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# Initiation Plan / GEF PPG

**Project Title:** Sustainable Forest and Forest Land Management in Viet Nam’s Ba River basin landscape

**Country:** Viet Nam

**Country Programme Outcome:** Outcome 2.2: Sustainable management of natural resources and the environment.

By 2021, Viet Nam has enhanced sustainable management of natural capital, biodiversity and ecosystem services and improved the quality of the environment, while contributing to the implementation of multilateral environmental agreements.

**Gender Marker rating:** GEN 2

**SESP Pre-Screening Categorization:** High

|                                   |                             |                     |
|-----------------------------------|-----------------------------|---------------------|
| ATLAS Award ID: 00125963          | <b>Total budget:</b>        | <b>US\$ 100,000</b> |
| ATLAS Project/Output ID: 00120143 | <b>Allocated resources:</b> |                     |
| PIMS number: 5887                 | • GEF                       | US\$ 100,000        |
| Management Arrangement: DIM       | • Government                | US\$                |
|                                   | • UNDP                      | US\$                |

AGREED BY

21/07/2020  
Day/Month/Year

Caitlin Wiesen  
UNDP Resident Representative  
UNDP Viet Nam Country Office

Signature

Date

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## I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

### **Objective & Final Outputs**

The objective of the GEF PPG is to develop the project concept into a full project: *Sustainable Forest and Forest Land Management in Viet Nam's Ba River basin landscape*. As described in the GEF Project Identification Form (PIF), this project aims to conserve forest biodiversity and maintain or improve the flow of ecosystem services through sustainable forest management embedded in a coordinated landscape-level approach across Ba River basin.

The following information is to be consulted as background for the GEF PPG phase:

- PIF cleared for WP inclusion
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein
- [UNDP policies and procedures](#)
- UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
- GEF policies, in particular GEF policies on: Project Cancellation; Fee Policy for GEF Partner Agencies; Project and Program Cycle; and Minimum Fiduciary Standards for GEF Partner Agency (in particular sections dealing with the required separation of oversight and execution support services). All GEF policies are available [here](#).

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc).
2. Mandatory annexes to the ProDoc listed in the Annotated UNDP-GEF Project Document Template.
3. [GEF CEO Endorsement Request](#) and all mandatory annexes; and
4. Validation Workshop report (required for projects with a high SESP categorization; as appropriate for all others).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

### **Key Dates for the GEF PPG <sup>1</sup>**

| Milestone   | Date                | Notes  |
|---|---------------------|--|
| <b>Internal submission date</b> for UNDP-GEF review and clearance | <i>3 April 2021</i> | 10 months of PIF approval for FSPs.  |
| <b>First GEF Submission Deadline</b> for CEO Endorsement          | <i>3 June 2021</i>  | First submission must be within 12 months of PIF approval for FSPs. Failure to submit a ProDoc and CEO ER to the GEF Sec by this date will lead to the automatic cancellation of the project by the GEF Sec. |

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<sup>1</sup> Note that an extension of up to 6 months beyond the dates shown has been authorized by GEF Secretariat due to COVID-19. Use of this extension period is optional and will be assessed during the PPG, with revised work plan discussed as needed based on progress between CO, FIPI, PPG Team Leader and cleared by RTA.

|  |                        |   |
|--|------------------------|---|
| <b>CEO Endorsement Deadline</b><br>after which the project will be cancelled if not endorsed | <i>3 December 2021</i> | Endorsement must be within 18 months of PIF approval for FSPs. If the project has not been CEO endorsed by this date, then it will be automatically cancelled by the GEF Sec. |
|--|------------------------|---|

**Management Arrangements**

The UNDP Viet Nam will lead the project development process and manage the GEF PPG budget in full consultation with the BPPS/GEF Technical Adviser. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan*.

During the project development process, GEF PPG outputs will be fully consulted with relevant stakeholders whose roles in project development are specified in the PIF (see Annex 3). The engagement and consultation processes include a PPG inception workshop, stakeholder workshops, technical consultant meetings, interviews and the validation workshop. The final draft ProDoc will be shared with FIPI and key partners for comments prior to submission to GEF. The PPG process will be facilitated by a PPG Working Group that comprises of FIPI, UNDP and representatives from Gia Lai and Phu Yen provinces. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements.

The GEF PPG team will be composed of the following:

1. International GEF Project Development Specialist (GEF PPG Team Leader)
2. National Sustainable Forest Management (SFM) Specialist (Technical Coordinator of national PPG team)
3. National Policy and Institutional Specialist
4. National Biodiversity and Protected Area Specialist
5. National Communities, Gender and Livelihoods Specialist
6. National Safeguards Specialist
7. National Forest Monitoring and GIS Specialist

The GEF PPG team will be composed of the consultancies described in the draft Terms of Reference (TORs) in Annex 2.

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**II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS**

To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined in UNDP’s [Social and Environmental Standards \(SES\)](#), the [SES Guidance Note of Stakeholder Engagement](#), the GEF’s [Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality](#), the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries) and those who may be impacted (positively or negatively) by the project. Stakeholder Engagement and analysis must be conducted in an inclusive and gender-responsive manner, so that the rights of women and men and the different structural barriers, knowledge, needs, roles and interests of women and men are recognized and addressed.

Careful and complete documentation of stakeholder engagement is vital. Detailed evidence of all consultations will be prepared and submitted to UNDP. A list of the consulted stakeholders and details of the associated meetings will be included in the Stakeholder Engagement Plan (see section B-d below).

If the fully designed project has an overall Social and Environment Screening Procedure (SESP) categorization of moderate or high, then the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high risk projects and recommended for moderate risk projects.
2. The UNDP-GEF project document, SESP and related draft management plans, and other relevant information/documents, will be made available to the public on the UNDP Country Office website or [open.undp.org](http://open.undp.org). It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

See the [SES Supplemental Guidance on Disclosure](#) for more information.

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### III. GEF PPG ACTIVITIES

#### **Component A: Preparatory Technical Studies & Reviews**

The following technical studies and reviews will be conducted.

##### **a. Desktop and field-based studies and data collection**

This research should produce the background information required to prepare the ProDoc (including its Annexes) and CEO Endorsement Request, including but not limited to:

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees, assumptions and risks, developed in consultation with project stakeholders, for a robust Theory of Change, Results Framework and solid M&E plan;
- Review of relevant past and ongoing projects for lessons, including [project evaluations](#); and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

##### **b. Gender Analysis**

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify appropriate measures to address these and promote gender equality and women's empowerment. See guidance available [here](#).

**c. Social and Environmental Standards: Screening and Assessments**

The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase has initially determined the overall risk categorization of this project as *High* and highlighted potential safeguard risks to be further assessed during the PPG phase.

An Environmental and Social Management Framework (ESMF) will be prepared, to ensure that the required assessments are carried out during the first phase of project implementation. A standard template for an environmental and social management framework is available here: [ESMF outline](#). The ESMF and ProDoc must clearly state that none of the associated project activities will commence until: any required Environmental and Social Impact Assessment (ESIAs) have been completed; any required required management plans (e.g. ESMP including Ethnic Minority Plan, Gender Action Plan, and a comprehensive Stakeholder Engagement Plan) have been prepared; and the plans have been disclosed and approved by the Project Board.

