvement from experts from different sectoral Ministries/ agencies will be established to facilitate these plan development.

### **Outcome 1.2 Biodiversity status, trends, and actions communicated nationally and internationally.**

A key part of this project's support on capacity building will be to improve communications and outreach of MONRE. The project will therefore support preparation of the 5<sup>th</sup> National Report to the CBD and the annual State of Environment (SOE) reports that are submitted to the National Assembly every year. These reports are important opportunities to highlight problems in the implementation of Viet Nam's environmental laws and regulations and increase political support for measures to address emerging threats to biodiversity. The project will help MONRE building relations with the National Assembly, which is an increasingly assertive policy making body with the authority to hold ministers to account. Greater participation of the National Assembly in biodiversity is needed to address the inter-ministerial and cross-sectoral conflicts that limit policy implementation. By defining a clear niche for MONRE, a new NBSAP will give the government the direction it needs to implement the Biodiversity Law in ways that reinforce its role as a regulatory and reporting agency that cooperates with relevant state and non-state actors to deliver improved biodiversity outcomes. The two Outputs under this Outcome are described below.

#### Output 1.2.1: Causes and consequences of biodiversity loss assessed

Activities under this output include forming working groups to prepare thematic studies to fill key information available and to identify knowledge gaps. The focus of the work will be on bringing together existing information through improved coordination and stakeholder participation. The assessment work will highlight the value of biodiversity and ecosystem services and their contribution to human well-being and will also include rapid stocktaking and review of relevant plans, policies and reports; identification of stakeholders; consultations and awareness, and preparation of thematic reports on wildlife trade, protected area management experience, biodiversity financing, incentive frameworks driving decision making at provincial levels to feed into NBSAP and 5<sup>th</sup> National Report.

These assessment reports will include the impact of the illegal wildlife trade on commercially valuable species, the lessons learned from 15 years of internationally supported protected area management experience, key policy and institutional weaknesses that impeded the effective enforcement of environmental policy in general and biodiversity conservation in particular, and the incentives governing land use planning at local levels. These have been discussed earlier. In addition, studies may cover the more accurate valuation of ecosystem goods and services and incorporating climate change risks into biodiversity planning:

- *Assessing and integrating ecosystem services through economic valuation.* The aim is to strengthen the point that biodiversity not only underpins human well-being, but that biodiversity and associated ecosystem services can make a significant contribution to poverty reduction and economic development. This study will compile essential data and analyses that help make the case for biodiversity and facilitate the process of mainstreaming biodiversity into planning through concrete biodiversity valuation examples.
- *Incorporating climate change issues into the NBSAP.* The previous NBSAP did not address climate change. This study will assess the impact of climate change on the functioning of ecosystem services, such as water; identify areas important for improving nature's ability to adapt to climate change, such as altitudinal gradients and conservation corridors, and identify areas of particular importance for restoration in order to improve climate resilience, adaptation and mitigation.

Since other government departments and NGOs are custodians of substantial relevant information and expertise, MONRE will commission working groups made up of government and NGOs to prepare these studies. Technical working groups, with involvement from experts from different sectoral Ministries/ agencies will be established to facilitate these assessments. The precise topics will be identified as part of the NBSAP preparation process but are likely to include the impact of the wildlife trade on biodiversity, the results and lessons learned of 15 years of

international support for protected area management; gaps and opportunities for biodiversity financing; and the de jure and de facto incentive frameworks driving decision making at the provincial level. By commissioning studies rather than trying to do everything itself, MONRE can focus on the coordination and quality control. This decentralized approach will increase the efficiency of the preparation process and strengthen MONRE's role as the lead agency for biodiversity information, reporting, and monitoring.

*Output 1.2.2: National biodiversity database framework established with updated information on biodiversity conditions at national and sub-national levels.*

Activities under this output include the design of a national biodiversity database framework that is suited to MONRE's technical capacities and reporting needs and the realities of data quality and availability. It will include a range of species, habitat, and ecosystem data. The design will be tested using data from Nam Dinh and based on that experience, the database will be extended to cover other provinces. Doing so will require MONRE to work with other government departments and NGOs that have a field presence and collect biodiversity data as part of their regular operations. Much of this information will be in the form of reports in both English and Vietnamese. These need to be referenced and tagged to specific sites. There is also many satellite-based land cover change studies that need to be referenced and tagged. Some targeted field work may also be required to fill in key information gaps.

This output will be principally funded by JICA but the results will be very useful to the NBSAP preparation and implementation. Viet Nam currently has no single database that can be used to map and report on biodiversity status and trends. JICA will assist MONRE with the development of a national biodiversity database framework using data collected from Nam Dinh Province in the Red River Delta. Based on the experience collecting and importing these data, the database will be expanded to other provinces. The architecture will allow the large volume of grey and unpublished literature to be captured and used to paint a more accurate and finer grained picture of biodiversity status and trends than is currently possible. As well as NBSAP implementation, the database will provide input to the 5<sup>th</sup> National Report, and annual SOE reports. As well as the JICA-funded data collection in Nam Dinh, some targeted field work may be needed to fill key information gaps. The work under this output will make a significant contribution to the modernisation of Viet Nam's CHM.

This will also include the preparation of National GIS based map of key biodiversity information using available information from multiple sources. This will include (1) mapping and land-use planning and the geo-referencing of key biodiversity information; (2) systematising data and information relevant for the various CBD programmes of work and themes that are relevant for Viet Nam.

## **Component 2**

### **Provincial commitment and capacity strengthened to implement NBSAP**

The primary focus of the project is to enhance NBSAP implementation by building provincial capacity nation-wide, including the capacity to tap into biodiversity financing and report on biodiversity status and good practice from the provincial to national levels. Though the project will target all provinces by "wholesaling" knowledge and skills development through development of guidelines and delivery of a series of regional training courses, project will also take a "retail" approach by supporting NBSAP implementation in two selected provinces. This will be achieved by updating land use planning procedures and producing revised land use maps, and by testing explicit biodiversity criteria in provincial performance assessment systems. The two focal provinces will be decided on the basis of, where relevant, data and information are available and high-level political support for biodiversity conservation already exists. These provinces are likely to be a subset of the 5-6 provinces and build on existing work such as where the UN-REDD Phase 2 will operate and/or where the JICA national biodiversity database is being tested.

This dual approach of working with all provinces to build basic capacity and expertise and with two provinces on more detailed land use planning and incentive will strengthen MONRE's own capacity to oversee and support NBSAP implementation. The "retail" work in two provinces is particularly important because it is an opportunity for MONRE

to gain experience in reviewing and influencing the 5-year Socio-Economic Development Plan (SEDP) that every province has to prepare. The current plan runs from 2011 to 2015. The SEDP provides the strategic directions for planning and investment within which sector and land use plans need to fit. Biodiversity mainstreaming therefore requires reviewing and revising the annual development plans to ensure that the biodiversity objectives are explicitly endorsed. All plans that fall under the SEDP will therefore be obliged to take these objectives into account. This level of integration has never been attempted before and represents a significant operational challenge, and learning opportunity, for MONRE. The Outcomes and Outputs under this component are described below.

***Outcome 2.1 Provincial capacity for NBSAP implementation, including biodiversity financing, enhanced and mechanism in place to report on biodiversity status and good practice from provincial to national levels.***

This Outcome is intended to build provincial commitment and capacities to mainstream NBSAP targets into local plans and action. This Outcome has two key geographic focus. The first Output is meant to increase knowledge and capacities of all provinces on the NBSAP, whereas the second Output is going to target two specific provinces. The third Output will build on knowledge and experiences nationally to communicate internationally and within the country. The lessons learnt from two selected provinces will be a major emphasis of this last Output.

***Output 2.1.1: Increased capacity of provincial authorities nation-wide to implement NBSAP and to report on progress.***

This Output builds the capacity of provincial authorities nation-wide to implement the NBSAP, the project will assist in the preparation of guidelines to assist provincial staff to integrate NBSAP priorities into development plans and prepare biodiversity financing plans based on a strategic analysis of financing needs, gaps, and opportunities from state and non-state sources, and three regional training courses for 150 provincial staff to introduce and explain the use of these guidelines. This outcome focuses on all 63 provinces and will provide a set of tools and methods to support NBSAP implementation at provincial levels. The provinces will require substantial technical assistance in implementing the NBSAP. Activities under this output will therefore focus on preparing guidelines, templates, and other materials that provincial authorities will need to ensure that land use and sectoral planning is consistent with the NBSAP priorities and targets. These materials will be tested at three provincial workshops, revised based in feedback from these workshops, and then distributed to all relevant provinces.

Once the guidelines and templates are delivered, additional capacity building will be required. Activities under this output include training 150 officials from DONRE, DARD, and DPI, and other provincial departments in three regional workshops. This will be done by Training Expert and through the formation of working groups. This training is needed to reinforce the skills and knowledge gained from the previous round of training. Training will be tailored to the environmental conditions of the priority provinces (coastal, deltaic, mountain, etc.). Since DONREs have a dual reporting line to MONRE and the PPCs, MONRE will have to establish strong relationships with these PPCs to ensure local political support for NBSAP implementation.

