

## TERMS OF REFERENCE

### **Participatory Livelihoods Monitoring: Pilot model development for potential REDD+ applications in Vietnam**

Country: Vietnam  
Programme: REDD+  
Project: Delivering Multiple Benefits from REDD+ in Southeast Asia ('MB-REDD') project  
Implementers: SNV – The Netherlands Development Organisation and Vietnam Administration of Forestry (VNFOREST)  
Investor: German Federal Ministry of Environment, Nature Conservation and Nuclear Safety (BMU), International Climate Initiative (ICI)  
Abstract: Developing or adapting existing 'state-of-the-art' data collection and management methodology and protocols for participatory livelihoods monitoring (PLM)  
Duration: Indicative 100 person-days  
Start: 01 July, 2013 – 31 March 2014  
Station: Home-based, with possible travel to/within Vietnam (Hanoi, Da Lat)

#### **1. Background:**

*'Reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries'* (REDD+) has the potential to benefit rural livelihoods, but there are also several potential risks. Monitoring the impact of national REDD+ programmes on local people's livelihoods can help ensure that risks are mitigated and benefits achieved. The results of this monitoring may also help in demonstrating compliance with multilateral environment agreements.

In recognition of the potential social risks and benefits of REDD+, the United Nations Framework Convention on Climate Change (UNFCCC) requested countries to promote and support a set of safeguards for REDD+, including the request that REDD+ activities promote and support *'transparent and effective national forest governance structures'* as well as *'respect the knowledge and rights of indigenous peoples and members of local communities'*. The UNFCCC also requested REDD+ countries to develop a system to provide information on how these safeguards are addressed and respected (a Safeguard Information System, SIS).

Increasingly, forest monitoring functions are being shared among stakeholders, and local people have begun working together with forestry professionals to develop and implement monitoring systems. There are now documented cases of participatory forest monitoring (PFM) throughout the world's tropical forests. *'Full and effective participation of stakeholders, particularly local communities'*, in national REDD+ programme development and implementation is also promoted under the UNFCCC safeguards. Engaging local stakeholders in monitoring has the potential to offer national REDD+ programmes a cost-effective contribution to both carbon and non-carbon aspects of national forest monitoring systems. At the same time, REDD+ could incentivise improved PFM practices, generating data to inform adaptive management and better governance of forests. Adopting a 'no regrets approach', SNV also acknowledges the value of improved forest monitoring as a prelude to better management and governance of forests irrespective of REDD+ developments.

PFM presents a multifaceted approach to engage stakeholders, particularly local people, in REDD+ and contribute to the livelihoods of forest-dependent people. As a priority intervention

area in SNV's approach to 'pro-poor REDD+', PFM is promoted as a means to realise multiple benefits for local communities. To demonstrate these benefits SNV and partners are designing, field testing, and capturing lessons from PFM models to inform national policy reform and improve practices on the ground. SNV strategically intervenes in PFM through the provision of operational guidance in adapting existing in-country monitoring systems to accommodate more participatory approaches, in addition to complementary technical assistance (in collaboration with knowledge partners) on monitoring methodologies and protocols.

Within the broader PFM concept, participatory livelihoods monitoring (PLM) offers an approach to tracking changes in local people's well-being that engages different stakeholders, from national government to the grassroots level. It can be applied to a range of forest tenure arrangements or management and governance systems: from public- or private-owned management boards contracting local people to perform certain monitoring functions, through to community forest management, where the State provides technical outreach services to villages managing their own forestland. PLM can be used to collect data on a range of indicators of human well-being, through a variety of data collection methods and protocols.

Vietnam's National REDD+ Action Programme (NRAP) together with major potential REDD+ readiness investments for Vietnam<sup>1</sup>, indicate participation as a desirable principle in monitoring the impacts of REDD+ activity implementation, both in terms of carbon and non-carbon benefits (and risks). In response to both 'demand' and 'supply' side interest in PFM, SNV and the Vietnam Administration of Forestry (VNFOREST), together with local government and community stakeholders in the southern province of Lam Dong, are currently piloting a model of PFM under the MB-REDD project. The initial focus is on participatory carbon monitoring (PCM), building on preliminary field tests by SNV in 2010. Participatory biodiversity monitoring (PBM) is scheduled for introduction in 2013 and the model will be expanded further to include PLM from 2014 onwards.

The MB-REDD project is now seeking a team of international and/or national specialists to elaborate PLM strategic direction, methodological guidance and field protocols for piloting to inform future implementation of the complete NRAP (and other forestry interventions).

## **2. Objective:**

A model of PLM for potential NRAP, and other forestry initiative, applications, strategised, designed and initiated as part of pilot PFM activities in Lam Dong province

## **3. Indicative tasks:**

### **Phase I STRATEGIZING (30 days – Quarter 3, 2013)**

- Identifying and forging strategic links for PLM piloting in Vietnam with existing international initiatives<sup>2</sup> (3 days)
- Delimiting the scope of PLM potential and initial piloting in Vietnam, particularly in terms of REDD+, PFES<sup>3</sup>, and FLEGT VPA LAS<sup>4</sup> application (4 days)

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<sup>1</sup> Such as the Joint Declaration between the Socialist Republic of Viet Nam and the Kingdom of Norway on REDD+, and the Forest Carbon Partnership Facility's Carbon Fund (FCPF).