**d. Identification of project sites**

Based on the above reviews, and through consultation with stakeholders, the targeted project demonstration sites Ba River Basin will be identified. The preliminary identified landscape in Gia Lai and Phu Yen includes a cross-section of Special Use Forests and their buffer zones, protection forests, production forests and community-managed areas (forest/forestland allocations from People’s Provincial Committees), representing 8 Forest Management Units plus two community-managed areas across the mosaic of forest types and managers that is common across Viet Nam. The three established PAs (Special Use Forest areas) are: Kon Ka Kinh National Park and Kon Chu Rang Nature Reserve in Gia Lai, and Krong Trai Nature Reserve in Phu Yen. A new PA is proposed for establishment in biodiverse forest areas of the Dak Rong and Tram Lap State-owned forest companies, with strong commitment of Gia Lai province. The landscape will be further defined and delineated by the PPG team in consultation with executing partners and local stakeholders. The PPG team should also provide geographic coordinates, maps and shapefiles of the project demonstration site for inclusion in the ProDoc.

**e. Financial planning, co-financing and investment mobilized**

Co-financing and investment mobilized – as defined in the GEF Policy and Guidelines on co-financing - will be confirmed, and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF is seeking high co-financing/investment mobilized to GEF grant ratios with a preference for grants, loans and other public investments over in-kind co-financing. The GEF also expects the Government to significantly support the costs associated with project execution (i.e. PMC).

**f. Stakeholder analysis**

Building on the initial identification of stakeholders in the PIF, an appropriately scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for development of the project’s Stakeholder Engagement Plan and will facilitate prioritization of engagement activities with particular stakeholder groups and individuals. See the [UNDP SES Guidance Note on Stakeholder Engagement](#).

**g. Appraise and formulate the most appropriate project implementation and execution modality**

The design of the project will comply with the UNDP's Program and Operations Policy and Procedures (POPP), Financial Regulations, and Programme and Project Management and Quality Standards, and UNDP-GEF guidance (which will be provided by the RTA). A full assessment of the most appropriate project implementation and management arrangements will be carried out in full consultation with the RTA, UNDP Country Office, Resident Representative (or their Deputy), the relevant government coordinating agency, and the GEF OFP.

UNDP should in general not have a role in project execution as project execution is the primary responsibility of the selected Implementing Partner (see UNDP-GEF Guidance Note for further information). Therefore, an assessment and the selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.

Project management arrangements need to be discussed and agreed early in the PPG phase. During the first two months of the PPG phase:

- For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments.
- Discuss the level of co-financing the Government and Implementing Partner are able to commit to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and expects the Government to significantly support the costs associated with project execution (i.e. PMC) for this project.
- Based on these assessments, select and confirm the Implementing Partner for the project in consultations with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see [UNDP's Policy on Selecting Implementing Partners](#)).
- If the Implementing Partner does not have full capacity to execute the project, and execution support is likely to be needed, discuss with the UNDP Resident Representative whether the choice of Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for the provision of execution support via Responsible Parties ([see UNDP Policy on Selecting Responsible Parties](#)). Discuss with the Implementing Partner the role of the responsible parties in project execution, and the execution support these parties could provide.
- Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services is to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.

**h. Other required studies**

As detailed in the individual consultant TOR in Annex 2, and as further specified in the PPG work plan, and subsequent direction from the PPG Team Leader during the PPG period.

## **Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes**

Based on the technical studies and reviews undertaken under **Component A**, the UNDP-GEF Project Document will be developed (following the annotated UNDP-GEF Project Document available [here](#)), and the GEF CEO Endorsement Request (available [here](#)) will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

### **a. Stakeholder Engagement Plan:**

At a minimum, the Plan must include the following elements:

- Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups/individuals (the ‘who’);
- Key stakeholder objectives and interests (the ‘why’);
- Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information (the ‘how’);
- Breadth and depth of stakeholder engagement throughout the project cycle, and decisions that need to be made through stakeholder engagement (the ‘what’);
- Timeline for engagement activities and how they will be sequenced, including information disclosure (the ‘when’);
- Indicators of stakeholder engagement and monitoring plan;
- Roles and responsibilities for ensuring effective stakeholder engagement through implementation of the Plan; and
- Resource requirements and associated budget.
- A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP [guidance on GRM](#) and [sample TOR](#).
- A comprehensive Stakeholder Engagement Plan is required, incorporating FPIC as needed.

See the [UNDP SES guidance on Stakeholder Engagement](#), the [standard SEP template](#), and the [GEF guidelines on stakeholder engagement](#).

### **b. Gender Action Plan and Budget**

The gender analysis conducted in **Component A** along with relevant findings from the stakeholder analysis and background studies, will form the basis of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party and budget which are linked to the project’s components/outputs, outcomes and activities. As part of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

See guidance available [here](#).



**c. Social and Environmental Standards: Screening and Management Measures**

In line with the assessments conducted during **Component A** (above) and [UNDP's Social and Environmental Standards \(SES\) policy and all associated SES Guidance Notes](#), the SESP will be updated and all risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc.

The ESMF will identify the required management plans that will be prepared during project implementation.

See the [SES Guidance Note on Assessment and Management](#) for further guidance. Please contact UNDP for additional information as needed.

**d. GEF Core Indicators**

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared. The completed [Core Indicators worksheet](#)—with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc.

As part of the GEF Core Indicators requirement, the required METTs will be prepared in the GEF-7 Excel [template](#); the relevant details will be included in the Core Indicators template; and the final Excel METT file will be submitted to UNDP (not be annexed to the ProDoc).

The Core Indicators will be used in the project's Results Framework, at the Objective level, where appropriate. See the [GEF policy and guidance](#).

**e. Completion of the required official endorsement letters**

These letters include the official letters on co-financing guarantee(s) from participating government institutions, bilateral development partners, multilateral development partners, NGOs, private sector, or others who wish to provide cash or in-kind contributions to the project.

Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PFD approval.

**f. Mandatory Annexes**

In addition to the documents listed above, the following Annexes should be prepared by the GEF PPG team:

- Project map and Geospatial Coordinates of project sites
- Multi Year Work Plan
- Monitoring Plan
- UNDP SESP
- Finalized ESMF
- UNDP Risk Register
- Overview of Technical Consultancies
- GEF 7 Taxonomy
- Initial Project Team Procurement Plan and TORs for key Project Team staff
- Landscape profile for demonstration sites
- Capacity development scorecards
- Core Indicator at Baseline including Core Indicator 6.1 Estimates (Carbon Sequestered or GHG Emissions Avoided) using FAO EXACT

- Stakeholder Consultation Reports with participants list
- Gender Analysis and Action Plan
- Co-financing Letters
- Letter from the Implementing Partner and GEF OFP requesting UNDP Support Service, if applicable

Upon a request from the UNDP Regional Technical Adviser during the PPG implementation, the PPG team may be required to prepare additional annexes.

**g. Project Management Arrangements**

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Standard text from the governance and management arrangement from the GEF-7 template should never be removed.

