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**Participatory Governance Assessment for REDD+ in Viet Nam**

**Draft Concept Note – Initial Phase**

***This Concept Note on the Participatory Governance Assessment (PGA) for REDD+ in Viet Nam intended to be a starting point for discussion on how a PGA can add value to the REDD+ process in Viet Nam. More specifically, it describes the general purpose of a PGA, how it can fit into the REDD+ context in Viet Nam, the initial activities required to ensure stakeholder participation and contributions, and possible coordination with similar governance initiatives. Especially important is the alignment with FAO’s Forest Governance Monitoring project, which may complement the PGA approach. No decisions regarding objectives, scope, implementation modalities or budget have been made as the intention is to work together with relevant stakeholders from both government and civil society to reach such agreements, after which a more detailed Project Document will be prepared and presented.***

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### PGA overview

**What is the Participatory Governance Assessment (PGA)?**

A PGA is a participatory approach to develop governance data that is measurable over a period of time, and aims at how this information actively can be used – both by civil society and government for decision-making and increased accountability. The process will include a diverse range of key stakeholders as owners of the process. The difference between a PGA and other more externally driven assessments is that it is fully initiated, implemented, and sustained by national and sub-national actors. By ensuring the inclusion and participation of all key national stakeholders in the design, choice of methodology and selection of the framework to be measured, the data that is eventually developed is likely to have more legitimacy, as well as relevance to the country context. The data that is developed from the process then provide strong evidence for policy-making, and contribute towards enhanced social accountability.

When conducted successfully, a nationally owned governance assessment, such as the PGA for REDD+, serves to strengthen democratic governance at the country level, and provides a critical accountability mechanism for government and for citizens to engage on governance issues and voice their opinions. Data produced by the assessment reflect and address citizens’ concerns, and at the same time, benchmarking provides a reference for subsequent planning, monitoring and evaluation.

There are four key principles that differentiate the value of a nationally led PGA, as opposed to external assessments:

1. Accountability – country-led assessments act as critical accountability mechanism for local stakeholders with regard to governance performance
2. Participation – a broad and representative range of national actors (government, civil society, academics) have opportunities to provide input to key stages of the assessment process
3. Transparency – national actors have unbiased access to information on the assessment process, and the results of the assessment are made available to the public as a public good
4. Legitimacy – national actors agree that the assessment process and the findings are legitimate

The PGA approach builds on existing approaches and expertise within the UN-REDD agencies - both on the UNDP/ Oslo Governance Centre’s knowledge and experience of supporting countries conduct democratic governance assessments, as well as FAO’s experience in data collection and monitoring in the forest sector. A combination of this expertise will be applied as relevant to issues within REDD+.

**Why is the PGA relevant in the REDD + process?**

There is broad consensus on the need for a sound governance system at the heart of the REDD+ process and how this will be an important factor contributing to the success and sustainability of REDD+ policies.

The PGA for REDD+ will, through consultative and inclusive processes, contribute to *the development of national systems providing relevant information on how safeguards are promoted, addressed and respected* as recommended in the Cancun Agreement (paragraphs 60 and 71 d).

Beyond the development and sharing of information for increased transparency and accountability, the PGA will also include a capacity-building and training component to enable different stakeholders to provide relevant, reliable and timely information, as well as to encourage civil society to act upon the information made available.

Building on the safeguards included in the Cancun Agreement, the UN-REDD Programme is currently developing a set of Social and Environmental Principles and Criteria (SEPC) to ensure that the Programme’s activities promote social and environmental benefits and reduce any potential risk from REDD+ implementation. As a part of the Programme’s toolkit to promote good governance, the PGA is an operational tool to facilitate the application of the SEPC in national REDD+ programmes. The relevant SEPC are:

***Principle 1 on Democratic Governance;*** states that the Programme should comply with “standards of democratic governance”, and stresses the following six criteria:

1. Ensure integrity of fiduciary and fund management systems
2. Ensure accountability and legitimacy of all bodies representing stakeholders, including through establishing responsive national feedback, complaints and grievance mechanisms, amongst others
3. Ensure transparency and accessibility of all information related to REDD+, including active dissemination among relevant stakeholders
4. Ensure the full and effective participation of relevant stakeholders, in particular, indigenous peoples and other forest dependent communities, with special attention to the most vulnerable and marginalized groups
5. Promote coordination, efficiency and effectiveness, including cooperation across sectors and in the enforcement of laws
6. Ensure the rule of law and access to justice