<sup>2</sup> Notably the Learning Initiative for Social Assessment of REDD+ (LISA-REDD) and UN-REDD's Participatory Governance Assessment

<sup>3</sup> Payment for Forest Environmental Services

<sup>4</sup> Forest Law Enforcement, Governance & Trade Voluntary Partnership Agreement Legality Assurance System

- Identifying strategic linkages between PLM and *ex ante* social impact assessments<sup>5</sup> of emerging national forestry sector programmes (SESA-ESMF<sup>6</sup>; LIA<sup>7</sup>; PGA<sup>8</sup>) (5 days)
- Understanding and identifying strategic entry points for PLM in existing and evolving monitoring systems in Vietnam (2 days)
- Identifying the main PLM methods<sup>9</sup> and determining their applicability, relevance and limitations within the context of Vietnam (3 days)
- Reviewing existing datasets<sup>10</sup> that could serve as a socio-economic baseline for PLM piloting in Lam Dong province (3 days)
- Conducting stakeholder analysis to identify key actors with possible incentives to adopt responsibilities for implementing PLM (10 days)

## **Phase II      DESIGN (35 days - Quarter 4, 2013)**

- Selecting, based on consultative inputs from in-country stakeholders through a participatory process, a methodology, for PLM piloting in Lam Dong, including: (25 days)
  - identifying the data customers' ('end users') needs at all levels
  - establishing monitoring objectives at local, subnational and national levels
  - selecting and prioritising criteria and indicators meeting local, subnational and national monitoring needs
  - sampling strategy (sampling frequency and density) and methods
  - assessing and determining (financial, human and time) resources, training needs, and constraints
  - reviewing and collating existing data sources
  - selecting data collection, management and analysis techniques and technologies (including soft- and hardware requirements)
  - defining a strategy to integrate lower level monitoring (i.e. at the forest management unit level) into higher level system across jurisdictional hierarchy (i.e. at district, province, or national level)
- Ensuring methods, indicators, and protocols are consistent with planned on-going social impact assessments for forestry sector initiatives (e.g. SESA-ESMF; VPA PIA) (5 days)
- Contributing to elaboration of an 'operational framework' for PFM in Vietnam from the perspective of PLM requirements (5 days)

## **Phase III      INCEPTION (35 days - Quarter 1, 2014)**

- Developing and refining, based on consultative inputs from in-country stakeholders, field data collection and management protocols/manuals for local-level application (25 days)
- Developing a training plan and ToR, for both PLM co-ordinators and village-level field data collectors for field testing methods and protocols in Lam Dong province (5 days)<sup>11</sup>

<sup>5</sup> Particularly indicator identification and monitoring plan elements of these assessment

<sup>6</sup> Strategic Environmental & Social Assessment – Environmental & Social Management Framework

<sup>7</sup> Livelihood Impact Assessment of the FLEGT VPA

<sup>8</sup> Participatory Governance Assessment piloted under UN-REDD, also in Lam Dong province

<sup>9</sup> Broadly in terms of process- (what systems are in place to manage/mitigate social impacts?) versus outcome-based (what has actually changed on the ground?) monitoring, and more specifically drawing on methodological guidance currently being collated by the Forest Carbon Markets and Communities (FCMC) Programme, for LISA-REDD

<sup>10</sup> Particularly Nguyen Trung Thong & A. Enright (2012) *Socio-economic Baseline and Analysis of Drivers of Deforestation: Cat Tien Landscape, Lam Dong Province, Vietnam*. SNV REDD+ Vietnam, Hanoi.

<sup>11</sup> Implementation of the training plan is extralimital and subsequent to the ToR described here.

- Conducting a two-day introductory training workshop to national and provincial project partners on the proposed PLM methodology and protocols (5 days)

#### **4. Deliverables:**

- Inception report presenting strategic options for PLM development, refining scope, outlining approach, detailing activities, division of tasks, timeframe, including:
  - Initial work plan for the assignment, to be approved by the SNV project leader (as an annex to the inception report)
  - Individual ToR for team members aligned with work plan and detailing milestone deliverables to ensure timely progress of the assignment
  - Concise strategic options for PLM covering *inter alia* linkages with international initiatives, national monitoring systems, and relevant assessment processes
  - Draft annotated Table of Contents (ToC) of the PLM protocols/manuals (as an annex to the inception report)
- PLM methodology and indicators, with estimates of suggested/required (financial, human, time) resources, selected through an iterative multi-stakeholder consultation process responding to feedback from SNV advisors, knowledge partners and in-country stakeholders
- PLM data collection and management protocols/manuals, providing step-by-step instruction to field data collection teams and local data managers
- Assessment of training needs, ToR, and work plan for a) training of trainers (PLM coordinators); b) village-level data collectors; and c) forest owner/local government data managers
- Bibliography and soft/hard copies of all documentation consulted during development of PLM methodology and protocols

#### **5. Team member requirements:**

- Second degree the fields of sustainable rural livelihoods, good governance in the forestry sector and social impact assessment
- Minimum seven years of proven track record in providing technical advice to social assessment and monitoring initiatives
- Strong knowledge of REDD+, payment for ecosystem services (PES) and other performance-based forestry financing mechanisms<sup>12</sup>
- Experience with participatory approaches to rural livelihood and governance assessment and monitoring, including indicator selection, data collection and management
- Knowledge of, and experience working with, existing forest inventory monitoring systems and practices in Vietnam a distinct advantage

#### **6. Team composition:**

- Team leader (40 days) – over all conceptual vision, strategic direction and team management
- Livelihood monitoring specialist (35 days) – selection/adaptation of indicators and data collection methods
- Data management specialist (25 days) – development/adaptation of data management systems

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<sup>12</sup> e.g. FLEGT

**7. How to apply:**

Interested individuals or organisations should send most updated CVs and Letter of Interest indicating (1) which elements of the ToR they are responding to and (2) how they are qualified to perform the service, to Mr. Nguyen Vinh Quang ([qnguyenvinh@snnworld.org](mailto:qnguyenvinh@snnworld.org)). Deadline of submission is 17:00 June 9, 2013.