**Component C: Validation Workshop and Report**

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

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**IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG**

|                                 |  |
|---------------------------------|--|
| <b>Atlas Award ID:</b>          | 00125963   |
| <b>Atlas Project/Output ID:</b> | 00120143   |
| <b>Award Title:</b>             | Sustainable Forest and Forest Land Management in Viet Nam’s Ba River basin landscape |
| <b>GEF Project ID</b>           | 10539  |
| <b>Business Unit:</b>           | VNM10  |
| <b>Project Title:</b>           | Sustainable Forest and Forest Land Management in Viet Nam’s Ba River basin landscape |
| <b>PIMS number:</b>             | 5887   |
| <b>Implementing Partner:</b>    | UNDP Viet Nam  |

| GEF Outcome/Atlas Activity  | Responsible Party | Fund ID | Donor Name  | Atlas Budgetary Account Code | ATLAS Budget Description  | Amount US\$ | Budget Notes |
|---|-------------------|---------|-------------|------------------------------|---------------------------|-------------|--------------|
| Project preparations grant to finalize the UNDP-GEF project document for project: <i>Sustainable Forest and Forest Land Management in Viet Nam’s Ba River basin landscape</i> | UNDP              | 62000   | GEF TRUSTEE | 71200                        | International Consultants | 42,250      | A            |
|   |                   |         |             | 71300                        | National Consultants      | 33,400      | B1 to B6     |
|   |                   |         |             | 71600                        | Travel                    | 12,800      | C            |
|   |                   |         |             | 72500                        | Supplies                  | 1,000       | D            |
|   |                   |         |             | 74500                        | Miscellaneous Expenses    | 1,000       | E            |
|   |                   |         |             | 75700                        | Trainings, workshops      | 9,550       | F            |

|                          |                |  |
|--------------------------|----------------|--|
| <b>PROJECT<br/>TOTAL</b> | <b>100,000</b> |  |
|--------------------------|----------------|--|

| <b>Budget Note</b> | <b>Items</b>  | <b>Total estimated person weeks</b> | <b>Budget US\$</b> | <b>Budget Note</b>  |
|--------------------|---|-------------------------------------|--------------------|---|
| A                  | International GEF Project Development Specialist        | 13                                  | 42,250             | Please Refer to Terms of References in Annex 2  |
| B1                 | National SFM Specialist                                 | 9                                   | 8,550              |   |
| B2                 | National Policy and Institutional Specialist            | 3                                   | 2,850              |   |
| B3                 | National Biodiversity and Protected Area Specialist     | 8                                   | 7,600              |   |
| B4                 | National Communities, Gender and Livelihoods Specialist | 7                                   | 6,650              |   |
| B5                 | National Safeguards Specialist                          | 5                                   | 4,750              |   |
| B6                 | Forest Monitoring and GIS Specialist                    | 4                                   | 3,000              |   |
| C                  | Travel  | -                                   | 12,800             | 1-2 IC missions to Viet Nam as travel restrictions allow, plus domestic travel for PPG team to project landscape.                   |
| D                  | Supplies  | -                                   | 1,000              |   |
| E                  | Miscellaneous   | -                                   | 1,000              | Including translation of safeguards documents and ProDoc  |
| F                  | Workshops/Meetings                                      | -                                   | 9,550              | National PPG inception, review, and validation workshop/meetings. Local-level meetings and consultations at demonstration landscape |

## V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

| PPG Activity                               | Month 1<br>JUN | Month 2<br>JUL | Month 3<br>AUG | Month 4<br>SEP | Month 5<br>OCT | Month 6<br>NOV | Month 7<br>DEC | Month 8<br>JAN | Month 9<br>FEB | Month 10<br>MAR | Month 11<br>APR | Month 12<br>MAY | Month 13<br>JUN | Month 14<br>JUL | Month 15<br>AUG | Month 16<br>SEP |
|--|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| <b>PPG team recruitment</b>                |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>PPG inception</b>                       |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>Component A:</b><br>Technical studies   |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>PPG mission / landscape visits</b>      |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>Component B:</b><br>ProDoc formulation  |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>Component C:</b><br>Validation Workshop |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>Delivery of outputs to RTA</b>          |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>UNDP-GEF clearance processes</b>        |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <b>GEF Secretariat submission</b>          |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |
| <i>GEF Secretariat review (indicative)</i> |                |                |                |                |                |                |                |                |                |                 |                 |                 |                 |                 |                 |                 |

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## VI. MANDATORY ANNEXES

### Annex 1: GEF CEO PIF/PPG Approval Letter



**Naoko Ishii**  
CEO and Chairperson

May 4, 2020

Mr. Pradeep Kurukulasuriya  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
504 East 45<sup>th</sup> St, FF Bldg, 10<sup>th</sup> floor

Dear Mr. Kurukulasuriya:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for Project Preparation Grant.

|                                   |   |
|-----------------------------------|---|
| Decision Sought:                  | Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant Approval |
| GEFSEC ID:                        | 10539   |
| Agency(ies):                      | UNDP  |
| Agency(ies) ID:                   | 5887  |
| Focal Area:                       | Multi Focal Area  |
| Project Type:                     | Full-sized Project  |
| Country(ies):                     | Viet Nam  |
| Name of Project:                  | Sustainable Forest and Forest Land Management in Viet Nam's Ba River Basin Landscape                          |
| Indicative GEF Project Financing: | \$2,183,105   |
| Indicative Agency Fee:            | \$207,395   |
| PPG:                              | \$100,000   |
| PPG Fee:                          | \$9,500   |
| Funding Source:                   | GEF Trust Fund  |

| Indicative Agency Fee Commitment: |            |  |  |   |                |
|-----------------------------------|------------|--|--|---|----------------|
| Agency                            | Trust Fund | 20% to be committed at Council approval (US\$) | 50% to be committed at first disbursement (US\$) | 30% to be committed at mid-term review (US\$) | Total (US\$)   |
| UNDP                              | GEFTF      | 41,479   | 103,698  | 62,218  | 207,395        |
| <b>Total</b>                      |            | <b>41,479</b>                                  | <b>103,698</b>                                   | <b>62,218</b>                                 | <b>207,395</b> |

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Tel: +1 (202) 473 3202 • Fax: +1 (202) 522 3240  
E-mail: [gefceo@thegef.org](mailto:gefceo@thegef.org)  
[www.thegef.org](http://www.thegef.org)

This PIF clearance and PPG approval are based on the understanding that the project is in conformity with GEF Trust Fund focal area strategies and with GEF policies and procedures. Please ensure that your final project document, having fully addressed all Secretariat, STAP, Convention Secretariats and Council comments, will be endorsed within 18 months of Council approval of the work program.

Sincerely,



Naoko Ishii  
Chief Executive Officer and Chairperson  
Global Environment Facility

Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

**Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)**

| <b>Position, Type and Cost</b>  | <b>Role, Deliverables and Qualifications</b>  |
|---|---|
| <p><b>Consultant 1:</b><br/>International Project Development Specialist (GEF PPG Team Leader)</p> <p><b>Type:</b> IC</p> <p><b>Cost per person week:</b> \$3,250</p> <p><b>Number of person weeks needed:</b> 13</p> | <p><b>Role</b></p> <p>The International Project Development Specialist will be the GEF PPG Team Leader and will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation including adherence to UNDP safeguards requirements. S/he will be responsible for managing all the consultants on the GEF PPG Team and coordinating the Team’s work.</p> <p><b>Responsibilities and Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Management of the GEF PPG Team</u> <ol style="list-style-type: none"> <li>a. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultant (IC) and National Consultants (NCs);</li> <li>b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and</li> <li>c. Verify and ensure that all project components are technically sound and cost effective.</li> </ol> </li> <li>2) <u>Preparatory Technical Studies and Reviews (Component A):</u> With inputs from the national consultants, as detailed in their respective TORs: <ol style="list-style-type: none"> <li>a. Compile baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices as appropriate;</li> <li>b. Lead and oversee the stakeholder analysis and consultations, with support from national consultants, and ensure that they are complete and comprehensive including consultations with the government partners, private sector actors, and civil society organizations;</li> <li>c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>d. Ensure action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative process throughout the PPG, and as appropriate;</li> <li>e. Oversee the identification of the project sites, with documentation of selection criteria and making sure that geo-referenced data and maps are clearly presented both for targeted protected areas and broader landscapes, as applicable;</li> <li>f. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes;</li> <li>g. Lead and oversee the identification of opportunities for private sector engagement and co-financing;</li> </ol> </li> </ol> |

