

*Achieving emission reduction in the Central Highlands and South Central Coast of Viet Nam to support
National REDD+ Action Programme goals (RECAF)*

STAKEHOLDER ENGAGEMENT PLAN

28 August 2024

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Abbreviations

4P	Public–Private–Producer Partnership
AVC	Agricultural Value Chain
CFM	Community Forest Management
CIG	Community Interest Group
COVID-19	Severe Acute Respiratory Syndrome Coronavirus 2
DARD	Department of Agriculture and Rural Development
EM	Ethnic Minority
ESS	Environmental & Social Standards
FA	Farmers Association
FC	Farmers’ Cooperative
FAO	Food and Agriculture Organization of the United Nations
FLA	Forest Land Allocation
FGD	Focus Group Discussion
FHH	Female-Headed Household
FPIC	Free, Prior, Informed Consent
GAP	Gender Action Plan
GCF	Green Climate Fund
GBV	Gender Based Violence
HHS	Household Survey
IEC	Information, Education and Communication
IFAD	International Fund for Agricultural Development
IPP	Indigenous Peoples’ Plan
KII	Key Informant Interview
MARD	Ministry of Agriculture and Rural Development
NDC	Nationally Determined Contribution
NTFP	Non-Timber Forest Products
OCOP	One Commune, One Product
OHS	Occupation Health and Safety
PC	Peoples’ Committee

PFES	Payment for Forest Environmental Services
PMU	Project Management Unit
SDP	socio-economic development planning
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEP	Stakeholder Engagement Plan
SMART	Specific, Measurable, Achievable, Reliable, and Time-bound (indicators)
SYIB	Start and Improve Your Business
PC	Peoples' Committee
PMU	Project Management Board
VAC	Violence Against Children
VCAP	value chain action plans
VNFOREST	Vietnam Administration of Forestry
WB	World Bank
WU	Women's Union
YU	Youths' Union

Executive Summary

This Stakeholder Engagement Plan (SEP) details the RECAF project's approach to stakeholder engagement during the project design and implementation phases. It details consultations held during the design phase from June–November 2021 and May–July 2022 amid the resurgence of COVID-19 in Vietnam and summarizes key findings/lessons learned for incorporation in the project design. This SEP also describes principles for engagement, opportunities for feedback loops, and next steps for the project implementation phase.

During project design, consultation with potential beneficiaries (known as affected people) and other stakeholders (interested groups) was conducted via a blend of household surveys, focus group discussions, and key informant interviews. In total, 353 households were surveyed (205 male respondents, 148 female respondents – with one respondent per household); 280 people participated in Focus Group Discussions (FGDs) (127 male; 153 female); and 21 Key Informant Interviews were held (all the KIIs were male). In total, 654 people were consulted (353 male, 301 female). In addition, a list of ministries and departments consulted are listed in Annex 1. Feedback from the consultations was blended into the project design via: (i) gender-specific recommendations (see the Gender Action Plan for full details); (ii) indigenous peoples'-specific recommendations (see the Indigenous Peoples' Plan for full details); and (iii) amended activities and approaches under the project components (e.g. participatory land planning, etc.) to address potential project-related and inherent risks (not caused by the project, but inherent to the project area).

Recommendations from design-phase consultations:

Social Inclusion of Women: Based on design-phase consultations, the following steps are recommended to improve social inclusion of women:

- Ensure at least 40% of female participating in all project planning activities – be it intended to benefit local people at community or household level, including female-headed households;
- Reduce women's burden from traditional household chore by:
 - Exploring and promoting activities that help women save time and labour including drudgery reduction mechanisms,
 - Exploring and increasing use of small-scale practices that involve mechanisation to free up intensive and heavy labour. This can be shared in groups of people that typically share labour,
 - Encouraging male to share more domestic works (towards equal sharing) to enable female to take trainings outside their home.
- Provide funding and capacity building trainings, e.g. technologies, leadership training, financial literacy, business development, etc. to develop value chains that women are more comfortable/skilled for niche products such as bee-keeping, sericulture, weaving, natural dyes (which can be introduced/included in agro-forestry interventions);
- Conduct IEC campaigns for awareness raising, sharing success story and champions;

- Promote female participation throughout the whole process of government lead forest land allocation (FLA), including joint ownership of forest land to promote decision making on the part of female.