***Output 2.2.1: Provincial capacity built in 2 provinces to integrate biodiversity into spatial planning and influence annual development plans***

Whereas Output 2.2.1 delivers training and technical support to all provinces to support NBSAP implementation, this output will focus on assessing and working through the barriers to NBSAP implementation in two focal provinces. Focusing on two provinces for more intensive work will give MONRE practical experience in supporting NBSAP implementation. Activities under this output include the review of exiting land use plans and the 2011-2015 SEDPs in these provinces to identify actual and potential conflicts with NBSAP targets. These analyses will also highlight contradictions, overlaps, and gaps in policy that prevent effective implementation. Output 2.2.1 provides more intensive support for NBSAP implementation to two selected provinces. It includes hands-on assistance from MONRE to provincial staff with the collection of biodiversity data and information, the analysis of SEDPs and land use plans for their impact on biodiversity, development and testing of tools and techniques to integrate NBSAP priorities and targets

into land use plans, coordination with other projects and programs and testing explicit biodiversity criteria to include in annual performance evaluation systems.

Based on the review of the land use plans, MONRE will work with provincial partners to develop tools and techniques to integrate the NBSAP priorities and targets into these plans. Activities under this output include strengthening the use of GIS and remote sensing to monitor land use change, support for the preparation of high-quality EIAs, SEAs, and cooperation with local universities on monitoring of biodiversity conditions and trends, establishment of a special panel to ensure that project proposals are consistent with national regulations and NBSAP priorities and targets.

The review of land use and sectoral plans and development of tools and techniques will be underpinned by a training program for 5-10 provincial staff in the two focal provinces. Activities under this output include the design and delivery of 4-6 training courses for officials with strategic and managerial responsibility for reviewing and approving land use and sectoral plans. The project will also support the development of Spatial Biodiversity Assessments for two pilot provinces that will clearly show key biodiversity areas including PAs and those outside PAs to inform landuse planning.

In the past few years, there has been a proliferation of innovative biodiversity finance mechanisms, such as PES, conservation trust funds, biodiversity offsets, etc., all of which are in the early stages of development. This output will identify existing financial gap for implementing the NBSAP, identify potential sources of revenue for filling these gaps, assess the feasibility for these revenue sources, and develop a plan for operationalizing these revenue sources.

It is well established that implementation of environmental legislation in Viet Nam is weak and that a major barrier to its effective implementation is a personnel performance evaluation system that priorities economic performance to the exclusion of environmental performance. Activities under this output therefore include a review of the existing performance evaluation criteria and proposals to add explicit biodiversity criteria that will allow for much greater weight being given to biodiversity conservation in land use planning and decision-making. Given the sensitive nature of this task, MONRE may want to seek help from an organization such as the Central Institute for Economic Management (CIEM), which is the think tank for the Ministry of Planning and Industry (MPI) and is in a position to influence policy at the highest levels of government.

*Output 2.2.2: Experience and lessons learned from 2 pilot provinces documented and shared nationally.*

Outputs 2.1.1 and 2.2.1 are expected to generate significant experience and lessons learned that should be effectively captured and disseminated to enhance the momentum and political support for the implementation of new NBSAP. Activities under this output therefore include the review and synthesis of the results from the previous eight outputs, the preparation of policy briefs, web stories, and other communications materials, and the organizations of workshop to present and discuss the results of the NBSAP implementation experience. The work of disseminating lessons widely will be opportunities to frankly address policy and institutional barriers to more effective biodiversity conservation. This output will also make a significant contribution to the modernisation of Viet Nam’ CHM.

**2.5 KEY, INDICATORS, ASSUMPTIONS AND RISKS**

The project indicators for Objectives and Outcomes are presented in the Strategic Results Framework (see section 2.4 of this document) and are summarized in the table below:

	<b>Key Impact Indicators</b>	<b>Sampling Frequency</b>	<b>Location</b>
<b>Outcomes 1.1-1.2</b>	New NBSAP submitted to Prime Minister and, once approved, to the CBD	12/2012	Viet Nam

	5 <sup>th</sup> National Report submitted to CBD	3/2014	Viet Nam
	SOE reports submitted to National Assembly	Annual	Viet Nam
<b>Outcome 2.1-2.2</b>	NBSAP mainstreaming guidelines prepared	3/2013	Viet Nam
	150 provincial staff trained in NBSAP mainstreaming	9/2013	Viet Nam
	Provinces report on biodiversity achievements and challenges	Annual	Viet Nam
	Explicit biodiversity criteria proposed for performance evaluation	12/2013	Viet Nam
	Lessons learned from pilot provinces shared	12/2014	Viet Nam

Key risks and the mitigation measures for them are presented in the table below:

<b>Risk</b>	<b>Rating</b>	<b>Management Strategy</b>
State and non-state partners will not participate actively in NBSAP preparation – particularly by sub-national governments as they will not see the importance of NBSAP	Low	Early engagement by MONRE of potential partners will go a long way to mitigating this risk. NGOs are generally keen to cooperate and support a stronger role by MONRE in biodiversity conservation. The project has been developed with wide stakeholder consultation and this engagement will continue in project implementation as outlined in the section on Stakeholders and also in the Project Management arrangements. Strong stakeholder cooperation will also be essential for the actual implementation of plans – especially at Provincial and sub-provincial levels. Component/ Outcome 2 has been designed especially to ensure strong sub-national engagement of stakeholders.
Rapidly changing socioeconomic, biodiversity and climate context in Viet Nam will make any long term planning and target setting obsolete	Medium	Viet Nam has witnessed a rapid change in overall development context and this is set to continue. Whilst the proposed NBSAP will be for 10 years (2012 – 2020) period, the action plan will be developed for the first five years (2012 – 2016). Capacities and mechanisms will be developed in MONRE for regular updating of overall national context and to adapt the plan as necessary. In essence this will be a “living” plan subject to periodic adjustment based on changing policy conditions and field realities.
Provincial governments will continue to prioritize economic gains over biodiversity conservation	Medium-High	This situation is unlikely to be completely changed in the current context. Viet Nam aspires to go beyond lower middle income status, which implies continued high levels of economic growth and natural resource extraction. The project will address this risk by getting agreements early on with the two focal provinces selected under Outcome 2.2. Early engagement of these provinces will help them to understand importance of biodiversity conservation and therefore reduce the risk. The NBSAP will need to make the case for how biodiversity is important for current and future development – including economic development. The project will also make strong efforts to use economic rationale for biodiversity conservation and try to involve local Departments of Planning and Investment to raise their awareness for economic case for biodiversity.

## 2.6 EXPECTED GLOBAL BENEFITS

Under a business-as-usual scenario, Viet Nam’s biodiversity, including its several unique species recently discovered (and as noted earlier in this document) will continue to be lost due to a range of critical barriers, especially the lack of nationally agreed targets, mechanisms for their achievement and roles, responsibilities and actions of all stakeholders

across sectors and from national to local levels. Conservation investments in the country would continue to be programmed as individual projects and will continue to remain inadequate to meet the challenges for conservation. They will continue to be fragmented - addressing specific spatial or sectoral issues not based on highest conservation priorities per se, leading to limited overall conservation impacts. Future biodiversity investments in Viet Nam will continue to face systemic barriers nationally and sub-nationally, which individual sectoral or sub-national projects cannot effectively address. In the baseline, natural resource management in Viet Nam will continue to focus on maximising the provision of products and services, without effectively addressing the conservation of globally significant biodiversity.

The alternative scenario, with the implementation of this project, will government and other financing to catalyse a strategic national stocktaking and conservation prioritization exercise- leading to an increased knowledge, cooperation, effective planning and implementation for strong conservation outcomes. The proposed alternative ensures that present and future GEF investments in Viet Nam achieve greater catalytic impact and reach, and help to institutionalise the programming of GEF investments within the Government development frameworks at multiple levels.

The longer-term global biodiversity benefits that this project will ensure, based on the Aichi Targets, are projected as follows:

- Biodiversity values to be integrated into national and local development plans and planning processes (*Target 2*).
- Incentives that are harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the CBD and other relevant international obligations, taking into account national socio economic conditions (*Target 3*).
- Rate of loss of all natural habitats including forests, and degradation and fragmentation is significantly reduced (*Target 5*).
- The extinction of known threatened species will be prevented and their conservation status, particularly of those most in decline, will be improved and sustained (*Target 12*).
- Ecosystem resilience and the contribution of biodiversity to carbon stocks to be enhanced, through conservation and restoration, including restoration of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification (*Target 15*).
- Development, adoption of a policy instruments, and commencement of implementation of an effective, participatory and updated national biodiversity strategy and action plan (*Target 17*).
- Mobilization of financial resources for effectively implementing the CBD Strategic Plan 2011-2020 from all sources, and in accordance with the consolidated and agreed process in the Strategy for Resource Mobilization, to increase substantially from the current level (*Target 20*).

This project will also yield national benefits. The project focuses on institutional strengthening and improving overall coordination for conservation and provides an overarching policy framework for biodiversity conservation. By strengthening that framework, it will contribute to the overall institutional and policy framework for nature resource management, and therefore contribute to socio-economic and sectoral development. Specifically, the project has been designed to strengthen the conceptual and operational links between national planning and local implementation – and this will further support the government’s strong decentralized approach. Meanwhile, the project’s focus on strengthening the awareness and capacities of provincial governments on Viet Nam’s biodiversity wealth and its international commitments – will also brings about national benefits as local governments would also get better at promoting biodiversity based businesses or to better avail themselves to environmental (and especially biodiversity) finances available nationally and internationally.

## 2.7 FINANCIAL MODALITY

The project will address the identified barriers primarily through the delivery of technical assistance. This financial modality is considered the most appropriate means by which to strengthen the systemic planning and institutional capacities of the national system for biodiversity conservation. The barriers identified in the project relate to gaps in capacities, and barriers to mainstreaming biodiversity into sub national level. These will be addressed through the development of national plan, tools and models, and targeted capacity assistance to overcome capacity barriers.