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|  | <ul style="list-style-type: none"> <li>h. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process;</li> <li>i. Oversee the consultations with the partners regarding financial planning; and</li> <li>j. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ul> <p>3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> With inputs from the national consultants, as detailed in their respective TORs, and based on international best practices:</p> <ul style="list-style-type: none"> <li>a. Develop, present and articulate the project's theory of change;</li> <li>b. Develop the Results Framework in line with the UNDP-GEF policy;</li> <li>c. Develop a detailed Monitoring and Evaluation Plan and Budget;</li> <li>d. Oversee and ensure the preparation of a comprehensive Stakeholder Engagement Plan;</li> <li>e. Oversee and ensure the preparation of a Gender Action Plan and Budget;</li> <li>f. Oversee and ensure the updating of the SESP based on assessments undertaken during Component A, and ensure the development of required environmental and/or social management plan(s) (ESMF and comprehensive Stakeholder Engagement Plan incorporating FPIC);</li> <li>g. Oversee the preparation of the required GEF tracking tools and GEF Core Indicators and ensure these are supported by robust and validated data;</li> <li>h. Secure all co-financing letters;</li> <li>i. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process;</li> <li>j. Prepare the indicative procurement plan;</li> <li>k. Secure and present agreements on project execution and management arrangements and ensure that the project aligns to UNDP-GEF guidance on UNDP execution support;</li> <li>l. Ensure the completion of the required official endorsement letters; and</li> <li>m. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the templates.</li> </ul> <p>4) <u>Validation Workshop (Component C):</u></p> <ul style="list-style-type: none"> <li>a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP, ESMF and any management plans;</li> <li>b. Oversee all necessary revisions that arise during the workshop; and</li> <li>c. Ensure completion of Validation Workshop Report.</li> </ul> <p>5) <u>Final Deliverables:</u></p> <ul style="list-style-type: none"> <li>a. Consolidation of all technical and consultation inputs and comments including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance;</li> <li>b. Completion of the GEF CEO Endorsement Request Package;</li> <li>c. Letter from the Implementing Partner and GEF OFP requesting UNDP Support Services, if applicable</li> <li>d. Overview and responsibilities of project staff and contractors</li> <li>e. Initial Project Procurement Plan</li> <li>f. Finalized SESP and ESMF (and stand-alone management plans as required);</li> <li>g. All documentation from GEF PPG (including technical reports, meeting minutes, etc.); and</li> </ul> |
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|  | <p>h. Validation Workshop Report.</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as Forest Conservation, Forest Management, Natural Resource Management, Conservation Biology, Ecology or Landscape Ecology.</li> <li>▪ Minimum 10 years of demonstrable experience in the technical area of Sustainable Forest Management, Landscape Ecology, Protected Area Management, and in preparing high quality project documents, particularly for UNDP and GEF projects.</li> <li>▪ Excellent written and oral communication skills in English.</li> <li>▪ Demonstrated understanding of the GEF rationale and procedures, and demonstrated experience in formulation of GEF-funded project proposals, using the logical framework and the results-based management approaches.</li> <li>▪ Knowledge of and experience in application of UNDP Social and Environmental Standards to GEF projects, including Standard 5 on displacement and Standard 6 on indigenous peoples.</li> <li>▪ Experience working in Asia on similar projects highly desired to facilitate replication of lessons and approaches.</li> </ul>  |
| <p><b>Consultant 2:</b><br/> <i>National SFM Specialist<br/> (Technical coordinator for national PPG team)</i></p> <p><b>Type:</b> NC</p> <p><b>Cost per person-week:</b> \$950</p> <p><b>Number of person-weeks needed:</b> 9</p> | <p><b>Role</b></p> <p>The National Sustainable Forest Management (SFM) Specialist will be the technical coordinator for the national PPG team and will be responsible for developing project interventions to support the mainstreaming of SFM and biodiversity conservation into land use planning processes, inter-agency coordination and institutional processes, to support the development of the UNDP Project Document (ProDoc). Specifically, the consultant will lead content development related to multi-sector land use planning and coordination platforms, landscape-level conservation, financial incentives including payment for forest ecosystem services (PFES), monitoring &amp; evaluation, and knowledge management, along with contributions to site-based interventions to strengthen capacity and operations of Forest Management Units (FMU) in Ba River basin. The consultant will be a specialist in SFM, with good knowledge of policy, land-use planning, forest resource inventory and FMU processes in Viet Nam.</p> <p><b>Responsibilities and Deliverables</b></p> <p>1) <u>Management of the PPG team:</u></p> <ol style="list-style-type: none"> <li>a. Support the GEF PPG Team Leader with management of the PPG Team, ensuring coordination between individual national consultants;</li> <li>b. Review and quality assure findings, reports and deliverables from other national consultants to ensure an integrated, coordinated approach is taken;</li> <li>c. Coordinate and lead national, provincial and field-level consultations to identify priorities and interests in the project, with engagement from other members of the PPG team.</li> </ol> <p>2) <u>Preparatory Technical Studies and Reviews (Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>a. Review and assess the project baseline covering Viet Nam’s forest management and planning processes. This will include national forest planning and inventory; sector planning; provincial and district land-use planning under sustainable forest management laws such as the Forestry Law 2017, and the 2017 Planning Law; institutional roles and capacity development needs to mainstream biodiversity conservation and land degradation neutrality into SFM planning and operations;</li> </ol> |