The above key recommendations aim to promote equal participation of female from project's target groups, which would enhance female participation in project planning and implementation activities and foster the process of economic empowerment for female members.

Social inclusion of indigenous peoples and ethnic minorities: Based on design-phase consultations, the following steps are recommended to improve social inclusion of indigenous peoples and ethnic minorities (with 40% of the project beneficiaries targeted to be IP/EM):

- FPIC consultation with EM peoples who are present in the project area will be utilized throughout the project to ensure feedback loop into the project design and implementation.
- Project related information will be disclosed to the potential EM peoples who will benefit from the project (and who may be impacted by it) at early stages of the project design.
- When the project design is completed, FPIC consultation with EM peoples will be repeated to provide EM peoples with updated project information to provide a basis for the project to solicit their meaningful feedback and incorporate that feedback into project implementation.
- All project information will be (and has thus far been) presented in a manner that is culturally appropriate to the consulted EM peoples; specifically: relevant presentation forms/styles, use of local languages, and collection of feedback.
- Sufficient time allocation between the early stages of project design and design completion to ensure EM communities fully understand project activities, their environmental and social risks and impacts, and provide feedback throughout project cycle.

Other recommendations: To pre-emptively address issues of land tenure and titling, stakeholder consultations during the design phase highlighted the importance of using participatory land use planning and mapping. The project would build upon traditional institutions for collective decision making, management of land resources, and use/application of indigenous/EM/traditional ecological knowledge infused with scientific technical knowledge. The purpose of using participatory land use planning and mapping would be to:

- support a move towards participatory land use management;
- identify and record the community's land use and utilize that information to harmonize with formal statutory land use;
- move towards identification and recognition of individual household's tenorial use of land, community use of certain areas for usufruct, and, as such, support/bring about more sustainable management;
- serve as a basis to eventually lay formal claims for allocation of rights.

This SEP serves as a guideline and living document to capture engagement throughout the project cycle, facilitating a feedback loop with participation of project beneficiaries. The SEP should be updated on a regular basis (every 6 months) via the annexes to chronicle engagement throughout the project life cycle.

I. CONTEXT

1. **At a Glance:** Viet Nam is located on the eastern margin of the Indochinese peninsula and occupies about 331,231 km², of which agricultural and forestry land occupies 46 and 44%, respectively. Over the last 30 years, the country has achieved strong economic growth with an average Gross Domestic Product (GDP) per capita of 6.4% per annum¹. This growth is however heavily subsidized by unsustainable exploitation of soil, water and forest resources and the degradation and loss of ecological services. The COVID-19 pandemic has unveiled large vulnerabilities causing a significant impact on Viet Nam's economic development in 2020 and 2021. The GDP growth of the first six months in 2021 was about 4%².

2. Viet Nam's Central Highlands region is poorer in comparison to most other regions of the country and remains dominated by the primary sector industries of agriculture and forestry. Primary industries account for between 28-50% of provincial GDP; however, employment in agriculture and forestry is much higher at around 80-90% of the population in the Central Highlands. As such, both are critical for the economy and livelihoods of people in the region. Coffee, rubber, cassava and pepper production are the main cash crops produced. The Central Highlands region hosts more than 450,000 ha of coffee plantations, accounting for nearly 90% of the country's coffee planting area. The expansion of these crops and their subsequent displacement of upland subsistence agriculture have constituted the main drivers of deforestation and forest degradation in the region.³

3. **Climate Case:** The World Bank listed Viet Nam as one of the five countries that will be most affected by climate change.⁴ Over the past 50 years, the average temperature in Viet Nam has increased by approximately 0.5-0.7°C. The increase was more rapid in the project provinces at 0.9-1.0°C. Projected temperature increases are ranging between 1.0°C and 3.4°C by 2080-2099 compared to the 1986 – 2005 baseline. The projections for the project area show a clear increasing trend in mean temperature, maximum temperature, dry days and extreme hot days. Projections on annual rainfall do not show a clear pattern for the project area. Extreme climate events have increased in frequency and intensity,⁵ and droughts are an important climate hazard particularly in the Central Highlights and South-Central Coasts. The severe drought of 2015-2017 in those areas Coasts caused substantial loss of harvests, affecting 175,000 hectares, around 9% of total crop area in the four Central Highland provinces⁶.