***Principle 2 on respecting and protecting stakeholder rights;*** underlines the need to respect the knowledge and rights of indigenous people and members of local communities, including human rights, statutory and customary rights, and collective rights. Five criteria are addressed:

1. Respect and promote the recognition and exercise of equitable land tenure and carbon rights by indigenous peoples and other local communities
2. Promote and enhance gender equality, gender equity and women’s empowerment
3. Seek free, prior and informed consent of indigenous peoples and other forest dependent communities and respect and uphold the decision taken (whether consent is given or withheld)
4. Ensure there is no involuntary resettlement as a result of REDD+
5. Respect and protect traditional knowledge and cultural heritage and practices

***Principle 3 on Stakeholder Livelihoods*** states that the Programme must “carefully assess potential adverse impact on stakeholders’ long-term livelihoods and mitigate effects where appropriate”, and stresses the following criteria:

1. Ensure equitable, non-discriminatory and transparent benefit sharing and distribution among relevant stakeholders with special attention to the most vulnerable and marginalized groups
2. Protect and enhance, while minimizing adverse impacts on, economic, social and political well-being of relevant stakeholders with special attention to the most vulnerable and marginalized groups

An adequate information sharing system is therefore a significant element of the governance of REDD+, in that a national governance information system for REDD+ could disseminate data on REDD+ funding received as well as revenue distribution, and other issues of interest, for instance levels of perceived corruption. This information system can provide an accountability mechanism if the data generated is thought to be credible, scientifically sound, and if indicators are chosen so as to reflect and address citizens’ concerns and interests. Of course, the way in which this information is then used to address the problem will also give legitimacy and acceptance to the process. It is also a requirement under the UNFCCC to establish a safeguards information system, which the PGA can support in setting up through the data that will be developed and disseminated.

**How is a PGA typically undertaken?**

1. **Identify and convene relevant stakeholders** – the basis of a PGA is that it is inclusive and participatory in nature. Therefore, a first step will be to identify, consult and convene a group of key stakeholders that are involved, have an interest in, or are affected by the REDD+ initiative. Typically, stakeholders include a mix of government representatives (from relevant agencies and sectors), civil society representatives, academic institutions, and representatives of forest dependent communities. A key outcome of this consultation is the endorsement of the two multi-stakeholder groups who will lead the PGA; 1) A Research Team, and 2) An Advisory Group. The former will lead the implementation of the PGA, whereas the latter provides qualified and expert advice as needed.
2. **Identify the thematic scope of the assessment** – once the Research Team and the Advisory Group have been established, a first undertaking is to further define the scope of the PGA. What is the objective of the assessment (Examples include: Is it the government’s desire to understand the needs and feedback of citizens on expectations from REDD+? Is it to better understand how services are being delivered at the local level, and where the bottlenecks are? Is to understand the state of governance in general?)
3. **Agree on a framework of key components that will be assessed** - and indicators that will be developed.
4. **Agree on data identification and collection –** agree on the types of qualitative and quantitative data sources to be used. This can include administrative, archival and secondary data, as well as survey data. In the case of Viet Nam this will include close collaboration with the FGM methodology of FAO. It will also be necessary to reach an agreement on the data collection methods, such as whether to conduct desk reviews, surveys, target group discussions, or a combination of these different elements. The methodologies selected will impact on the timing, as well as the required budget for the process.
5. **Data analysis –** once the data is collected, it is necessary to use the information and raw data generate to turn into useful information, suggesting conclusions and making recommendations for future decision-making. It is important to get the procedures for the data analysis agreed upon at the start of the overall assessment process in order to avoid potential manipulation or politicization of the data later on.
6. **Data presentation and dissemination** – the accessibility and transparency of the information generated from the assessment is a critical component of the assessment process. Communicating the results of the assessment is in itself an element of strengthening the democratic process. There are many options to be considered for disseminating the information, including producing papers, launching a website, holding dialogues or workshops, public launch of the results etc. Once again, this depends very much in the priorities, purpose and intended outcome of the assessment process.

### Possible application of PGA on REDD+ in Viet Nam

As noted in the introduction, the aim of this Concept Note is to lay out a possible framework for the PGA in Vietnam. Further consultations with national stakeholders in November and December 2011 will guide the scope of the PGA, and eventually lead to the development of a Project Document. The current draft has been prepared with inputs from similar PGA exercises in Nigeria and Indonesia, as well as experiences from the PAPI[[1]](#footnote-2) project in Viet Nam.