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|  | <p>forest violations and enforcement cooperation processes in Ba River basin; financial incentive mechanisms for sustainable forest use and biodiversity conservation including PFES; and processes and platforms for knowledge management, coordination and outreach. This will cover outputs under Components 1, 2 and 3 of the project.</p> <ul style="list-style-type: none"> <li>b. For the above issues, identify and document the development context and threats, problems, barriers, and baseline investments, initiatives and projects, to contribute to these sections of the Project Document;</li> <li>c. Identify key training needs for relevant provincial and district institutions and forest managers and conduct baseline assessments of capacity using the UNDP Capacity Assessment Scorecard (coordinating closely with the National Biodiversity and Protected Area Specialist for protected area managers);</li> <li>d. Identify opportunities to mainstream biodiversity and ecosystem services into spatial and sectoral planning systems, in particular for forestry, agricultural and socio-economic development, into key sector programs/plans, and into land use and sector decision-making and management;</li> <li>e. Define coordination mechanisms for cross- sectoral planning and management within the proposed landscapes, based on existing or proposed new coordination mechanisms, and identify key agencies and sector representation and their roles;</li> <li>f. Identify opportunities and approaches for private sector engagement in project implementation, and conduct initial due diligence on proposed partnerships;</li> <li>g. Based on findings and stakeholder consultations, define appropriate project interventions (with indicative budget, timeframes and coordination arrangements with aligned initiatives) for mainstreaming biodiversity into land use and sector planning, strengthening landscape-level planning and enforcement (Outputs 1.1, 1.2, 1.4), financial incentive mechanisms including PFES (Output 2.7), management and capacity development of FMUs (Outputs 2.1, 2.2), and knowledge sharing and M&amp;E (Outputs 3.2, 3.3);</li> <li>h. Oversee the validation of the proposed project sites and landscapes, with documentation of selection criteria, and advise the National Forest Monitoring and GIS specialist on the development of necessary geo-referencing and maps to support the Project Document;</li> <li>i. Provide inputs to the landscape profile report for target districts and FMUs in Ba River basin;</li> <li>j. Support the assessment of project risks including climate-change related risks and identification of mitigation responses;</li> <li>k. Support the PPG leader with the development of practical and achievable project targets for the Results Framework, including GEF core indicators, and identification of clear baseline, key risks, and assumptions linked to indicators;</li> <li>l. Support the PPG leader with the definition of executing and governance arrangements, Project Management Unit structure and the drafting of TOR for the PMU and specialized technical consultancies and contracts;</li> <li>m. Support the PPG team leader with the preparation of the project’s total budget and work plan and multi-year work plan;</li> <li>n. Facilitate discussions with potential co-financers (including private sector) and secure signed co-financing letters;</li> <li>o. Support the stakeholder analysis and preparation of the stakeholder engagement plan, particularly with national, provincial and district stakeholders, and ensure that consultations are complete and comprehensive; and</li> <li>p. Provide inputs to the SESP to support the identification of potential project risks and mitigation measures;</li> </ul> |
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|  | <p>q. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.</p> <p>3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u></p> <p>a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above;</p> <p>b. Coordinate and review draft documentation and inputs from the national PPG team to support the development of the ProDoc package.</p> <p>4) <u>Validation Workshop (Component C):</u></p> <p>a. Lead, coordinate and contribute to the validation workshop; and</p> <p>b. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>5) <u>Final Deliverables:</u></p> <p>a. A report summarizing the technical baseline analysis as described above, with recommended project interventions with budget, ToR and timelines for the implementation of outputs as specified above;</p> <p>b. Baseline capacity development scorecards for relevant provincial and district institutions;</p> <p>c. Validated Results Framework (including GEF Core Indicator) baseline values, targets, methodology and assumptions;</p> <p>d. Completion (and clearance by UNDP CO) of UNDP due diligence process for project private sector partners;</p> <p>e. Collated co-financing letters;</p> <p>f. Appropriate inputs provided to the Project Document and Annexes, including drafted governance and management arrangements, total budget and co-financing, work plan, TOR Annex and co-financing, inputs to SESP risk assessment and mitigation, as agreed with PPG Team Leader.</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as forest management and policy, land-use policy and planning; public policy; environmental policy, landscape conservation;</li> <li>▪ Minimum 10 years of demonstrable experience in sustainable forest management, forestry, forest law enforcement, sector and land use planning;</li> <li>▪ Demonstrated understanding of political, legal and institutional context and priorities for sustainable forest management and land-use planning in Viet Nam;</li> <li>▪ Demonstrated experience of formulation of projects/programmes in forestry sector and/or biodiversity and landscape conservation;</li> <li>▪ Experience working with UNDP and/or on GEF projects an advantage; and</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul> |
| <p><b>Consultant 3:</b><br/><i>National Policy and Institutional Specialist</i></p> <p><b>Type:</b> NC</p> | <p><b>Role</b></p> <p>The National Policy and Institutional Specialist will assess the policy and regulatory context to mainstream biodiversity conservation into forest management, including under the Forestry Law 2017, and identify priorities and appropriate project interventions to remove policy barriers and close gaps, in support of the development of the UNDP Project Document (ProDoc). The consultant will be a policy specialist in forest management, with good understanding of laws and policy frameworks related to forest management, land-use planning and biodiversity conservation in Viet Nam.</p>  |

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| <p><b>Cost per person-week:</b> \$950</p> <p><b>Number of person-weeks needed:</b> 3</p> | <p><b>Responsibilities and Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Preparatory Technical Studies and Reviews (Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:       <ol style="list-style-type: none"> <li>a. Review and assess the existing policy and regulatory framework under the Forestry Law 2017 and Planning Law 2017 and identify policy and regulatory gaps, barriers and improvements at national, provincial and district level to support effective implementation of laws, addressing gaps related to enforcement and mainstreaming of biodiversity conservation and ecosystem services;</li> <li>b. Identify capacity development needs among key institutions related to the implementation of relevant laws and regulations;</li> <li>c. For the above issues, identify and document the development context and threats, problems, barriers, and baseline investments, initiatives and projects, to contribute to these sections of the Project Document;</li> <li>d. Based on findings and stakeholder consultations, define appropriate project interventions (with indicative budget, timeframes and coordination arrangements with aligned initiatives) to strengthen the policy and regulatory framework and application of regulations at local and provincial levels (Output 3.1) and complement existing initiatives;</li> <li>e. Support the stakeholder analysis and consultations, particularly for institutional stakeholders, and ensure that consultations are complete and comprehensive;</li> <li>f. Provide inputs for the development of practical and achievable project targets for the Results Framework, related to achievable policy and regulatory improvements, and identification of clear baselines;</li> <li>g. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.</li> </ol> </li> <li>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> <ol style="list-style-type: none"> <li>a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above;</li> </ol> </li> <li>3) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> <li>a. Participate in and contribute to the validation workshop; and</li> <li>b. Support all necessary revisions that arise during the workshop, as appropriate.</li> </ol> </li> <li>4) <u>Final Deliverables:</u> <ol style="list-style-type: none"> <li>a. A report summarizing the technical baseline analysis as described above on policy framework and systemic and institutional gap analysis, with recommended project interventions with budget, ToR for technical consultancies and timelines for Output 3.1;</li> <li>b. Inputs to capacity development scorecards as they relate to implementation of policy and regulatory frameworks;</li> <li>c. Inputs to stakeholder engagement plan related to institutional stakeholders;</li> <li>d. Appropriate inputs provided to the Project Document and Annexes, as agreed with PPG Team Leader.</li> </ol> </li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master's degree or higher in a relevant field, such as forest policy, law, public policy; environmental policy;</li> </ul> |
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|  | <ul style="list-style-type: none"> <li>▪ Minimum 10 years of demonstrable experience in development and/or implementation of policy, legal and regulatory frameworks for sustainable forest management;</li> <li>▪ Demonstrated understanding of political, legal and institutional context and priorities for sustainable forest management in Viet Nam;</li> <li>▪ Demonstrated experience in formulation of projects/programmes in forestry sector and/or biodiversity and landscape conservation;</li> <li>▪ Experience working with UNDP and/or on GEF projects an advantage; and</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul>  |
| <p><b>Consultant 4:</b><br/><i>National Biodiversity and Protected Area Specialist</i></p> <p><b>Type:</b> NC</p> <p><b>Cost per person-week:</b> \$950</p> <p><b>Number of person-weeks needed:</b> 8</p> | <p><b>Role</b></p> <p>The National Biodiversity and Protected Area Specialist will assess the capacity and priorities of target protected areas in Ba River Basin, and identify priority interventions to conserve biodiversity and address land degradation in this globally significant landscape. The consultant will coordinate the development of project interventions, stakeholder consultations and baseline assessments at project sites in the Ba River basin and be responsible for the preparation of a detailed landscape profile report. The consultant will be a specialist in biodiversity conservation and protected area management, with good understanding of Viet Nam’s protected area and biodiversity conservation context and priorities, with knowledge in the field of sustainable forest management highly desirable.</p> <p><b>Responsibilities and Deliverables</b></p> <p>1) <u>Preparatory Technical Studies and Reviews (Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>a. Review and assess priorities, threats, challenges and baseline investments related to protected areas in the Ba River basin and the effective conservation, restoration and management of biodiversity across the landscape. This will largely contribute to Component 2 of the project;</li> <li>b. For the above issues, identify and document the development context and threats, problems, barriers, and baseline investments, initiatives and projects, to contribute to these sections of the Project Document;</li> <li>a. Lead the development of a detailed landscape profile report for target districts/PAs, including biodiversity assets, HCVF status, ecological significance and threats to biodiversity including from land-use change, socioeconomic context etc;</li> <li>b. Complete baseline management effectiveness tracking tool (METT) at target protected areas in consultation with park managers and identify their challenges, priorities and capacity development (including training and equipment) needs;</li> <li>c. Confirm timeframes for the establishment of the proposed Special Use Forest in areas under Tram Lap and Dak Rong State-owned forestry companies and identify barriers, needs, priorities, activities and budget that could be supported by the project;</li> <li>d. Identify restoration priorities to restore degraded forests in Ba River Basin to contribute to biodiversity conservation and land degradation neutrality and validate the proposed project restoration target of 500 ha;</li> <li>e. Identify threats, problems, barriers, potential sites, area and budget for implementing forestry land allocation (at least 1,000 ha);</li> <li>f. Support the National SFM Specialist with the completion of institutional capacity assessments for forest managers and district administrations;</li> <li>g. Based on findings and stakeholder consultations, define appropriate project interventions (with indicative budget, timeframes, and coordination</li> </ol> |