## 2.8 COST EFFECTIVENESS

The project has been designed to be cost effective in several ways. Firstly, it will focus on building on the collective knowledge and experiences from government, non-government, academic institutions, NGOs and INGOs to plan for biodiversity conservation prioritization and developing action plan rather than seeking to do it by its own. It also focuses on the use of existing government mechanism to implement the programming that will come out from the national planning exercise rather than through any new mechanism – further ensuring cost-effectiveness. Most importantly, due to the development of national priorities and action plan for conservation, precious and limited resources available in the country will be used wisely – leading to less wastage of such resources.

This project's approach of combining STAR allocation with EA funds will also more cost-effective than developing and implementing two different projects. In addition to having technical logic to combine them for effective biodiversity planning at national and sub national levels, there will also be cost-effectiveness in this approach through savings made, as

- the recruitment costs of hiring consultants are reduced, as hiring two sets of consultants are higher than hiring them once
- monitoring and evaluation costs of one project (evaluation cost per unit cost of project investment) will be less for a combined project than two separate projects
- Management costs are also less for one project compared to two separate projects

## 2.9 SUSTAINABILITY

The project's sustainability has been ensured through the considerations of institutional, financial, social and environmental sustainability. These are described below.

- **Institutional sustainability:**

As noted in the cost-effectiveness section, the project will build the existing national institutional mechanism for biodiversity conservation rather than create new structures. The project will reaffirm MONRE's mandate and strengthen its capacity as the lead state agency responsible for biodiversity monitoring and reporting. The preparation of the NBSAP will enhance MONRE's profile and reputation as a source of up to date information on biodiversity conditions and trends. By setting priorities and targets, the project will also increase transparency and stakeholder confidence in the government's commitment to biodiversity conservation. The project will therefore go a long way toward the implementation of the Biodiversity Law. And by building partnership between state and non-state organizations, the project will establish a strong institutional basis for NBSAP implementation.

The project will also review and start to reform the incentive system that drives natural resource and land use decision making at the provincial level. This component is essential to ensuring the more effective transmission of policies from central to local levels. Currently, environmental policies and regulations have little impact because the incentive system does not include explicit biodiversity conservation criteria. Given the vested interests in the status quo, seeking to reform the performance evaluation system is a major challenge and one that will not happen absent international support and attention.



- **Financial sustainability:**

The government makes significant investments in biodiversity conservation, particularly through support to protected areas. But these investments are often complex, cumbersome, deliver relatively little conservation. In other words, improving the design of conservation investments is just as important as increasing total funding levels. By frankly assessing the costs and benefits of numerous conservation projects and programs, the NBSAP will shed light on how better to design, fund, and implement these efforts. With 15 years of internationally funded conservation experience, there is a long and detailed track record to review, which can serve as the basis for formulating recommendations on conservation financing that are realistic and evidence-based. These are expected to lead to increased and more sustainable investment in biodiversity conservation, better tracking of investments (and allocation) by other stakeholders based on identified national priorities, and further raising of funds through innovative finances for critical gaps in conservation financing.

- **Social sustainability:**

The NBSAP will pay special attention to the ecosystem such as wetlands and forests on which the poor depend disproportionately. The loss of wetlands through encroachment and pollution has major public health impacts and their effective protection and sustainable use is expected to be a major NBSAP recommendation. This recommendation is not new but the project will through the NBSAP preparation and other project components increase the probability that existing wetlands protection regulations are enforced. Water pollution is a public issue in Viet Nam and the NBSAP is an opportunity to galvanize public opinion in favor of tougher law enforcement. By contributing to the better management of Viet Nam's natural resources, the project will support the livelihoods of the poorest and most natural resource-dependent communities and thereby contribute to increased social sustainability. The project's impacts on conserving the ecosystems those contribute to goods and services to the nation as a whole and especially on which the poorest depend, will aid social sustainability. The adaptation benefits of ecosystems to the predicted climate change impacts on Viet Nam will also be accounted in national planning and prioritization so that they are further enhanced. These will have additional social benefits in the longer term for Viet Nam. Many of the threats to biodiversity are also detrimental to human well being – such as pollution of rivers. By addressing several of the threats to biodiversity, gains will also be made in social sustainability.

- **Environmental Sustainability:**

As noted in the global environmental section of this document, the main objective of the project is on enabling Viet Nam to conserve and sustainably use its biodiversity and that this will contribute directly to Viet Nam's environmental sustainability.

- **Capacity building as a means for sustainability**

The capacities built by the project will directly contribute to the sustainability of project Outcomes. UNDP's approach to capacity building is based on focusing on four drivers of change: 1) institutional arrangements, 2) leadership, 3) knowledge and 4) accountability.

This project focuses on all these aspects of these, which are outlined below:

***Institutional arrangements and leadership:*** The barrier analysis of the project has noted that that though a national lead agency for biodiversity conservation planning, implementation and reporting (BCA under MONRE) has been created, it is relatively new and has inadequate capacities. In addition, the mechanisms to work formally with other relevant Ministries and other stakeholders is also currently absent. Therefore, *Output 1.1.1: Enhanced institutional arrangements and capacities to synthesize, analyze, and report on performance toward biodiversity targets in place* will specifically build their capacities internally as well as to coordinate and work with other externally and beyond just the preparation of NBSAP to also implementation of the NBSAP. These will directly contribute to ongoing revisions and updating of NBSAP as required (Outcome 1) as well as continued communication on biodiversity status, trends, and actions nationally and internationally (Outcome 2). The institutional mechanism at provincial level is also made explicit under Output 2.2.1 as Institutional mechanisms to coordinate with other projects and programs to ensure consistency with NBSAP priorities. The issues of **leadership** are subsumed under this heading. Here not only institutional leadership is recognized but also personal skills of leadership and at institutional level.

**Knowledge:** The major focus of the project is the acquisition of available best knowledge on the status of biodiversity, threats, actions and additional actions required etc. The project has several Outputs that lead to this – especially Outputs 1.2.1 and 1.2.2. The aim of the project would be to ensure that these outputs are also included as continued actions required in the NBSAP so that they continue beyond the end of the project as an on-going process.

**Accountability:** The project has incorporated accountability issues at national level by ensuring the inclusion of and highlighting biodiversity performance in the annual State of the Environment Reports that is submitted by MONRE to the National Assembly. At the Provincial level, biodiversity the project will support the testing of performance criteria in performance evaluation systems that will assist in accountability of relevant provincial staff.

## **2.10 REPLICABILITY**

This project's strong partnership approach (by bringing together all key conservation stakeholders) and it's a strong knowledge management and lesson learning focus allows for best practices from different parts of the country to be documented so that all can learn and replicate the best available practices. As the project is also strengthening the capacities of key government agencies to plan, monitor and promote best practices, replication impacts are expected to be greater due to the impacts of this project's actions. Viet Nam has a strong decentralized approach for development planning and the national approach for biodiversity planning through the partnership approach could adopted and replicated at the sub-national level.

### III. PROJECT RESULTS FRAMEWORK

Hierarchy of Objectives/Outcomes	Indicator	Baseline	End of project target	Source of Verification	Risks and Assumptions
<p><b>Objective:</b> Strengthen biodiversity conservation in Viet Nam by increasing the supply of policy relevant, actionable information through preparation of a revised NBSAP that complies with CBD guidelines and Biodiversity Law; and by increasing the demand for this information by building provincial level capacity to integrate NBSAP results into land use plans.</p>					
<p><b>Outcomes 1.1-1.2:</b> NBSAP and 5<sup>th</sup> National Report to CBD prepared in compliance with Biodiversity Law and CBD Strategic Plan 2011-2020.</p>	NBSAP with clear implementation plan	NBSAP prepared in 1995, with an addendum in 2007 is out of date and do not reflect changes in national and international context, such as new CBD guidelines and 2008 Biodiversity Law.	<p>New 10-year NBSAP with clear institutional design and financing plan approved by government by 12/2012 and thereafter submitted to the CBD. To include:</p> <ul style="list-style-type: none"> <li>Prioritizing biodiversity through economic valuation of goods and services.</li> <li>Restoring and safeguarding ecosystems that provide essential services.</li> <li>Assessment of protected area design and management effectiveness.</li> <li>Conservation status of selected species (re)assessed based on international criteria, e.g., Red List.</li> <li>Assessment of rules and procedures for species reintroductions.</li> <li>plan for capacity development for NBSAP implementation.</li> <li>Technology needs assessment communication and outreach strategy for the NBSAP.</li> <li>plan for resource mobilization for NBSAP implementation</li> <li>assessment of opportunities of mainstreaming into selected sectoral plans such as development, poverty reduction and climate change plans through sectoral consultations</li> <li>Clearing House mechanism</li> </ul>	New NBSAP.	Key national stakeholders and NGOs share essential data and information, and actively participate in NBSAP development process.
	National reports on biodiversity status, trends, causes and consequences; and actions.	1 <sup>st</sup> to 4 <sup>th</sup> National Reports submitted to CBD.	5 <sup>th</sup> National Report submitted to CBD by 2014.	5 <sup>th</sup> National Report.	Government agencies aware of and committed to biodiversity conservation.
		Annual SOE reports to national assembly do not contain up-to-date data on biodiversity status and trends.	By 2014, at least two SOE reports submitted to National Assembly to reflect latest biodiversity data.	Annual SOE reports.	International organizations and NGOs actively support government in building capacity for