Below is a suggested approach for the PGA in REDD+ in Viet Nam:

The PGA process in Vietnam will have two phases[[2]](#footnote-3):

1. Phase 1 (January – August 2012) Firstly, an eight month preparatory phase aims to establish the multi-stakeholder groups, undertake certain mapping exercises and define the thematic scope of the assessment. This first phase would seek to establish a methodology that would fit the Vietnamese context, and select one pilot province for the implementation of the PGA.
2. Phase 2 (September 2012 – onwards) A second phase will take forward the data collection in the thematic areas that have been identified and according to the methodology determined by all relevant stakeholders. Where required, capacity development for data collection may also take place during this phase, as well as for the usage of the information generated by the data. Based on the lessons learned and experiences from the pilot province, the PGA could potentially be expanded to other provinces.
3. **Possible PGA Objectives**

Deciding on the specific objectives for the PGA will emerge out of consultations and decisions taken by the Research Team and the Advisory Group, which includes relevant stakeholders from all concerned areas. However, for the purpose of discussion, the following suggestions and potential areas to focus on are presented below:

**Possible short/medium term activities**

* Map existing capacity levels, challenges and opportunities of indigenous peoples and other forest-dependent communities with regards to their abilities to undertake effective and meaningful participation in REDD+ governance.
* Identify policies and legislation that are relevant in the forestry sector at sub-national levels (also on regulations that may not be specific to the sector, but which could have an impact)
* Assess the capacity of relevant institutions at sub-national levels to implement REDD+ in an accountable and transparent manner.
* Assess mechanisms available to make the Benefits Distribution System accountable and transparent
* Identify anti-corruption mechanisms and strategies

**Possible short/medium term outputs**

* Policy recommendations on approaches necessary to guarantee the human rights of indigenous and other forest-dependent communities for the REDD+ readiness and implementation phase in the pilot province.
* Baseline information on the pilot province level of preparedness in implementing REDD+
* A policy paper on governance issues requiring attention during the REDD+ readiness and implementation phase in the pilot province
* A capacity development programme developed to address the findings of the PGA (e.g. aimed at strengthening mechanism for uptake of data into policymaking, aimed at strengthening mechanisms for stakeholders to hold authorities to account on agreed targets)

**Possible long term outcomes (at the end of phase 2)**

* Provide policy recommendations that will be utilized to develop a road map on strengthening REDD+ governance, and subsequently influence *the* *development of a national system providing relevant information on how safeguards are promoted, addressed and respected*, as recommended in the Cancun Agreement
* Indicators from the PGA are adopted and integrated into existing government indexes or monitoring frameworks
* To assess the existence and effectiveness of an anti-corruption strategy specifically designed for REDD+
* To assess the existence and effectiveness of mechanisms established for meaningful participation by forest-dependent communities in the implementation of REDD+
* To assess the existence and implementation of the benefit distribution system for REDD+ in terms of its transparency and fairness in distribution of benefits to the concerned stakeholders
* Increased efficiency of land administration and service delivery (land registration for example)
* Capacity building to facilitate regular and relevant information sharing (supply side of accountability) as well as the active use of information for increased accountability (demand side of information)
1. **Geographical scope**

Discussions on REDD+ are held mostly at national level in Hanoi, far away from the forests and the various stakeholders closely connected to them. Feedback from the REDD+ community in Hanoi has indicated that a PGA would add more value if implemented at a sub-national level, closer to forest users and especially the forest dependent communities. This is also one of the recommendations from the PAPI exercise jointly implemented by UNDP, VFF[[3]](#footnote-4) and CECODES[[4]](#footnote-5). The PAPI was first piloted in one pilot province, and due to its successful results, expanded to more provinces with a slightly adjusted methodology. The intention is to eventually scale-up the PGA to other pilot provinces as well, based on the recommendations from the first pilot.