4. **AFOLU Sector:** While being affected by climate change, the Agriculture, Forestry and other Land Uses (AFOLU) sector also constitutes the second leading cause of global warming, after energy generation and is responsible for about 24% of carbon emissions.⁷ The country's total net emissions in the agriculture sector (excluding forests) have increased from 52 million tonnes of CO₂e in 1994 to 98.7 million tonnes

¹ 2019.Viet Nam Country Strategy and Opportunity Programme (COSOP) 2019-2025

² <https://www.gso.gov.vn/du-lieu-va-so-lieu-thong-ke/2021/05/bao-cau-tinh-hinh-kinh-te-xa-hoi-thang-5-va-5-thang-dau-nam-2021/>

³ Pham TT, Hoang TL, Nguyen DT, Dao TLC, Ngo HC and Pham VH. 2019. The context of REDD+ in Viet Nam: Drivers, agents and institutions 2nd edition. Occasional paper 196. CIFOR. Bogor, Indonesia.

⁴ World Bank, 2018. Climbing the Ladder: Poverty Reduction and Shared Prosperity in Viet Nam. Update Report 2018.

⁵ <https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Viet%20Nam%20First/VIETNAM%27S%20INDC.pdf>

⁶ JICA 2018. Data collection survey on water resources management in Central Highlands

⁷ IPCC 2018

of CO₂e in 2016⁸. However, the Land-Use Change and Forestry (LULUCF) sector (or “forestland” in the 2016 data) has changed from being a source to a net carbon sink because of national efforts in afforestation and forest restoration. Consequently, net emissions from AFOLU, which combines agriculture and forestland, have decreased from 72 million tonnes of CO₂e in 1994 to 44 million tonnes of CO₂e in 2016 (i.e., from 69% to 14% of total annual net emissions for the country).

5. While these figures are positive, they do not capture the emissions from forest degradation and from conversion of natural forest to plantation forest. Most of the carbon sequestration comes from the planting of monocultures for industrial purposes (especially acacia and rubber). Therefore, while whole forest cover is maintained, the biodiversity of such monocrops is much lower and does not provide equal levels of ecosystem services. Agriculture remains a significant driver of deforestation and forest degradation, in turn driven by market demand for agriculture commodities. Other key drivers include infrastructure development, unregulated logging, poor forest governance and weak community land tenure rights.

6. **Most Climate Vulnerable:** The rural poor are most vulnerable to shocks from natural disasters and hazards resulting from climate change and they are found in greater numbers within the Central Highlands and South-Central Coast provinces when compared to other regions of the country. Poverty rates are 8.3% in the Central Highlands and 12.7% in Ninh Thuan⁹ and both areas boast economies dominated by agriculture and forestry. Amongst ethnic minorities in the region, poverty rates are 40.4% and account for 53.8% of the extreme poor. As deforestation exacerbates climate impacts and monoculture plantations reduce community resiliency to climate change, the rural poor – particularly ethnic minorities – suffer the consequences in terms of increased risk.

7. **From Policy to Action:** The United Nations Framework Convention on Climate Change (UNCCC) Conference of the Parties (COP) encouraged countries to address, inter alia, the drivers of deforestation and forest degradation. Reducing Emissions from Deforestation and Forest Degradation (REDD+) is a central key instrument to Viet Nam’s National Climate Change Strategy. The National Action Program on REDD+ 2011-2020 (NRAP) approved in 2012 and updated in 2017 for the period up to 2030 provides the country’s framework for REDD+ implementation.