Hierarchy of Objectives/Outcomes	Indicator	Baseline	End of project target	Source of Verification	Risks and Assumptions
	National GIS based map of key biodiversity information	Comprehensive national database that is geo referenced on maps are not available	GIS map that has key biodiversity information (hotspots, PAs, ongoing projects etc.) available for wider use and dissemination	Project report	biodiversity conservation.
<b>Outcomes 2.1-2.2:</b> Provincial commitment and capacity strengthened to implement NBSAP.	Provincial capacity for NBSAP implementation.	Provincial staffs have very limited capacity and skills to implement NBSAP and connect land use with ecosystem functions, and biodiversity.	Provincial capacity for NBSAP implementation, including biodiversity financing, enhanced for up to 20 provinces through: Guidelines developed to support to NBSAP realization at provincial level. Up to 150 provincial staffs trained.	Training materials and training reports.  Guidelines for NBSAP implementation.	Provinces effectively participate in training.
	Biodiversity reporting mechanism.	No guidelines or legal requirements or procedures exist to support provinces to report to central government.	Mechanism in place to report on biodiversity status and good practice from provincial to national levels.	Guidelines and legal procedures.	Provinces commit to NBSAP implementation.
	Provincial implementation of NBSAP priorities.	Land use plans do not explicitly incorporate biodiversity conservation priorities.	NBSAP priorities implemented in 2 provinces through: Land use plans updated to incorporate NBSAP priorities. Biodiversity criteria tested and proposed for inclusion in provincial performance assessment systems.	Updated land-use plans.  Set of biodiversity criteria.	Selected provinces commit and actively mainstream their biodiversity priorities into land use plans.
	Spatial Biodiversity Assessment	Currently maps that highlight key biodiversity information at provincial levels do not exist	Biodiversity spatial assessment for two provinces prepared	Maps	Provinces have adequate data available
	Experience and lessons learned from 2 pilot provinces documented and shared nationally.	Little cross-provincial learning on biodiversity planning takes place.	Results from piloted provinces considered for replication to other provinces	List of project documents, lessons learned disseminated.  Workshop reports.	Good results achieved from pilot mainstreaming.

#### IV. TOTAL BUDGET AND WORKPLAN

<b>Award ID:</b>	00063449	<b>Project ID(s):</b>	00080525
<b>Award Title:</b>	Viet Nam Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning.		
<b>Business Unit:</b>	VNM10		
<b>Project Title:</b>	Viet Nam Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning.		
<b>PIMS no.</b>	4811	<b>Implementing Partner (Executing Agency)</b>	MONRE

GEF Component (Outcome)/ Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	ERP/ ATLAS Budget Code	ATLAS Budget Description	Total Amount (USD)	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Budget Notes
<b>Component 1:</b> New NBSAP and 5th National Report to CBD prepared in compliance with Biodiversity Law and CBD Strategic Plan 2011-2020	BCA/VEA (MONRE)	62000	GEF-10003	71200	International Consultants	40,000	30,000	10,000	0	A
		62000	GEF-10003	71300	Local Consultants	93,000	78,000	15,000	0	B
		62000	GEF-10003	71600	Travel	12,000	8,000	4,000	0	C
		62000	GEF-10003	72100	Contractual Services-Companies	56,800	46,000	10,800	0	D
		62000	GEF-10003	72400	Communic&Audio Visual Equipment	4,000	3,000	1,000	0	E
		62000	GEF-10003	74500	Miscellaneous Expenses	6,000	3,000	3,000	0	F
<b>GEF Subtotal Atlas Activity 1 (Component 1)</b>						<b>211,800</b>	<b>168,000</b>	<b>43,800</b>	<b>0</b>	
<b>Component 2:</b> Provincial commitment and capacity strengthened to implement NBSAP	BCA/VEA (MONRE)	62000	GEF-10003	71200	International Consultants	32,000	0	15,000	17,000	G
		62000	GEF-10003	71300	Local Consultants	161,700	25,000	80,000	56,700	H
		62000	GEF-10003	71600	Travel	25,000	6,000	15,000	4,000	I
		62000	GEF-10003	72100	Contractual Services-Companies	310,700	40,000	200,700	70,000	J
		62000	GEF-10003	72400	Communic & Audio Visual Equip	10,000	5,000	5,000	0	K
		62000	GEF-10003	72500	Supplies	10,000	2,000	4,000	4,000	L
		62000	GEF-10003	72800	Information Technology Equipmt	8,000	8,000	0	0	M
		62000	GEF-10003	74200	Audio Visual & Print Prod Costs	52,000	5,000	32,000	15,000	N

GEF Component (Outcome)/ Atlas Activity	Responsible Party/ Implementin g Agent	Fund ID	Donor Name	ERP/ ATLAS Budget Code	ATLAS Budget Description	Total (USD)	Amount Year (USD)	1 Amount Year 2 (USD)	3 Amount Year (USD)	Budget Notes
		62000	GEF-10003	74500	Miscellaneous Expenses	5,246	1,000	2,246	2,000	O
<b>GEF Subtotal Atlas Activity 2 (Component 2)</b>						<b>614,646</b>	<b>92,000</b>	<b>353,946</b>	<b>168,700</b>	
<b>Project Management</b>	BCA/VEA (MONRE)	62000	GEF-10003	71300	Local Consultants	64,200	21,400	21,400	21,400	P
		62000	GEF-10003	72200	Equipment and furniture	5,000	2,000	2,000	1,000	Q
		62000	GEF-10003	71600	Travel*	8,000	2,000	3,000	3,000	R
		62000	GEF-10003	74500	Miscellaneous*	5,445	1,445	2,000	2,000	S
	<b>Sub-total Project Management</b>						<b>82,645</b>	<b>26,845</b>	<b>28,400</b>	<b>27,400</b>
<b>GEF PROJET TOTAL</b>						<b>909,091</b>	<b>286,845</b>	<b>426,146</b>	<b>196,100</b>	

#### Summary of Funds: <sup>8</sup>

<b>GEF</b>	<b>286,845</b>	<b>426,146</b>	196,100	<b>909,091</b>
<b>UNDP (through another award)</b>	50,000	200,000	50,000	300,000
<b>IUCN</b>	150,000	70,000	30,000	250,000
<b>JICA</b>	1,000,000	2,000,000	800,000	3,800,000
<b>Government</b>	50,000	100,000	50,000	200,000
<b>TOTAL</b>	<b>1,536,845</b>	<b>2,796,146</b>	<b>1,126,100</b>	<b>5,459,091</b>

<sup>8</sup> Summary table should include all financing of all kinds: GEF financing, co-financing, cash, in-kind, etc.

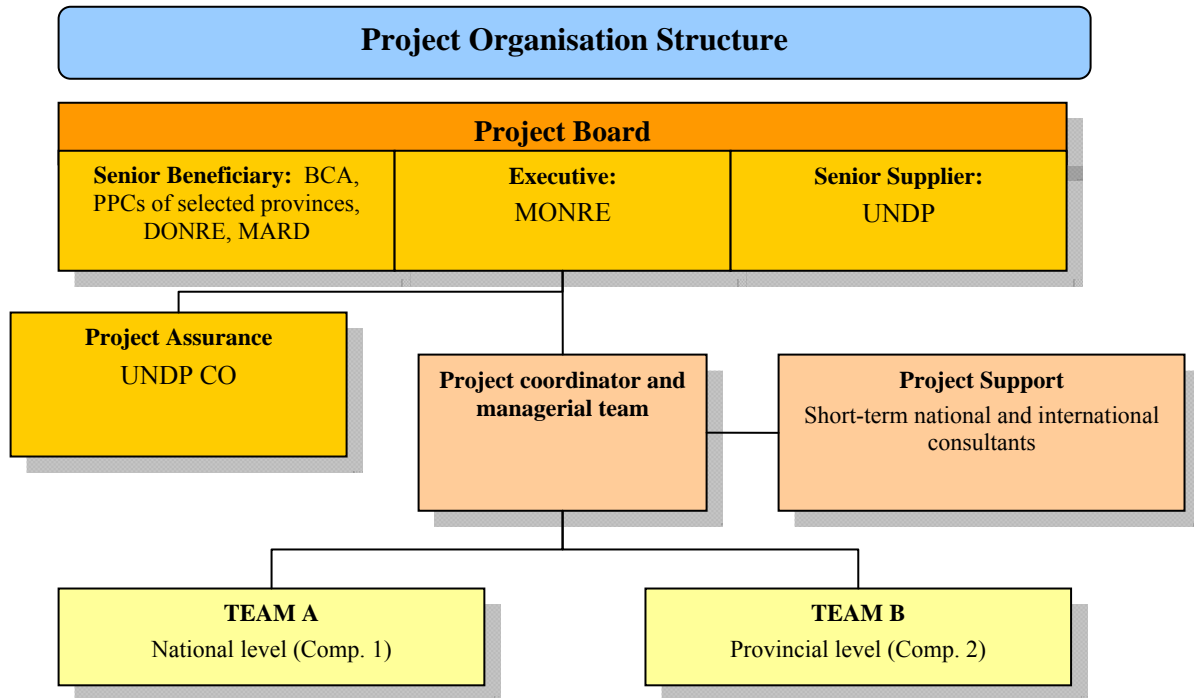
<b>Budget Notes</b>	
<b>Comp 1</b>	
A	International Consultants: International Biodiversity expert @3000 dollars per week for 13 weeks. This consultant will also contribute to Outcome 2 and thus the total budget has been separated into the two components.
B	Local Consultants: <ul style="list-style-type: none"> <li>• Training and communication experts@ 750 dollars per week for 14 weeks</li> <li>• Policy expert@750 dollars per week for 25 weeks</li> <li>• Planning expert@750 dollars per week for 20 weeks</li> <li>• Biodiversity expert@750 per week for 65 weeks</li> </ul>
C	Travel: at least one most economical return international air fare and per diems in Viet Nam for the international consultant
D	Contractual Services-Companies: This contact will be for the final preparation, layout of NBSAP in English and Vietnamese languages and their distribution as well as for National GIS based map of key biodiversity information.
E	Audio Visual & Print Prod Costs: This will be for the purchase of audio-visual equipments (1 set) so that awareness on the process and outcomes of NBSAP can be shared at meetings and workshops at national level
F	Miscellaneous Expenses: Communications, photocopies etc.
<b>Comp 2</b>	
G	International Consultants: Same consultant as A for Component 2; at 3000 dollars per week for 10.7 weeks. This includes 2-week for final evaluation of the project.
H	Local Consultants: <p>Training and communication expert @750 dollars per week for 35.6 weeks</p> <p>Policy experts@750 per week for 36 weeks</p> <p>Financing experts@750 dollars per week for 24 weeks</p> <p>Planning experts@750 dollars for 48 weeks</p> <p>Biodiversity experts@750 dollars per week for 72 weeks</p>
I	Travel: This will include local travel and per diems for consultants to organize meetings/ consultations nationally, and at least one most economical return international air fare and per diems in Viet Nam for the international consultant
J	Contractual Services-Companies: NGOs, academia, institutions, etc. to support mainstreaming process, do researches, including preparation of guideline, tools and techniques for mainstreaming of biodiversity into land-use planning as mentioned in outputs 2.1.1 and 2.2.2; and to assist provinces to draft and implement mainstreaming plans with assistance of NGOs, national consultants and others as well as for the preparation of Spatial Biodiversity Assessment Maps
K	Communic & Audio Visual Equip: This will be for the purchase of audio-visual equipments (2 sets) so that awareness on the process and outcomes of NBSAP can be shared at meetings and workshops at sub-national level
L	Supplies: Computers, photo copy machines for the two pilot provinces
M	Information Technology Equipmt: GIS software for the two pilot provinces
N	Audio Visual & Print Prod Costs: Support to provincial government to widely disseminate the importance of biodiversity conservation through development and production of locally suitable communication materials/products (videos/ pamphlets) and their dissemination, and training