*Suggestion for consideration:*

*Being an initiative of the UN-REDD Programme and also aiming for promoting UN-REDD’s Social and Environmental Principles and Criteria, the PGA would add more value if implemented in the existing pilot province of UN-REDD, Lam Dong.*

1. **Stakeholder involvement in the PGA**

The National REDD Network’s Sub-technical Working Group (STWG) on Governance and the Forest Sector Support Partnership (FSSP) have been identified as the multi-stakeholder fora for the initial tabling of the PGA. Initial feedback from these stakeholders will further identify the thematic scope of the PGA. A part of the preparatory phase is the mapping of REDD+ stakeholders in the pilot province.

The implementation of the PGA is led by a Research Team, who consults an Advisory Group as needed. Wider consultations will happen with an open Provincial Working Group. The STWG on Governance in coordination with FSSP will house the PGA for consultations with stakeholders at national level when needed.

**Research Team** – include experts with strong knowledge on the assessment issues who will be responsible for reviewing and improving the overall design of the assessment, finalizing the instrument/methodologies, conducting data analysis, formulating findings and developing recommendations. The Research Team would consist of focal point of UNDP/FAO, PGA Programme Coordinator in the Programme Management Unit in the UN-REDD Programme, a sub-contracted national NGO with strong presence in the field and a national governance expert.

**Advisory Group** – will be consulted by the Research Team around milestone achievements of the assessment, and help the Research Team to strengthen the assessment design and methodology, analyse key findings and form recommendations. Members could include relevant provincial governmental agencies such as the chairman/vice-chairman of the Provincial People’s Committee, representatives from Provincial People’s Council, the Provincial delegation to the National Assembly, DARD[[5]](#footnote-6), a representative from the national government such as the Forest Protection Department in MARD[[6]](#footnote-7) to secure coordination with national policies and potential replications to other provinces, and selected members of the Provincial Working Group, such as Civil Society and ethnic minorities. Examples of representatives from Civil Society could include CERDA[[7]](#footnote-8) and SRD[[8]](#footnote-9), whereas representatives from Ethnic Minorities could include CSDM[[9]](#footnote-10).

**Provincial Working Group**– an open multi-stakeholder group responsible for providing input on the improvement of the assessment design, facilitating data collection in the fields, verify the findings and recommendations formulated by the Research Team and facilitating the implementation of action plans for follow-up activities based on the recommendations. A Provincial REDD Working Group already exists in Lam Dong, although with participation only from staff from government agencies.

*Suggestion for consideration:*

*The formal kick-off of the PGA is proposed to be located to the pilot province, Lam Dong. The kick-off will convene all provincial and relevant national REDD+ stakeholders. Endorsement of the membership of the Research Team, Advisory Group and the establishment of the wider Provincial Working Group are key outcomes expected at the workshop. The kick-off will also aim for stakeholders to bring up and discuss in detail the most pressing governance issues on REDD+ in Lam Dong. The results of the discussion will guide the scope of the PGA.*

**Data Collection methodology**

A robust governance assessment methodology draws from multiple data sources, including both administrative sources (to assess the ‘supply’ of good governance for REDD+) and citizen sources (to assess the ‘demand’ for good governance for REDD+). Administrative sources include budgets, plans, official statistics, and reports, among other administrative tools. Citizen sources may provide data based on people’s experiences (i.e. fact-based), and data based on peoples’ opinions (i.e. perception-based).

To collect these various types of data, both quantitative methods (e.g. surveys) and qualitative ones (e.g. focus group discussions, in-depth interviews) will be used. It is suggested that the PGA would build on the capacity of FAO’s Forest Governance Monitoring project currently under implementation and aiming to strengthen forest governance data collection structures at field level.

By combining quantitative and qualitative data methods and using a wide range of data sources, the results generated by the assessment are likely to be more comprehensive, and thus to be seen as more legitimate and credible by the various stakeholders. This is of critical importance if results are to be used after the assessment, for different purposes (in policymaking, in planning/budgeting, in advocacy and awareness-raising, etc.)

The identification of data sources and the selection of data collection methods will be carried out through a consultative process involving all relevant stakeholders. Among others, the following data collection methods will be considered:

1. *Document review.* A document review could be conducted at the outset of the PGA process, for the initial mapping of governance issues of relevance to REDD+ (this ‘mapping’ would include a REDD+ stakeholder analysis, a review of relevant assessment methodologies, and a compilation of key governance risks for REDD+ in Vietnam based on existing studies – see section below on ‘Timeline’). During the data collection phase, administrative sources would also be consulted (e.g. budget data, official statistics, data from land tenure registration system, etc.)
2. *Stakeholder surveys.* Surveys designed for different stakeholder groups (e.g. for government officials, forest-dependent communities, women’s groups, enterprises, etc.) could generate quantitative data on the experiences and opinions of these various stakeholders on governance issues related to REDD+. Here, lessons learned from UNDP’s PAPI exercise could also be investigated.
3. *Focused Group Discussions (FGDs).* FGDs could be useful to confirm the preliminary findings emerging from the document review and the survey, and to deepen the analysis of the causes and consequences of any particular issue. Different focus groups (7-10 participants in one group) could be held to investigate subsets of issues of particular relevance to certain stakeholders (e.g. one FGD with local government officials, one FGD with community leaders, one FGD with representatives from the enterprises, etc.)
4. *In-depth interviews.* Semi-structured interviews of key ‘informants’ who hold in-depth knowledge about certain issues may be useful both during the initial mapping of governance issues relevant to REDD+, and during the data collection phase, to ‘verify’ the information obtained from the document review, the survey, and FGDs. Interviews with key respondents are also useful to deepen the analysis of why any given issue arises, and what measures could be taken to tackle it.

*Suggestion for consideration:*

*Phase 1 – the preparatory phase of the PGA – will include a document review for the initial mapping of governance issues of relevance to REDD+ (including a REDD+ stakeholder analysis, a review of relevant assessment methodologies and a compilation of key governance risks for REDD+ in Vietnam based on existing studies, to mention a few).*

**IV. Thematic scope**

On the basis of the UN-REDD Programme’s Social and Environmental Criteria and Principles as an overarching framework, the following thematic areas could be some of the options for the PGA to look into. These are just suggestions, and the list is not exhaustive:

1. **Policy and legislation concerning REDD+ and democratic governance**

The assessment could seek to examine the quality of existing policies and legislations which are directly related to the implementation of REDD+[[10]](#footnote-11), the legislative and/or policy gaps which need to be filled, and the extent to which these policies and regulations are implemented in practice. It would address questions such as:

1. Are there adequate policies and legislation, at the provincial level, to regulate REDD+ readiness and REDD+ activities in general?
2. Are these policies and legislations harmonised with one another?
3. Is there a perceived gap between the policies and legislations and their actual implementation?
4. Are these policies and legislation gender sensitive or do they include provisions for women’s empowerment?
5. Do these policies and legislations recognise forest-dependent communities as legitimate stakeholders to be involved in the design and implementation of REDD+?
6. Do these policies and legislations take into account tenure rights and feasible reforms of tenure rights by forest-dependent communities?

**2. Institutional capacity of government agencies at federal, state and local levels**

The assessment could also seek to examine the institutional capacity of provincial-level government agencies to implement the REDD+ Programme. It could address questions such as:

1. Are needs related to REDD+ implementation reflected in the planning and budgeting documents at the provincial level?
2. Are there institutions in local governments specifically dedicated to REDD+, with sufficient mandate, authority, budget, and personnel?
3. Do the officials and staff of the above-mentioned institutions have sufficient technical skills and knowledge about REDD+?
4. What is the appreciation of citizens regarding the manner in which provincial government agencies manage REDD+?
5. Do institutions have a clear strategy to ensure compliance with forestry regulations which fall under their authority, and the means to implement it? What are the main factors that hinder compliance?
6. Are provincial governments adequately equipped to conduct effective oversight and monitoring (including the imposition of administrative sanctions when required)?
7. **Anti-corruption strategy for REDD+**

The assessment could examine the existence and effectiveness of an anti-corruption strategy and mechanism specifically designed for REDD+. It could diagnose the various corruption risks related to REDD+ at all levels, and identify the necessary anti-corruption mechanisms to mitigate these risks. It would address the following questions:

1. Does the REDD+ framework recognise corruption risks and incorporate effective anti-corruption policies and mechanisms?
2. Does the provincial REDD+ framework include institutional collaboration with the national anti-corruption commission or any other state-level oversight body having the authority and powers to undertake investigations and prosecutions regarding corruption cases related to REDD+?
3. Does the REDD+ framework include a provision for and a functioning mechanism to ensure free and easy access to information regarding all key aspects of REDD+, for instance on issuance of land user rights?
4. Does the REDD+ framework contain provisions for capacity building of civil society (CSOs, community-based organisations, REDD+ civil society platforms) to enable them to play an effective oversight role throughout the implementation of REDD+?
5. Is there an independent, effective and easily accessible complaint and recourse mechanism available to the public, and more specifically to forest-dependent communities?
6. **Opportunities for civil society and forest-dependent communities to participate in decision-making processes related to REDD+**