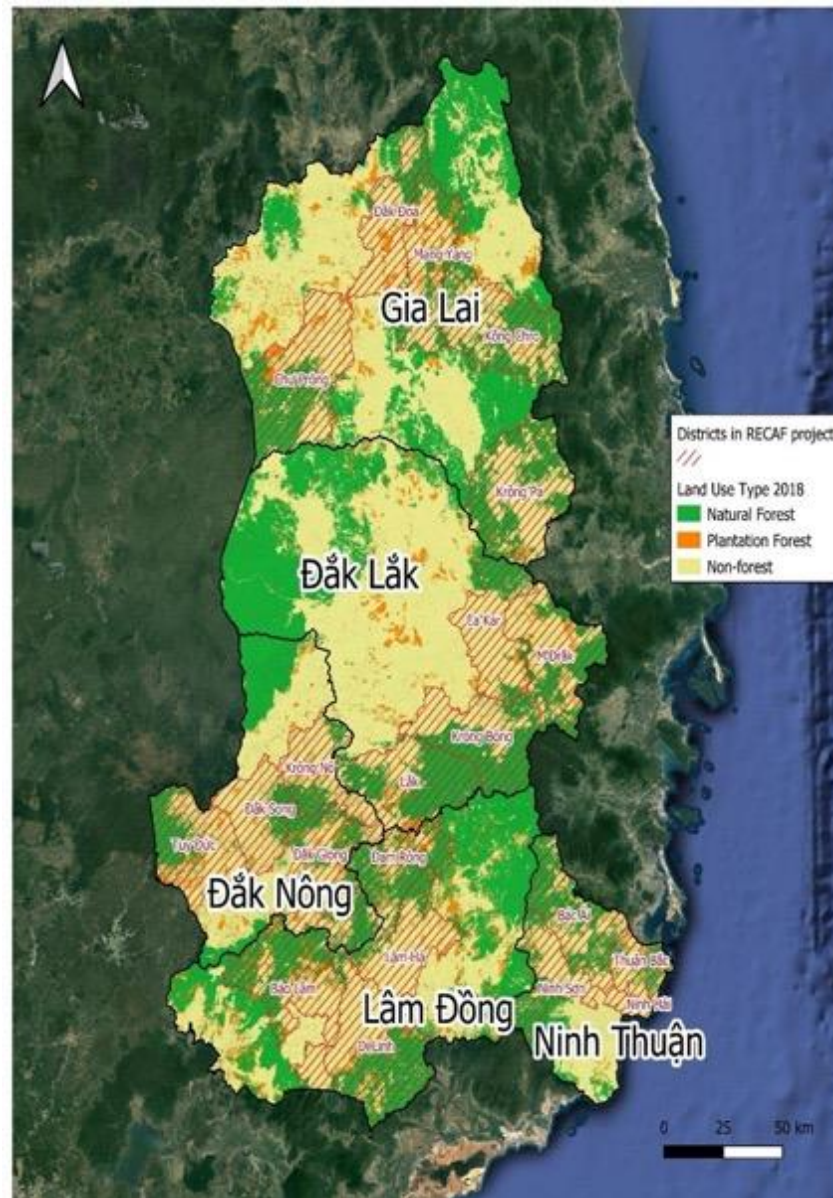
8. **Proposed Interventions:** Within the above context, the project “*Reduced Emissions through Climate-Smart Agro-Forestry*” (RECAF) has been designed to address issues across five project provinces: (i) Dak Lak; (ii) Dak Nong; (iii) Gia Lai; (iv) Lam Dong; and (v) Ninh Thuan. Climate change adaptation and mitigation and measures are urgently required in these provinces along with a strong focus on the most vulnerable (the project will target 40% participation from ethnic minorities specifically). The project aims to facilitate an economically viable transition to sustainable forest management, deforestation-free value chains and climate resilient livelihoods. The project will address barriers to this transition, including: (i) policy and institutional gaps for implementing REDD+ at provincial level (e.g. lack of interdepartmental, cross-sectoral, and public-private coordination; lack of a monitoring system to report emission reductions results); (ii) inequitable distribution of costs and benefits of forest protection and conservation; (iii) lack of secured land tenure; and (iv) lack of incentives for private sector action and lack of access to long-term credit products for mitigation and adaptation investments.

⁸ BUR 3 https://unfccc.int/sites/default/files/resource/Viet%20Nam_BUR3.pdf In 2016, AFOLU is no longer divided in agriculture and LULUCF. This is the total emissions without the absorption from forestland.