<b>Budget Notes</b>	
	materials.
O	Miscellaneous Expenses: job advertisements, ad hoc travels, unexpected activities, telephone cost, postages costs, etc.
<b>Project Management</b>	
P	Service contract – individuals: this is for salary of (1) Project Coordinator and (2) project accountant and assistant
Q	Office facilities, equipment, vehicles and communications*: computers, photo and fax machine, office furniture, stationeries
R	Travel*: travel costs for the project team
S	Others*: bank transfer fees, telephone costs, postages costs, insurance and security costs, plus unforeseen expenses, including exchange rate fluctuations etc.



## V. MANAGEMENT ARRANGEMENTS

The project will be implemented under the UNDP National Implementation Modality (NIM), which for GEF corresponds to national execution of the project by the Government. Specifically MONRE will act as the Implementing Partner (IP) given its formal role as lead institution in the biodiversity sector for Government of Vietnam. The project is co-financed and as such will also include major participation from JICA, IUCN and others. These agencies, as well as national stakeholder agencies will be involved both in the managerial as well as in the technical implementation of the project.



**Figure 3:** Project organization structure

### 3.1 PROJECT IMPLEMENTATION ARRANGEMENT:

The project will be implemented over a period of three years. It will follow the National Implementation (NIM) modality with procedures set out in the Harmonized Programme and Project Management Guidelines (HPPMG) approved by the government of Vietnam and UN agencies. The implementing structure will include a project Steering Committee (PSC) and a Project Management Unit (PMU) as follows:

#### National Implementing Partner

As the national implementing partner (NIP) for the project, MONRE is accountable to the government and UNDP for ensuring (1) the substantive quality of the project, (2) the effective use of both national and UNDP resources allocated to it, (3) the availability and timeliness of national contributions to support project implementation and (4) the proper coordination among all project stakeholders, particularly national parties.

### Responsible Party

MONRE will assign VEA/BCA to be the Project main responsible party. BCA will be the lead organization in the project, acting for MONRE and working with various departments, offices and institutes in MONRE, MARD and other stakeholders. As the day-to-day implementer of the project activities, BCA is responsible for mobilizing all national and international inputs to support project implementation, organizing project activities in accordance with the agreed work plan, and on quarterly basis reporting to MONRE and UNDP on the progress as well as financial status of the project.

### Project implementation structure

The project implementation structure will be set up to include:

- Inter-Ministerial Drafting Committee
- Project Steering Committee.
- Project Management Unit.

An Inter-Ministerial Drafting Committee (IMDC) comprising the representatives from various ministries, such as MONRE, MARD, MPI, MOF, National Assembly, Office of Government, etc, will be set up to support the project implementation, review contents of NBSAP, and make sure that the final NBSAP is to be in line with government and sectoral policies.

VEA will convene the Project Steering Committee (PSC), which will serve as the project's coordination and decision-making body. The PSC will be chaired by leader of VEA and line ministries as appropriate. It will meet every six months, or more often on an ad hoc basis, if necessary. The PSC will make all necessary decisions and provide guidance for implementation of project activities, including approval of the overall project work plan, and budget revisions. It will ensure that the project remains on course to deliver products of the required quality to meet the outcomes defined in the project document. Specific responsibilities of the PSC include:

- Mobilizing technical assistance in support for the achievement of all project outcomes where joint responsibilities have been identified with MONRE.
- Undertaking appropriate technical inputs, coordination, monitoring and detailed (annual, quarterly) work planning and reporting to UNDP.
- Approving overall project work plan and final project terminal report.
- Ensuring that work being undertaken does not duplicate or simply replicate the work of relevant ministries but builds on the best practices to add incremental value to the work of the project.

To assist the BCA in implementing the project, a Project Management Unit (PMU) will be established. The PMU will be responsible for the following tasks:

- Prepare an inception report including detailed work plan and identification of target provinces/cites.
- Support the PSC and translate their guidance into day-to-day project coordination and management.
- Provide technical support to MONRE for implementation efforts to achieve the project outcomes.
- Mobilize technical assistance in support of the achievement of all project outcomes.
- Undertake project monitoring, budget management, detailed work planning (annual, quarterly), and fulfilling report needs to government and international donors.
- Prepare regulation for the project operation.

The PMU will be hosted in BCA and will comprise of the following positions:

- National project director (NPD), (in kind contribution from the Government, part-time).
- Project Coordinator (PC) (recruited, 36 months, full-time).
- Project Accountant and Assistant (PAA) (recruited, 21 months, part-time)

The NPD who is often the director or the deputy director of BCA will be officially appointed by MONRE. He/she will head the PMU and will be accountable to MONRE for the use of project resources and to deliver on outcomes. The NPD will manage the implementation of all project activities and will work closely with all partner institutions to link the project with complementary national programs and initiatives. The NPD is accountable to VEA and the PSC for the quality, timeliness, and effectiveness of the activities carried out, as well as for the use of funds. The NPD will also be technically supported by contracted national and international consultants and service providers. Recruitment of specialist services for the project will be done by the NPD, in consultation with the UNDP and the VEA. The NPD will not be paid from the project funds, but will represent a government in kind contribution to the project.

Consultants hired by the project will be recruited using either HPPMG approved by government and UN agencies or standard UNDP CO recruitment procedures and will report directly to the NPD.

#### UNDP-CO support

Working closely with MONRE, UNDP-CO as the Implementing Agency will be responsible for: (1) providing financial and audit services to the project; (2) recruitment of project staff (3) overseeing financial expenditures against project budget; (4) appointment of independent financial auditors; (5) organization of end of project evaluation; and (6) ensuring that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures. Two UNDP staff members will be assigned with the responsibility for the day-to-day management and control over project finance.

#### Financial management mechanism

MONRE will maintain overall accountability for the proper financial management of inputs. With support from the PMU, MONRE will formulate detailed annual and quarterly work plans and financial plan and reports and submit them to the UNDP on the use of project resources as per the NEX guidelines. The PMU will be responsible for ensuring that an annual NEX audit of the project is carried out in line with guidance from UNDP/GACA. MONRE will be held accountable to follow up on recommendations by auditors.

#### Public information and advocacy

In order to accord proper acknowledgement of GEF and UNDP for providing funding and technical assistance, GEF and UNDP logos should appear on all relevant project publication, including among others, project hardware and project assets purchased with the project funds. Any citation on publications should also accord properly acknowledge to GEF and UNDP.

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## **VI. MONITORING FRAMEWORK AND EVALUATION**

The project will be monitored through the following M& E activities. The M& E budget is provided in the table below.

## **Project start:**

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop will address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

## **Quarterly:**

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. All financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) will be generated in the Executive Snapshot.
- Other ATLAS logs will be used to monitor issues, lessons learned The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

## **Annually:**

- Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and GEF reporting requirements. The APR/PIR will include, but is not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project outcome (annual).
- Lesson learned/good practice.
- AWP and other expenditure reports
- Risk and adaptive management
- ATLAS QPR
- Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

The UNDP HQ will provide the template for annual PIR that MONE will prepare with support from project personnel, UNDP CO and UNDP-GEF RCU as required.

### **Periodic Monitoring through site visits:**

The projects implementing agency (MONRE), UNDP CO and the UNDP RCU may conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and Project Board members.

### **End of Project:**

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

An independent Final Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-GEF. The Terminal Evaluation will provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#). The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

### **Learning and knowledge sharing:**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

## Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo.