The assessment could examine the existence and effectiveness of mechanisms established for meaningful and broad stakeholder participation, with emphasis on forest-dependent communities and local CSOs in the implementation of REDD+, and could investigate the challenges faced in this connection. The following questions will be addressed:

1. Are local CSOs and forest-dependent communities sufficiently organised (notably through civil society platforms for REDD+) to be able to aggregate and convey their interests?
2. Do these organisations possess sufficient capacity to articulate their demands clearly and convey them effectively in policy- and legislation-making processes?
3. Similarly, do they effectively communicate their positions to their constituencies?
4. Do these organisations have sufficient access to legal resources and do they have sufficient technical skills to document rights violations, and to report them to the relevant authorities and to the public?
5. Are women in forest-dependent communities – a particularly vulnerable segment of REDD+ stakeholders – actively engaged in these organisations?

**5. Benefit distribution system for REDD+**

In this REDD+ Readiness phase, the assessment could examine the *design* of a) the National REDD+ Fund that will channel REDD+ investments, and the *design* of b) the ‘Benefit Distribution System’ to be established in order to administer and distribute REDD+ credits and revenues to relevant stakeholders in a transparent and equitable manner. The following questions will be addressed:

1. Is the management of public REDD+ programmes and investments, and the financial arrangements underpinning those, conducted on the basis of transparent and accountable decision-making?
2. Is the entity mandated with the administration and distribution of REDD+ investments and revenues enjoying a fair level of trust by the public with regards to its perceived level of integrity, fairness and independence from powerful lobbies?
3. Is the financial mechanism that links national REDD+ funds to local beneficiaries transparent and easily accessible to all stakeholders?
4. Does it have a governance structure that involves all relevant stakeholders, and can these stakeholders monitor the administration and expenditure of REDD+ funds?
5. What is the perception of local communities on the risks of misappropriation of REDD+ investments and revenues by powerful groups, such as logging companies, political elites responsible for the management of REDD+ funds, the army, and project developers?
6. **Institutional arrangements**

**Who will facilitate the PGA?**

Funding for the PGA will be channeled through UNDP Vietnam. The PGA has technically been incorporated into the existing UN-REDD Viet Nam Programme, supported by UNDP, FAO and UNEP, whose Phase 1 will be completed by June 2012. As proposed for the PGA, an initial phase could be operated for about 8 months, from Jan – August 2012. This would give the PGA some time to run in alignment with the existing UN-REDD Viet Nam Programme. The alignment seeks to capture synergies such as awareness rising on REDD+ and Safeguards as well as other activities under the UN-REDD Viet Nam Programme. A second phase of the PGA running from September 2012 – Dec 2013, would then pilot the methodology in the pilot province, and eventually and hopefully expand into other REDD+ province.

**Who could be responsible for assuring government ownership?**

The Forest Protection Department (FPD) under MARD has already expressed strong interest to take lead from the government’s side. FPD is also co-chairing the STWG on Governance as well as leading the Working Group of the Timber Legality Assurance System (TLAS) under the FLEGT[[11]](#footnote-12) VPA[[12]](#footnote-13) negotiations, which would ensure coordination with governance issues under those initiatives.

**Data collecting institution**

Being one of the main components of the PGA, the data collection exercise should in principle be undertaken in partnership with an existing governmental institution. However, this decision will have to be made by the Research Team with recommendations from the Advisory Group, and FAO’s expertise will be sought in the phase of exploring options. Options include working with GSO[[13]](#footnote-14), IPSARD[[14]](#footnote-15) or the technical committee set up under the Forest Governance Monitoring project.