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|  | <p>arrangements with aligned initiatives) for protected areas and forest management unit capacity development, forest restoration, and enhanced consideration of biodiversity conservation and land degradation neutrality within sustainable forest management (focused on Outputs 2.1, 2.2, 2.3, 2.6);</p> <p>h. Provide inputs for the development of practical and achievable project targets for the Results Framework, including GEF core indicators, and identification of clear baselines, including Management Effectiveness Tracking Tool (METT) scorecards for identified PAs, improved management and restoration, and viable biodiversity response indicators for the landscape;</p> <p>i. Support the National Communities, Gender and Livelihoods Specialist with the stakeholder analysis, stakeholder engagement plan and consultations with regards to PA and FMU managers, and ensure that they are complete and comprehensive;</p> <p>j. Provide inputs to the SESP to support the identification of potential project risks and mitigation measures;</p> <p>k. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.</p> <p>2) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u></p> <p>a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above.</p> <p>3) <u>Validation Workshop (Component C):</u></p> <p>a. Participate in and contribute to the validation workshop.</p> <p>b. Support necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables:</u></p> <p>a. A report summarizing the technical baseline analysis as described above, with recommended project interventions with budget, ToR for technical consultancies, and timelines for the implementation of Component 2 outputs as specified above;</p> <p>b. A detailed landscape profile report;</p> <p>c. Baseline METT scorecards;</p> <p>d. Validated Results Framework (including GEF Core Indicator) baseline values, targets, methodology and assumptions for Component 2;</p> <p>e. Inputs to comprehensive Stakeholder Engagement Plan;</p> <p>f. Appropriate inputs provided to the Final Project Document and Annexes, as agreed with the PPG Team Leader.</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as conservation biology, biological sciences, natural resource management, ecology or environmental science;</li> <li>▪ Minimum of 10 years of demonstrated relevant professional experience in biodiversity conservation, with relevant experience in protected area management and sustainable forest management, forest planning and forest development;</li> <li>▪ Demonstrated understanding of political, legal and institutional context for biodiversity conservation, forest restoration, and PA establishment and management in Viet Nam;</li> </ul> |
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|   | <ul style="list-style-type: none"> <li>▪ Demonstrated experience in formulation of projects/programmes in forestry sector and/or biodiversity and landscape conservation;</li> <li>▪ Experience working with UNDP and/or on GEF projects an advantage; and</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul>   |
| <p><b>Consultant 5:</b><br/><i>National Communities, Gender and Livelihood Specialist</i></p> <p><b>Type:</b> NC</p> <p><b>Cost per person-week:</b> \$950</p> <p><b>Number of person-weeks needed:</b> 7</p> | <p><b>Role</b><br/>The National Communities, Gender and Livelihood Specialist will be responsible for leading community stakeholder consultations, completing a gender analysis, and developing project interventions to support gender mainstreaming and the enhancement of community livelihoods to support sustainable forest management and biodiversity conservation in Ba River Basin. The consultant will be a gender and social inclusion expert with experience in livelihoods support, gender analysis and engagement and consultation with local communities including ethnic minorities.</p> <p><b>Responsibilities and Deliverables</b></p> <p>1) <u>Preparatory Technical Studies and Reviews (Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>a. Review and assess socioeconomic context, livelihoods status and forest-related income generation models of local communities in Ba River basin; community engagement in sustainable forest management and biodiversity conservation; community capacity development needs; and existing and planned investment in livelihoods support and development, such as non-timber forest product development, forest income generation models, forest/forest land allocations to communities;</li> <li>b. Lead consultations with local communities and ethnic minorities to identify their priorities and interests in the project, including preferences and processes for FPIC as required;</li> <li>c. Identify potential sites, type, activities and budget for suggested livelihood models such as forest income generation models in project areas;</li> <li>d. Prepare the gender analysis and action plan, including identified investments and livelihood opportunities for women, and work closely with the GEF PPG Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>e. Prepare the stakeholder analysis and develop into the comprehensive Stakeholder Engagement Plan, with inputs from other national consultants, and work closely with the GEF PPG Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>f. Advise on gender responsive stakeholder analysis and consultations and ensure that they are complete and comprehensive;</li> <li>g. Support discussions with local communities on Free, Prior and Informed Consent (FPIC) as required, and assessment of potential SESP risks impacting on local communities and ethnic minorities, in coordination with the National Safeguards Specialist, and incorporate FPIC processes and requirements into the comprehensive Stakeholder Engagement Plan and SESP as required;</li> <li>h. Design an appropriate Grievance Response Mechanism for the project for inclusion in the Stakeholder Engagement Plan;</li> <li>i. Based on findings and stakeholder consultations, define appropriate project interventions (with indicative budget, timeframes, and coordination arrangements with aligned initiatives) for livelihoods support, community engagement and gender mainstreaming (focused on Outputs 2.4 and 2.5);</li> </ol> |