The GEF logo can be accessed at:

[www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo)

The UNDP logo can be accessed at

<http://intra.undp.org/coa/branding.shtml>

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

The GEF Guidelines can be accessed at:

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf)

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

## M& E work plan and budget:

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP GEF</li> </ul>	Indicative cost: 10,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> </ul>	None	Annually

<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$</b> <i>Excluding project team staff time</i>	<b>Time frame</b>
	<ul style="list-style-type: none"> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>		
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>	None	Quarterly
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	20,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ local consultant</li> </ul>	Printing costs, if any	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project manager and team</li> </ul>	Indicative cost : 4,000 (average 2,000 per year)	Yearly
Visits to field sites	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 34,000	

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## VII. LEGAL CONTEXT

This document together with the CPAP signed by the Government of Vietnam and UN agencies on June 2008 which is incorporated by reference constitutes together the instrument envisaged in the [Supplemental Provisions](#) to the Project Document, attached hereto.

Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.



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## VIII. ANNEXES

### 4.1 TERMS OF REFERENCE

#### **National Project Director (NPD) (part-time, 30%)**

The NPD is appointed by the Government of Vietnam. He/she will be accountable to both the Government and the UNDP. The main duties and responsibilities are:

- Ensures that the expected results of the project are of satisfactory substantive quality and that they contribute to the achievement of the intended outcome identified in the UN One Plan. This will be discharged through the (i) approval of project work plans, TORs, reports, (ii) follow-up on the implementation of recommendations made by regular project reviews and/or external evaluations, and (iii) conduct of internal reviews and evaluations as/if needed.
- Ensures that project resources, national as well as international, are effectively utilized for their intended purposes through the (i) verification of project budgets and payments, (ii) approval of budget revisions within the agency flexibility limit, (iii) follow-up on the implementation of recommendations made by external audits and (iv) conduct of internal audits as/if needed.
- Ensures that counterpart funds are made available by the Implementing Partner in sufficient quantities and in a timely manner to support project implementation.
- Ensures that project parties, particularly national parties (including the Implementing Partner) fully participate in project implementation, effectively collaborate in project activities and duly benefit from project results.
- Ensures that the results achieved and lessons learned by the project are properly documented, proactively disseminated to and duly shared with all project parties, particularly national parties.
- Selects, arranges for the appointment of and supervises the Project Coordinator (PC), in consultation with UNDP, to make sure that the PC and other national project staff are empowered to effectively perform their day-to-day project duties.
- Selects, arranges for the appointment of International Consultants, in consultation with UNDP, to make sure that international project personnel contribute expert inputs of the highest quality to the expected outputs of the project.
- Represents the Implementing Partner at major project reviews, evaluations, audits and other important events.
- Provide regular updates to the PSC.

#### **Project Coordinator (PC) (full time)**

Overall, the PC will be responsible for the day-to-day running the project, including overall coordination, planning, management, implementation, monitoring & evaluation and reporting of all project activities:

1. Prepare and update project work plans (AWP and QWP), and submits these to the NPD and UNDP for clearance.
2. Ensure that all agreements with implementing agencies are prepared, negotiated and agreed upon.
3. Prepare TORs for key inputs (i.e. personnel, sub-contracts, training, and procurement) and submits these to the NPD and UNDP for clearance, and administers the mobilization of such inputs.
4. With respect to external project implementing agencies/ sub-contractors:
  - a. ensuring that these agencies mobilize and deliver the inputs in accordance with their letters of agreement or contracts, and

- b. Providing overall supervision and/or coordination of their work to ensure the production of the expected outputs.
5. Assume direct responsibility for managing the project budget by ensuring that:
  - a. project funds are made available when needed, and are disbursed properly,
  - b. expenditures are in accordance with the project document and/or existing project work plan,
  - c. required financial reports are prepared,
  - d. financial operations are transparent and financial procedures/regulations for NEX projects are properly applied; and
6. Assume direct responsibility for managing the physical resources (e.g. vehicles, office equipment, and furniture) provided to the project by UNDP.
7. Supervise the project staff and local or international short-term experts/consultants working for the project.
8. Prepare project progress reports of various types and the Final Project Report as scheduled, and organizes review meetings and evaluation missions in coordination with UNDP.
9. Report regularly to and keeps the NPD and UNDP PO up-to-date on project progress and problems.

*Selection criteria*

- University degree (preferably post-graduate degree) in environment management, natural resources management or related fields;
- Knowledge of Result-based management and at least 07 years of experience in project coordinator/management;

**Project Accountant and Assistant (PAA) (part-time)**

This Project Accountant/Assistant Position has two roles: as an Administrative Assistant and as an Accountant with the following duties:

As a Project Assistant, he/she to

1. Provide assistance in the operational management of the project according to the project document and the NEX procedures.
2. Provide support in preparing project events, including workshops, meetings (monthly, quarterly and annual), study tours, trainings, etc., as required.
3. Take care of project telephone, fax, and email system;
4. Assist with preparation of TORs and contracts for consultants for project activities.

As a Project Accountant, he/she to

1. Prepare quarterly advance requests to get advance funds from UNDP in the format applicable.
2. Assist the PC and NPD in project budget monitoring and project budget revision.
3. Set up accounting system, including reporting forms and filling system for the project, in accordance with the project document and the NEX procedures;
4. Maintain petty cash transactions. This includes writing of receipts, preparation of payment request form, receipt and disbursement of cash and clearance of advances;
5. Prepare cheques and withdraw money from the bank;
6. Prepare project financial reports and submit to PC and NPD for clearance and furnish to UNDP as required;
7. Enter financial transactions into the computerised accounting system;
8. Reconcile all balance sheet accounts and keep a file of all completed reconciliation;

9. Check and ensure that all expenditures of projects are in accordance with NEX procedures. This includes ensuring receipts to be obtained for all payments;
10. Check budget lines to ensure that all transactions are booked to the correct budget lines;
11. Follow up bank transfers. This includes preparing the bank transfer requests, submitting them to the bank and keeping track of the transfers;
12. Ensure Petty Cash to be reviewed and updated ensuring that there is up-to-date records;
13. To continuously improve system & procedures to enhance internal controls to satisfy audit requirements.
14. Prepare monthly bank reconciliation statement, including computation of interests gained to be included into reports.
15. Maintain the inventory file to support purchases of all equipment/assets.
16. Undertake other relevant matters assigned by the NPD.

#### *Selection criteria*

- University degree in accounting, finance or related fields;
- Solid experience of budgeting, planning and reporting on foreign funded project.
- Knowledge in administrative and accounting procedures of the Government
- Good computer skills in common word processing (MS Word), spreadsheet (MS Excel), and accounting software.
- Appropriate English language skills, both spoken and written.

#### **Training expert**

To develop and deliver training curriculum to support NBSAP implementation and mainstreaming at provincial levels (**Outputs 1.2.2, 2.1.1 and 2.2.1**). The key tasks are:

- Develop training curriculum to facilitate NBSAP implementation at provincial level and the incorporation of NBSAP priorities and targets into provincial level planning.
- Include in the curriculum guidelines and tools and techniques developed under this project for in cooperation/mainstreaming of biodiversity priorities into provincial development and land-use planning
- Develop links with regional training institutions and programs to capture and apply best practice in adult education.
- Design and deliver training workshops using the international best practices in the areas of adult education.
- Design and carry out tests to assess the impact of the workshops in terms of increased knowledge and skills.
- After the workshops follow up with individual trainees as required.
- Any other duties assigned by the NPD that have direct relevance to the project.

*Selection criteria:* should have a BA in environmental management, biodiversity conservation management and/or related field with a minimum of 10 years experience in biodiversity training, strategic planning and policies and legislation. Proficiency in biodiversity; Good spoken and written in Vietnamese and English

#### **Policy expert**

To advise on biodiversity policy in both the preparation of the NBSAP and NBSAP mainstreaming at provincial levels (**Outputs 1.2.1, 2.1.1, and 2.2.1**). The key tasks are:

- Review all key policy and legal documents relevant to biodiversity conservation and management in Vietnam, including international policies and legal document
- Carry out and/or supervise specific policy studies as requested by the NPD.

- Research policy gaps, barriers and incentives frameworks in the extractive and other high biodiversity impacts sectors.
- Lead research into the incentive frameworks governing land use planning at the provincial level.
- Design and test explicit biodiversity criteria in performance evaluation systems for provincial officials.
- Work with international consultants to ensure national biodiversity policies and legislation are reflected in the NBSAP and its mainstreaming process.

*Selection criteria:* should have a BA in legislation, environmental management, or related field with a minimum of 10 years experience in policy and legislation area. Experience in working with ODA projects and donors; Good spoken and written English.

### **Financing expert**

To advise on biodiversity financing policy and mechanisms both in preparation of the NBSAP and NBSAP mainstreaming at provincial levels (**Outputs 1.2.1, 2.1.1, and 2.2.1**). The key tasks are:

- Review all key policy and legal documents relevant to biodiversity financing in Vietnam and internationally.
- Carry out and/or supervise specific biodiversity financing studies as requested by the NPD.
- Recommend specific financial policies and instruments for use in NBSAP.
- Working with international consultant to support government development financial mobilization plan

*Selection criteria:* should have a BA in environmental economy, economy, environmental management, or related field with a minimum of 10 years experience in environmental financing. Experience with protected area financing in Viet Nam including PES systems is desired; work experience in development projects and donors; Good spoken and written English.