### Timeline and activities

The table below encompasses a proposed plan of activities and timeline for the first phase (to be completed by August 2012).

|  |  |  |
| --- | --- | --- |
| Date | Activities | Stakeholders involved |
| December 2011 | Hold two stakeholder consultations at national level to present the PGA format and get initial directions of the scope | Sub-technical Working Group on Governance (21 November), Forest Sector and Support Partnership (6-7 December) |
| December 2011 – February 2012 | Advertise and contract a PGA coordinator | UN-REDD Programme |
| February 2012 | Workshop 1Have a first kick-off meeting for provincial stakeholders in pilot provinceParticipants:* National level: Representatives from the sub-technical working group on governance, Dr. Dzung from Forest Protection Department in MARD, the National Programme Director of the UN-REDD Programme, the Director of the Vietnam REDD+ Office, UNDP, FAO, UNEP and other civil society organizations
* Provincial level: Representatives from Provincial Peoples Committee, Provincial Peoples Council, members of the Provincial REDD+ Working Group, community representatives, civil society organizations and academia

Objectives:* To secure understanding and interest for the PGA across stakeholders
* To reach a consensus on whether to undertake a PGA in the pilot province
* To discuss membership of the Research Team and Advisory Group
* To formally establish a wider REDD+ working group in which to address the PGA
 | Open meeting for all interested stakeholders |
| December 2011 – March 2012 | Identify the members for the Research Team and the Advisory Group | UN-REDD Programme |
| January – April 2012 | Mapping of governance issues of relevance to REDD+ in the pilot province:* REDD+ stakeholder analysis
* Identification of key governance issues and risks
* Assessment of other forest governance initiatives ongoing
* Identify policies and legislation that are relevant in the forestry sector at sub-national
* To map existing capacity levels, challenges and opportunities of indigenous peoples and other forest-dependent communities with regards to their abilities to undertake effective and meaningful participation in REDD+ governance.
* Assess mechanisms available to make the Benefits Distribution System accountable and transparent
* Identify anti-corruption mechanisms and strategy
 | Contracted national expert on governance and REDD+, with technical support from the UN-REDD Programme and the Research Team |
| End of April 2012 | Workshop 2Training workshop on governance assessment and data collection methodologies relevant for REDD+Objectives:* To debrief on, and review the governance mapping
* To learn about relevant assessment and data collection methodologies
* To reach a consensus on critical issues to be assessed in the PGA, and on a first cut of possible indicators
 | Contracted national expert on governance and REDD+, UN-REDD Programme (FAO experts on data collection and experts from Oslo Governance Centre) |
| May-June 2012  | Refining the draft indicator set developed at the workshop | Research Team  |
| July 2012 | Workshop 3Stakeholder consultation at the national level in coordination with the FGM project to get feedback on the draft indicator set | Research Team |
| July – August 2012 | **Developing data collection instruments**(survey questionnaires, administrative data collection forms, guidelines for focus group discussions, checklist for site observation)**Field testing of data collection instruments in pilot province** (verifying availability of data sources, identification of alternative sources, formulation of questions)**Assessments of training needs of data collectors** | Research Team, with support from FAO |
| *PGA Phase 2* |  |  |
| *September 2012* | ***Piloting of the PGA methodology in the pilot province*** * *Training of data collectors*
* *Data collection*
 | *Research Team, with data collectors at national and state levels (in close coordination with FGM)* |

1. Public Administration Performance Index [↑](#footnote-ref-2)
2. The suggested approach is based on experiences of governance assessments in other countries, as well as in the PAPI experience in Viet Nam. [↑](#footnote-ref-3)
3. Viet Nam Fatherland Front [↑](#footnote-ref-4)
4. Center for Researches on Policies Impact Assessment and Capacity Strengthening for Communities in Viet Nam [↑](#footnote-ref-5)
5. Department of Agriculture and Rural Development [↑](#footnote-ref-6)
6. Ministry of Agriculture and Rural Development [↑](#footnote-ref-7)
7. Center for Research and Development in Upland Areas [↑](#footnote-ref-8)
8. Center for Sustainable Rural Development [↑](#footnote-ref-9)
9. Center for Sustainable Development in Mountainous Areas [↑](#footnote-ref-10)
10. These may include the following: Ministry of Forestry regulations ensuring public access to forestry data, concession and revenue information, whistleblower protection legislation, freedom of the press legislation, regulations requiring the publication by the police and the judiciary of enforcement activities, regulations requiring annual audits throughout forestry-related ministries, merit-based hiring and firing policies in forestry-related ministries, etc. [↑](#footnote-ref-11)
11. Forest Law Enforcement Governance and Trade [↑](#footnote-ref-12)
12. Voluntary Partnership Agreements [↑](#footnote-ref-13)
13. General Statistics Office [↑](#footnote-ref-14)
14. Institute of Policy and Strategy for Agricultural and Rural Development [↑](#footnote-ref-15)