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|  | <p>j. Define a framework for the project’s community co-management model on forest and biodiversity;</p> <p>k. Provide inputs for the development of practical and achievable project targets for the Results Framework, including GEF core indicators, and identification of clear baselines for project beneficiaries and livelihoods improvement targets;</p> <p>l. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader</p> <p>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader, including:</p> <p>a. Prepare the comprehensive Stakeholder Engagement Plan, ensure it is Socially Inclusive and Gender Responsive;</p> <p>b. Using the findings from the gender analysis, provide inputs to the project’s results framework and theory of change; ensure gender considerations are integrated into the project’s theory of change;</p> <p>c. Prepare the Gender Action Plan and Budget.</p> <p>3) <u>Validation Workshop (Component C):</u></p> <p>a. Contribute to the validation workshop; and</p> <p>b. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables:</u></p> <p>a. Comprehensive Stakeholder Engagement Plan;</p> <p>b. Gender Analysis and Gender Action Plan with budget;</p> <p>c. A report summarizing the baseline analysis for community engagement and livelihoods as described above, with recommended project interventions with budget, ToR and timelines for the implementation of Outputs 2.4 and 2.5, including suggested livelihood models such as forest income generation models in protected areas;</p> <p>d. Validated Results Framework (including GEF Core Indicator) baseline values, targets, methodology and assumptions for beneficiaries and livelihoods improvement targets;</p> <p>e. Appropriately detailed documentation of PPG stakeholder consultations including the list of participants, with inputs from other national consultants; and</p> <p>f. Appropriate inputs provided to the Final Project Document and Annexes, including SESP, as agreed with the PPG Team Leader.</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as forest resource management, social science and development, environmental policy and planning;</li> <li>▪ Minimum 10 years of demonstrable experience in the technical area of community/livelihoods development and gender analysis and mainstreaming, with experience in working with local and indigenous communities and ethnic minority groups;</li> <li>▪ Demonstrated experience in formulation of development projects/programmes in buffer zones of special use forest; forestry sector and/or biodiversity and landscape conservation;</li> <li>▪ Demonstrated understanding of the national legal and institutional context related to indigenous communities and ethnic minority groups in Viet Nam;</li> </ul> |
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|  | <ul style="list-style-type: none"> <li>▪ Prior experience working on forestry development, forest conservation, community-based forestry management, community-based forest management and income-generation models from forestry activities an advantage;</li> <li>▪ Experience working with UNDP on GEF projects an advantage.</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul>   |
| <p><b>Consultant 6:</b><br/><i>National Safeguard Specialist</i></p> <p><b>Type:</b> NC</p> <p><b>Cost per person-week:</b> \$950</p> <p><b>Number of person-weeks needed:</b> 5</p> | <p><b>Role</b></p> <p>The National Safeguards Specialist will develop mandatory project Annexes related to application of social and environmental safeguards and support adherence of project development to UNDP’s SESP and specific requirements, as appropriate. The consultant will be an environmental and social safeguards expert with experience and knowledge in indigenous peoples and ethnic minority groups.</p> <p><b>Responsibilities and Deliverables</b></p> <p>1) <u>Preparatory Technical Studies and Reviews (Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>a. Review the SESP pre-screening of the PIF; complete the UNDP Social and Environmental Screening Procedure (SESP) conduct initial assessments of all Moderate and High risks, and support the detailed assessment of all project risks including consultations with local stakeholders;</li> <li>b. Assess presence of Indigenous Peoples/ethnic minorities within the project landscape and their interests. If present, assess potential impacts of the project on rights and interests, lands, territories, resources, and traditional livelihoods and determine when FPIC applies in accordance with national contexts and preferences.</li> <li>c. Lead and carry out consultations with communities at demonstration landscape to identify their priorities and interests in the project, and to assess level of understanding and capacity to give consent and identify community preferences for FPIC process as required. Based on these assessments, and if relevant, integrate relevant matters as needed including FPIC into project design and into the comprehensive Stakeholder Engagement Plan, working closely with the Communities, Gender and Livelihoods Specialist;</li> <li>d. Provide inputs, advice and/or feedback on relevant sections of the ProDoc to ensure alignment with and consideration of safeguards, including but not limited to: Stakeholder Engagement Plan; Gender Analysis and Action Plan; Risk Table and “Risks and Assumptions” section; Relevant project Outcomes and/or Outputs; Terms of Reference for the project management unit; and</li> <li>e. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.</li> </ol> <p>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B)</u>:</p> <ol style="list-style-type: none"> <li>a. Complete the SESP, based on assessments undertaken during Component A and detailed development of project interventions, and identify management measures to mitigate risks to be incorporated into the ProDoc;</li> <li>b. Prepare the Environmental Social Management Framework (ESMF) in line with UNDP’s Guidance Note on Assessment and Management;</li> <li>c. Define a grievance response mechanism for the project;</li> </ol> |

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|  | <ul style="list-style-type: none"> <li>a. Support the integration of FPIC as required into the comprehensive Stakeholder Engagement Plan and Project Document; and</li> <li>b. Support agreements on project management arrangements and ensure that safeguards are adequately incorporated into these arrangements.</li> </ul> <p>3) <u>Validation Workshop (Component C):</u></p> <ul style="list-style-type: none"> <li>a. Contribute to the validation workshop; and</li> <li>b. Support all necessary revisions that arise during the workshop, as appropriate.</li> </ul> <p>4) <u>Final Deliverables:</u></p> <ul style="list-style-type: none"> <li>a. Finalized UNDP Social and Environmental Screening (SESP);</li> <li>b. Finalised UNDP Environmental and Social Management Framework (ESMF);</li> <li>c. Appropriate inputs to the comprehensive Stakeholder Engagement Plan including on consultations with local communities and any Indigenous Peoples or Ethnic Minorities present within the demonstration landscape and preferences and requirements for FPIC; and</li> <li>d. Appropriate inputs to the final UNDP-GEF project document based on guidance from the PPG Team Leader.</li> </ul> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as social development, environmental management, international development or relevant area;</li> <li>▪ Minimum 10 years of demonstrable experience in social and environmental standards and impact assessment in an international development context;</li> <li>▪ Prior experience in the safeguards assessments and processes of international organizations and donors, such as World Bank, UNDP, etc;</li> <li>▪ Specific technical expertise in indigenous peoples engagement and application of FPIC an advantage;</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul> |
| <p><b>Consultant 7:</b><br/> <i>Forest Monitoring and GIS Specialist</i><br/> <b>Type:</b> NC</p> <p><b>Cost per person-week:</b> \$750</p> <p><b>Number of person-weeks needed:</b> 4</p> | <p>The Forest Monitoring and GIS Specialist will support the development of project interventions to strengthen forest and biodiversity monitoring, complete forest carbon assessments, and provide GIS analysis and mapping in the project landscape of Ba River Basin to support the development of the UNDP Project Document (ProDoc). The consultant will be a monitoring and GIS specialist with prior experience advising on biodiversity and forest monitoring systems using remote sensing, and in forest carbon assessment.</p> <p><b>Responsibilities and Deliverables</b></p> <p>1) <u>Preparatory Technical Studies and Reviews (Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:</p> <ul style="list-style-type: none"> <li>a. Review and assess forest and biodiversity conservation monitoring systems at national, provincial and district level; gaps and capacity development needs for improved monitoring including use of remote sensing data; and aligned initiatives and planned investments in forest resource and biodiversity conservation monitoring;</li> <li>b. Develop recommendations for a landscape-level monitoring system to assess forest resource changes and biodiversity, incorporating remote sensing techniques, to support decision-making of provincial and district authorities. Based on findings and stakeholder consultations, define appropriate project interventions (with indicative budget, timeframes, and coordination arrangements with aligned initiatives) for establishment of such a system under</li> </ul>  |

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|  | <p>Output 1.3, along with recommendations for coordination and upscaling at national level;</p> <ol style="list-style-type: none"> <li>c. Working closely with the National SFM Specialist and National Biodiversity and Protected Area Specialist, liaise closely with the Forest Inventory and Planning Institute (FIPI) and other partners to acquire GIS information, complete spatial analysis to support the validation/delineation of the project sites/landscape and confirmation of the project core indicator baselines and targets;</li> <li>d. Prepare high-quality maps (accompanied by geo-referenced information and shapefiles) of the demonstration sites and landscape to support the Project Document;</li> <li>e. Working closely with the National SFM Specialist to confirm target areas and parameters, complete an assessment of the potential greenhouse gas (GHG) emissions avoided by the project using the FAO EXACT: ANTE tool; and</li> <li>f. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.</li> </ol> <p>2) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u></p> <ol style="list-style-type: none"> <li>a. Provide high-quality maps and shapefiles for the ProDoc package on the aspects mentioned above.</li> </ol> <p>3) <u>Validation Workshop (Component C):</u></p> <ol style="list-style-type: none"> <li>a. Prepare graphics and maps for the validation workshop;</li> <li>b. Support necessary revisions that arise during the workshop, as appropriate.</li> </ol> <p>4) <u>Final Deliverables:</u></p> <ol style="list-style-type: none"> <li>a. A report summarizing the baseline analysis for forest resource and biodiversity monitoring as described above, with recommended project interventions with budget, ToR and timelines for the implementation of Output 1.3;</li> <li>b. Detailed high-quality project site maps for the ProDoc, along with geodatabase and GIS shapefiles;</li> <li>c. Core Indicator at Baseline estimates for Core Indicator 6.1 Carbon Sequestered or GHG Emissions Avoided calculated using FAO EXACT along with documentation of the assessment parameters and assumptions; and</li> <li>d. Appropriate inputs provided to the Final Project Document and Annexes, as agreed with the PPG Team Leader.</li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ University degree in a relevant field, such as Remote Sensing, Geographic Information Systems or Computer Science.</li> <li>▪ Minimum of 5 years of demonstrated relevant professional experience in forest monitoring, biodiversity monitoring, GIS analysis, remote sensing analysis, cartography or biological database design and development;</li> <li>▪ Demonstrated knowledge of forest resource inventory and monitoring systems and platforms in Viet Nam;</li> <li>▪ Prior experience in conducting forest carbon measurement assessments, with experience in use of FAO EXACT an advantage;</li> <li>▪ Proficient in relevant GIS application (e.g. ArcGIS Desktop, QGIS) and remote sensing applications (e.g. ERDAS Imagine, PCI Geomatic);</li> <li>▪ Excellent written and oral communication skills in English and fluency in Vietnamese.</li> </ul> |
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### Annex 3: List of stakeholders to be consulted in project preparation process