### **Planning expert**

To advise on strategic biodiversity planning, including mainstreaming and land use planning, in both the preparation of the NBSAP and NBSAP mainstreaming at provincial levels (**Outputs 1.2.1, 2.1.1, and 2.2.1**). The key tasks are:

- Review all key planning documents including guidelines relevant to biodiversity conservation in Vietnam.
- Review the latest data and information from state and non-state sources to assess key land cover changes over past 15 years.
- Identify the major threats and gaps that current planning policy and practice pose to biodiversity.
- Carry out and/or supervise specific biodiversity planning studies as requested by the NPD.
- Provide specific policy recommendations for use in NBSAP development and mainstreaming.
- Support the selected provinces in mainstreaming biodiversity conservation priorities into provincial planning
- Capture lessons learnt from NBSAP preparation, implementation and mainstreaming
- On the job training to provincial staff in biodiversity mainstreaming,

*Selection criteria:* should have a BA in environmental management, natural resource management or related fields with a minimum of 10 years experience in environmental and/or biodiversity strategic planning. Experience in working with ODA projects and planning system in Vietnam. Good spoken and written English.

## **Biodiversity expert**

To support the international biodiversity expert in all matters related to the preparation of the NBSAP and NBSAP mainstreaming at provincial levels (**all Outputs except Output 2.3.1**) with specific reference to biodiversity data and information. The key tasks are:

- Compile and review all reports in Vietnamese on biodiversity in Viet Nam published over the last 15 years.
- Liaise with government agencies to capture the latest information and insights on biodiversity conditions and trends.
- Carry out and/or supervise specific biodiversity analyses as requested by the international biodiversity expert.
- Participate in all relevant NBSAP preparation meetings to capture stakeholder feedback.
- Support the selected provinces in mainstreaming biodiversity conservation priorities into land-use plan.
- Work with planning expert to support the selected provinces in mainstreaming of biodiversity priorities into provincial land-use plan
- Support the project to capture lessons learnt from NBSAP preparation, implementation and mainstreaming.

*Selection criteria:* should have a BA in biology, zoology, or related field with a minimum of 10 years experience in assessing biodiversity data and information. Experience with the IUCN Red List and plant and animal taxonomy in Viet Nam desired. Work experience in ODA projects and international donors including UNDP; Good spoken and written English desired

## **International I Biodiversity and planning expert**

To advise on all matters related to the preparation of the NBSAP and NBSAP mainstreaming at provincial levels (**all Outputs except Output 2.3.1**). The key tasks are:

- Guide and advice BCA and key stakeholders preparing the NBSAP and its mainstreaming into provincial level.
- Advise BCA in development of guideline and tools/techniques for mainstreaming of biodiversity priorities into development and land-use planning.
- Review the draft NBSAP to make sure its quality and consistency with BDC and national policies and legislation related to biodiversity conservation.
- Coordinate with IUCN to access the latest species status assessments and identify major information gaps.
- Liaise with local and international NGOs to capture the latest information and insights on biodiversity conditions and trends.
- Provide specific policy recommendations and advice for use in NBSAP.
- Ensure quality of the final NBSAP, both in contents and in English.

*Selection criteria:* should have a MS in biology, zoology, or related field with a minimum of 10 years experience in assessing biodiversity data and information' experience in NBSAP preparation, training and strategic planning. Experience with the IUCN Red List and plant and animal taxonomy in Viet Nam desired. Work experience in ODA projects and international donors. Excellent spoken and written English required. Good computer skills.

**Special Clauses.** *In case of government cost-sharing through the project which is not within the CPAP, the following 10 clauses should be included:*

1. The schedule of payments and UNDP bank account details.

2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.
3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
5. All financial accounts and statements shall be expressed in United States dollars.
6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavours to obtain the additional funds required.
7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph ( ) above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

- (a) cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices as agreed with the government
  - (b) Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.
9. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
  10. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.

### **Indicative TOR for consultancies to prepare national GIS database on biodiversity and Spatial Biodiversity Assessment at Provincial Levels**

As per the Total Budget and Workplan (TBW) in Annex D of this proposal, two output-based consultancies are planned under the project. This Annex describes the work under them. The content herein will form the basis for prepare complete **Requests for Quotes**<sup>9</sup> for each consultancy. Below is the overview:

<sup>9</sup> With reference to the applicable procurement process for the type of services being sought and budget allocated to financing them.

#	Title of the Output-based consultancy
1	National GIS database for biodiversity
2	'Spatial Biodiversity Assessments' (SBAs) for selected provinces

Consultancy #2 will combine national and international expertise, while #1 will be primarily national and may be assigned to a centre of excellence, university, NGO or consultancy company that can avail or put together the required equipment and specialist staff within the cost limits of the budget.

The complete **Requests for Quotes** prepared by UNDP normally have the following structure:

- i. Instructions to Offerors
- ii. General Conditions of Contract
- iii. Terms of Reference (TOR)
- iv. Proposal Submission Form
- v. Price Schedule

In this annex, **only the TOR are described**. The remainder of the chapters of the Requests for Quotes will be completed before launching the tenders and after due validation by UNDP. The complete TOR for Requests for Quotes will include the following headings (Sections):

- (1) Summary and Background
- (2) Objective of the Consultancy
- (3) Scope of Work
- (4) Expected Results
- (5) Duty station
- (6) Requirements to the documents
- (7) Responsibility
- (8) Qualification and equipment requirements
- (9) Available information
- (10) Selection Process

Section 1 of the TOR is the same for both output-based consultancies and it is presented further down. Sections 5, 6 and 7 are also common to all four output-based consultancies and are included after the description of Section 1. Sections 8, 9 and 10 will be completed before launching the tenders.

### **Common Sections for both TORs**

#### **(1) Summary and Background**

Viet Nam is in the process of implementing a GEF biodiversity planning project, whose title is UNDP/GEF PIMS 4811 “*Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning*”. The project is co-financed by Critical Ecosystem Partnership Fund (CEPF), the International Union for Conservation of Nature (IUCN), Japanese Cooperation Agency (JICA), Ministry of Natural Resources and Environment (MONRE), and the United Nations Development Programme (UNDP).

The project objective is to strengthen biodiversity conservation by (1) increasing the supply of policy relevant, actionable information through preparation of a new NBSAP in line with Viet Nam's Biodiversity Law and the CBD Strategic Plan 2011-2020; and (2) by building capacity at the provincial level to mainstream biodiversity priorities into land use planning.

The following key outcomes are sought as part of the project:

*1.1) A 10-year NBSAP with clear institutional design and financing plan approved by government by 12/2012. To include:*

- Prioritizing biodiversity through economic valuation of goods and services.
- Restoring and safeguarding ecosystems that provide essential services.
- Assessment of protected area design and management effectiveness.
- Conservation status of selected species (re)assessed based on international criteria, e.g., Red List.
- Assessment of rules and procedures for species reintroductions.

*1.2) Biodiversity status, trends, and actions communicated nationally and internationally. To include:*

- Submit 5th National Report to CBD by 3/2014.
- Include latest biodiversity data in annual SOE report to National Assembly.

*2.1) Provincial capacity for NBSAP implementation, including biodiversity financing, enhanced and mechanism in place to report on biodiversity status and good practice from provincial to national levels.*

*2.2) NBSAP priorities implemented in 2 provinces through:*

- Updated land use planning procedures and revised land use maps.
- Biodiversity criteria tested and proposed for inclusion in provincial performance assessment systems.

The ultimate goal of the project is to build national capacity within the topic of biodiversity planning. This implies procuring knowledge and capacity building services for certain output-based aspects of the project, due to the specificity of the topics at hand and the technical requirements.

Hence, a **Request for Quote** is being launched in view of having services rendered by a group of specialized consultants within the following areas of expertise:

*[Areas of expertise are specific to each consultancy]*

*[The Background part may be complemented when composing the final documentation for the Request for Quotes]*

### **Consultancy [1]**

#### **National GIS database for biodiversity**

*Areas of expertise:* Geographic information systems, remote sensing, data handling and management, ecology, land-use planning.



## **(2) Objective**

As part of the process of developing specific inputs to Viet Nam's NBSAP, the consultancy in question will be the a GIS database with focus on biodiversity.

## **(3) Scope of Work**

A qualified centre of excellence, university, NGO or consultancy company, which can avail or put together the required equipment and specialist staff within the cost limits of the budget, is expected to create an fully on-line database for systematising and availing to the public information on biodiversity, which is essential for improving the standards of management of biodiversity country-wide. This will be a major contribution to the following Outcome and Output of the project:

*Outcome 1.2)* Biodiversity status, trends, and actions communicated nationally and internationally  
*Output 1.2.2)* National biodiversity database framework established with updated information on biodiversity conditions at national and sub-national levels.

*Outcome 2.1)* Provincial capacity for NBSAP implementation, including biodiversity financing, enhanced and mechanism in place to report on biodiversity status and good practice from provincial to national levels.

*Output 2.1.1)* Increased capacity of provincial authorities nation-wide to implement NBSAP and to report on progress.

This will include:

- (1) mapping and land-use planning and the geo-referencing of key biodiversity information;
- (2) systematizing data and information relevant for the various Programs of Work of the Convention of Biological Diversity (CBD) and themes that are relevant for Viet Nam.