This list is indicative and will be broadened during the PPG process as needed to ensure relevant stakeholders are engaged in project development.

| Stakeholders   | Role in Project Preparation   |
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| Forest Inventory, Planning Institute (FIPI), of Ministry of Agriculture and Rural Development (MARD)       | FIPI is the primary project national executing partner and will be directly involved in all aspects of project preparation. In particular, FIPI will provide all necessary forest baseline data, and will undertake additional necessary baseline studies. With branches located in different regions, FIPI will serve as liaison with provincial and local resource user communities during the project preparation process, and will lead the organization of PPG stakeholder consultations. FIPI will also ensure communication and coordination with other key national government partners and institutions, as well as other non-government partners, such as CSOs and multilateral development partners.   |
| Viet Nam Forest Administration (VNForest), of the Ministry of Agriculture and Rural Development (MARD)     | VNForest is the agency responsible for developing secondary legislation and the policy framework supporting Forestry Law 2017. VNForest administers central Forest Protection Department (FPD) which has the mandate of performing the governmental management of forestry and formulating programs, plans for forest protection and management, forest fire safety, ensuring the compliance with law on forestry. VNForest also has a Department of Protection Forest and Special Use Forest management, which is responsible for biodiversity, HCVF and threatened species in Special Use and Protection Forests. VNForest will be consulted throughout the project preparation process to develop appropriate workplans in line with anticipated needs, particularly under Components 1 and 3. |
| General Department of Land Administration (GDLA), of Ministry of Natural Resources and Environment (MONRE) | The GDLA is responsible for the development, dissemination and implementation of policy, regulations and strategy on forest land allocation and management. It also takes the lead in developing land management plans and guidelines for land allocation at district, provincial and central level and issues land use certificates and land development certificates. It monitors land use according to the land allocation plan. The GDLA will work closely with FIPI on the development of relevant outputs under components 1 and 2.   |
| Departments of Agriculture and Rural Development (DARD) of Gia Lai and Phu Yen Provinces                   | The provincial DARD departments have responsibility for overseeing implementation of forest management on the ground. The Gia Lai and Phu Yen DARD departments will be consulted throughout the project preparation process to ensure the relevance and appropriateness of all planned activities. DARD departments will also be consulted to identify specific capacity needs and gaps related to SFM and biodiversity conservation. The DARD departments of Gia Lai and Phu Yen province have been frequently consulted during development of the PIF.  |
| Departments of Natural Resources and Environments (DONRE) of Gia Lai and Phu Yen Provinces                 | The Gia Lai and Phu Yen DONRE departments have a similar level of responsibility as the DARD departments, but in relation to institutional mandates and responsibilities under MONRE. The provincial DONRE departments will be consulted throughout the project preparation process and will provide key baseline data on land use patterns, land degradation, and biodiversity.  |
| District Administrations of priority districts in Gia Lai and Phu Yen provinces                            | District administrations (including Divisions on Agriculture, Forest Ranger, Natural resources and environment) are key local-level stakeholders in forest management. District administrations in the six anticipated pilot districts will be consulted throughout the project preparation process to ensure local-level support for project activities, and will supply key baseline data at the local level, such as numbers of households, land use types and forest use data.  |
| Commune People’s Committee in selected communes in Gia Lai and Phu Yen                                     | Commune People’s Committees (CPC) are key local authorities in managing land use and forest activities. They are responsible, inter alia, for allocating forest land under their control for co-management by communities. CPCs will be consulted throughout the project preparation process to ensure local-level support for project activities, and to supply key baseline data at the local level, such as numbers of households, land use types, key land degradation issues and forest use data.  |
| Local communities / local resource users   | As the most critical stakeholders for project success, local communities will be engaged through a participatory consultation process to identify key concerns, sustainable livelihood opportunities, and to ensure local support for project objectives. A number of local communities will be   |

| Stakeholders                | Role in Project Preparation   |
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|                             | canvassed in priority areas in the pilot districts during the project preparation process to identify those most likely to support successful project implementation, and where the greatest global environmental benefits can be leveraged.  |
| Ethnic minority groups      | <p>Communities in buffer zones of PAs include the following ethnic minority groups:</p> <ul style="list-style-type: none"> <li>• Kon Ka Kinh National Park’s buffer zone covers 23 village communities of 7 communes across three districts (Mang Yang, KBang and Dak Doa), which are mainly inhabited by Bana ethnic minority group. They have a long history of dependence on extraction of forest resources for their livelihoods, which continues to place pressures on forest protection and management due to illegal encroachment, poaching and firewood collection.</li> <li>• Krong Trai Nature Reserve’s buffer zone covers 22 villages across 5 communes of Son Hoa district, Phu Yen province, which are inhabited by largely Ede ethnic minority group. The traditional cultivation is mostly monoculture, micro-scale and scattered. They have shifted to paddy rice cultivation in recent years, but the productivity remains limited.</li> <li>• Kon Chu Rang Nature Reserve’s buffer zone covers six villages in two communes of K’Bang district, which are mainly inhabited by Ba Na ethnic minority people. Crop production—including upland rice, paddy rice, cassava and maize—is the main source of local income which. Recently, coffee plantation has just been established and expanded, but mainly by immigrants and/or employees of state-own forest companies. In addition, local livelihoods also depend heavily on forest resources, including shifting cultivation, illegal logging, poaching and extraction of NTFPs.</li> </ul> <p>During the development of the PIF, initial consultations were held with village leaders of Hiar (Mr. Wek) and D Krieng (Mr. KHih) villages, Ayun, Mang Yang district, dated 7/1/2020. Further discussions will be scheduled during the PPG.</p> |
| Civil Society Organizations | A number of civil society organizations (CSOs) are working on SFM and biodiversity conservation issues in Viet Nam, including both international NGOs and national CSOs. These organizations—including, but not limited to, People Resources and Conservation Foundation—will be consulted throughout the project preparation process to ensure the relevance of project activities and to support coordination with related initiatives. It is anticipated that some CSOs may be engaged in project activities, such as collecting baseline biodiversity data, community engagement, participatory monitoring, and project education and awareness activities.   |
| Private Sector              | The project will engage the private sector in order to enhance the conservation and management of natural forests and their component biodiversity. This will include engagement with forest companies in the project landscape to enhance commitments to biodiversity conservation within forest management, and to engage the private sector in the proposed project activities on livelihoods development and diversification. Thuan Thien Phuc Company Ltd is a potential co-financier for enhanced forest management efforts. During the PPG, these and other private sector entities operating within the target landscapes, including additional companies responsible for management of production forests, will be engaged in order to identify additional potential partnerships.   |
| Other donor agencies        | Relevant donor organizations will be regularly consulted during the project preparation phase to ensure alignment and coordination of project activities with overall national development strategies, and other initiatives (ongoing or planned) related to SFM and biodiversity conservation, e.g. KfW, JICA, SNV (see baseline projects). Other donor agencies may participate in project oversight and guidance structures during implementation, either through the project steering committee, or via technical working groups leveraged to guide the project.  |