The CBD counts on seven thematic programs of work which correspond to some of the major biomes on the planet.<sup>10</sup> The following Programs of Work should be considered with respect to Viet Nam and this consultancy:

- Agricultural Biodiversity
- Forest Biodiversity
- Inland Waters Biodiversity
- Island Biodiversity
- Marine and Coastal Biodiversity
- Mountain Biodiversity

In addition to the Programs of Work, the CBD has also initiated work on key matters of relevance to all thematic areas. These Cross-Cutting Issues correspond to the issues addressed in the Convention's substantive provisions in Articles 6-20, and provide bridges and links between the thematic programs. Some cross cutting initiatives directly support work under thematic programs, for example, the work on indicators provides information on the status and trends of biodiversity for all biomes. Others develop discrete products quite separate from the thematic programs. The work done for these cross-cutting issues has led to a number of principles, guidelines, and other tools to facilitate the implementation of the Convention and the achievement of the 2010 biodiversity target. The following Cross-Cutting Issues should be considered with respect to Viet Nam and this consultancy:

- Aichi Biodiversity Targets
- Access to Genetic Resources and Benefit-sharing
- Biodiversity for Development

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<sup>10</sup> [www.cbd.int/programmes](http://www.cbd.int/programmes).

- Climate Change and Biodiversity
- Communication, Education and Public Awareness
- Economics, Trade and Incentive Measures
- Ecosystem Approach
- Gender and Biodiversity
- Global Strategy for Plant Conservation
- Global Taxonomy Initiative
- Impact Assessment
- Identification, Monitoring, Indicators and Assessments
- Invasive Alien Species
- Protected Areas
- Sustainable Use of Biodiversity
- Tourism and Biodiversity
- Traditional Knowledge, Innovations and Practices - Article 8(j)

The key target group of users will include:

- National and provincial governments
- Local Authorities
- Parliamentarians
- Universities and the Scientific Community
- Children & Youth
- Businesses
- Non-Governmental Organizations (NGOs)

The full scope and the specific tasks for this consultancy will also be developed during the project's inception phase.

Service providers will work together with the team of national and international consultants for the project in Viet Nam, as well as the project's co-financiers, as these are implementing relevant and related activities for the theme of this consultancy.

#### **(4) Expected Results**

The expected results include:

- A fully on-line and publicly available information and knowledge products related to the national biodiversity in Viet Nam, in line with the scope defined in the TOR
- A series of ready-made and customizable maps showing biodiversity data related to the Programs of Work and the Cross-Cutting Issues of the CBD selected by Viet Nam
- For certain specialised users (scientists, researchers, biodiversity management practitioners), raw mapping data may be made available.

*[Expected milestones from the consultancy, as well as performance criteria and the schedule of payment are to be completed when composing the final documentation for the Request for Quotes]*

### **Consultancy [2]**

## **'Spatial Biodiversity Assessments' (SBAs) for selected provinces**

### **(2) Objective**

As part of the process of developing specific inputs to Viet Nam's NBSAP, the consultancy in question will be the main driving force in developing 'Spatial Biodiversity Assessments' (SBAs) for the.

### **(3) Scope of Work**

A qualified centre of excellence, university, NGO or consultancy company, which can avail or put together the required equipment and specialist staff within the cost limits of the budget, is expected to prepare, in an iterative and participatory fashion, SBAs for two provinces (t.b.d.) in Viet Nam, in connection with the relevant output in the Biodiversity Planning Project.

The preparation of SBAs in two selected provinces will be a major contribution to the following Outcome and Output of the project:

*Outcome 2.1)* Provincial capacity for NBSAP implementation, including biodiversity financing, enhanced and mechanism in place to report on biodiversity status and good practice from provincial to national levels.

Output 2.1.1) Increased capacity of provincial authorities nation-wide to implement NBSAP and to report on progress

Biodiversity in Viet Nam is not evenly distributed across the landscapes. The same applies to people and economic activities. SBAs take geographic variations into consideration by mapping key information about biodiversity features, including species, habitats and ecological processes. This is then superimposed with other relevant information on e.g. protected areas, patterns of land and resource use, climate information and trends etc. The information is then analyzed using adapted GIS tools with the aim of defining priorities for development, conservation and sustainable use.

SBAs are meant to inform the policies, plans and day-to-day activities of a wide range of sectors, both public and private.<sup>11</sup> Spatial products will be made available to the public and are meant to be widely used and built upon. The focus is on mainstreaming biodiversity priorities throughout the economy and making links between biodiversity and socio-economic development.

The key target group of users will include:

- Primarily provincial governments, but also national
- Local Authorities
- Parliamentarians
- Universities and the Scientific Community
- Children & Youth
- Businesses
- Non-Governmental Organizations (NGOs)

The full scope and the specific tasks for this consultancy will also be developed during the project's inception phase.

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Service providers will work together with the team of national and international consultants for the project in Viet Nam, as well as the project’s co-financiers, as these are implementing relevant and related activities for the theme of this consultancy.

**(4) Expected Results**

Following a planning and preparation period, the SBAs for two selected provinces will be able to provide:

- A fully on-line and publicly available information and knowledge products related to the provincial SBAs in line with the scope defined in the TOR, including maps, reports, guiding materials etc.
- For certain specialised users (scientists, researchers, biodiversity management practitioners), raw mapping data may be made available.

**(5) Duty station:**

- *[According to the specificities of each consultancy]\**

\*Note: all travel expenses should be included into the breakdown of contract total amount by submission of financial proposal.

**(6) Requirements to the documents**

*[To be complemented when composing the final documentation for the Request for Quotes]*

**(7) Responsibility**

- Agrees the above results with the National Project Director and the Project Coordinator;
- Works in close collaboration with the remainder teams of experts and consultants involved in the Biodiversity Enabling Activity Project
- Ensures timely and quality execution of the Terms of Reference (after due finalisation, validation and agreement); and
- Ensures unconditional implementation of requirements of the contract.

*[The above is generic and may be expanded as needed]*

**(8) Qualification requirements**

*[To be complemented when composing the final documentation for the Request for Quotes]*

**(9) Available information:**

Complete Project Document for the UNDP/GEF PIMS 4811 “*Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning*”.

– *Relevant hyperlink to the project document to be added when composing the final documentation for the Request for Quotes* –

**(10) Selection Process**

The selection of the company will follow an open competitive process in line with UNDP procurement standards. The successful company would be required to enter into a standard UNDP Institutional Contract. The contract will be awarded according to the cumulative analysis scheme: proposal with the overall highest score after adding the score of the technical proposal and the financial proposal will be chosen.

**4.2 SCHEDULE**

	YEAR 1	YEAR 2	YEAR 3
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Component	Outcome	Output	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1	1.1	1.1.1	X	X	X	X				X	X			X
		1.2.1	X	X										
	1.2	1.3.1			X	X				X	X			X
2	2.1	2.1.1					X	X	X	X	X	X		
		2.2	2.2.1						X	X	X	X	X	X
	2.3.1												X	X

A detailed chronogram of activities will be developed during project inception.

## 4.2 DECREE 65 PROVISIONS

Article 3	Process and procedures for formulation and ratification of overall (master) planning of national biodiversity conservation.
Article 4	Process and procedures for formulation and approval of provincial/city biodiversity conservation planning.
Article 5	Formulation and ratification of ministerial planning of biodiversity conservation.
Article 6	Process and procedures for modification of biodiversity conservation planning.
Article 7	Categorisation criteria for protected areas.
Article 8	Responsibilities for formulation and appraisal of projects on national protected areas establishment.
Article 9	Responsibilities for protected areas management. <ul style="list-style-type: none"> <li>1. PPCs manage those protected areas that lie entirely within their provincial territory.</li> <li>2. MARD manages national-level protected areas that are terrestrial special-use forests and MPAs lying within at least to two provinces.</li> <li>3. MONRE is responsible for managing national-level protected areas comprising wetlands, Limestone Mountains, and mixed ecosystems that occupy at least two provinces.</li> </ul>
Article 10	Rights and mandates of households and individuals legally living in protected areas. <ul style="list-style-type: none"> <li>1. Households and individuals legally living in protected areas include those who have rights toward legal land-use for settlement as regulated by the Land Use Law.</li> <li>2. The following rights and obligations apply to such households and individuals in protected areas: <ul style="list-style-type: none"> <li>a) granted priority to explore land, surface water, and forest for agricultural cultivation, aquaculture raising and other purposes which are not against existing laws;</li> <li>b) granted priority to develop projects to explore protected areas for ecotourism and other services which are not against existing laws;</li> <li>c) granted priority to be recruited and participate in protected area management;</li> <li>d) able to share in benefits from ecotourism business, exploitation of natural resources, projects to support protected areas, access to genetic resources in protected areas and other benefits in compliance with regulations; and</li> <li>e) obliged to protect forests in compliance with regulations of Forest Protection and Development Law.</li> </ul> </li> </ul>
Article 11	Transformation of those protected areas which were established prior to July 1, 2009 when the Biodiversity Law came into effect. <ul style="list-style-type: none"> <li>1. MONRE, in cooperation with MARD, is responsible for reviewing all those protected areas established before the Biodiversity Law came into effect.</li> <li>2. Review the categorization of protected areas in accordance with the main criteria specified in the Biodiversity Law and Decree 65; and transform protected areas not matching these criteria.</li> <li>3. Responsibilities for investigation, assessment and transformation of protected areas are as follows:</li> </ul>

- a) PPCs are responsible for transformation of protected areas lying entirely within their provinces.
  - b) MARD is responsible for transformation of national-level protected areas that are terrestrial special-use forests and marine protected areas lying within at least 2 provinces.
  - c) MONRE is responsible for national-level protected areas of wetlands, Limestone Mountains, and mixed ecosystem regions that lie within at least two provinces.
4. The above agencies responsible for protected area transformation must submit their proposals to the Prime Minister for decision.

Article 12 Identification criteria for endangered, rare and other important species.

Article 13 Management and protection mechanisms for protected species.

Article 18 Process and procedures for access to genetic resources.

Article 19 Management and sharing of benefits from access to genetic resources.

Article 20 Provision, sharing and disclosure of information on genetic resources.