⁹ https://www.gso.gov.vn/wp-content/uploads/2021/03/Thong-cao-bao-chi-MDP_MPI_edited.pdf

9. The project will invest in: (i) mainstreaming the NRAP into socio-economic development plans, improve coordination and capacity to implement REDD+; (ii) effective community-based forest management and benefit sharing; and (iii) deforestation-free value chain development, climate resilient infrastructure and development of appropriate credit products. The project area can be seen in Figure 1.

Figure 1: Project Area



10. **Stakeholder Engagement:** To support development and design of this project, extensive stakeholder engagement was conducted to discern potential positive and negative project impacts, as well as key design opportunities to improve accessibility and participation. Continued stakeholder engagement, as detailed in this SEP, must involve iterative consultations throughout the project's life cycle with particular attention to vulnerable populations and groups prone to exclusion, be that for reasons of gender, orientation, age, ability, religious beliefs, and/or ethnicity.

II. PROJECT DESCRIPTION

11. The goal of RECAF is to mainstream REDD+ into the Agricultural, Forestry and other Land Use (AFOLU) sector—relevant policies, planning, and investments at national, provincial, and local levels for enhancement of livelihoods and resilience of communities. More specifically, it works towards one key mitigation and one key adaptation objective:

- **Mitigation Objective:** To reduce emissions from deforestation and forest degradation. The project will accomplish this by addressing the key drivers at the nexus of the forestry and agricultural sectors and through encouraging strategic, productive investments that enable forest rehabilitation and sustainable forest management.
- **Adaptation Objective:** To empower and strengthen resilience of target communities and institutions to develop improved livelihoods and better contend with climate change.

12. **For the mitigation objective**, the project aims to reduce a net total of 1 MtCO₂e over a six-year period, and a net total reduction of 6 MtCO₂e over the 12-year project lifespan, equivalent to 15% of the annual removal according to the FRL and 8% of the target of the NDC/LULUCF. Detailed estimates will be provided at design stage using EX-ACT tool. This will be achieved through activities to reduce and avoid deforestation and forest degradation in hot spots with a combined area of 0.7 million ha and through activities to enhance forest carbon stocks on 0.5 million ha of land. The project region comprises a total of twelve districts, with one million ha of forest in the five provinces of Dak Lak, Dak Nong, Gia Lai, Lam Dong, and Ninh Thuan.

13. **For the adaptation objective**, the project will use a landscape approach to better account for the complex relationship between agricultural use, forest protection, and poverty alleviation. It will support the development (and certification) of deforestation-free supply chains for major agricultural commodities (e.g. coffee). Activities will require a mix of public and private investment along the supply chains, including credit extension to and through these supply chain actors. This includes improved forest governance and management capacity, while assisting national government to overcome barriers to mobilizing REDD+ to incentivize private sector investment in deforestation-free agricultural supply chains and support sustainable forest management practices at local levels. In addition, to mobilize investments for adaptation of smallholder livelihoods to climate change and more equitable forest benefit sharing through Payment for Forest Ecosystem Services (PFES) To deliver this, it will support implementation of the reforms required to strengthen enabling conditions; reforms which have already been initiated by the Government of Viet Nam's (GoV) introduction of new policies and plans for encouraging sustainable forest and land use in the country.

14. The project aims to achieve its objectives through three components: (1) Enabling Environment for the Planning and Implementation of Measures to Reduce GHG Emissions; (2) Measures Implemented to Reduce GHG Emissions from Deforestation, Promote Sustainable Agriculture, and Enhance Climate Resilience; and (3) Coordination, Monitoring, and Knowledge Management. Breakdown in terms of component outcomes, outputs, and activities, are as follows:

OUTCOME 1: Viet Nam's REDD+ design pillars are fully upgraded and integrated into provincial policies & institutional frameworks with improved public-private-producer partnerships (4Ps) to operationalize REDD+

Output 1.1: National REDD+ policies and mechanism upgraded to fulfill all required functions, including afforestation.

Activity 1.1.1: Upgrade National Forest Monitoring System (NFMS) and Safeguard information System (SIS)

- Sub-activity 1.1.1.1. Upgrade a monitoring system to report results of emissions reductions and removals
- Sub-activity 1.1.1.2. Implement the REDD+ Safeguards Information System
- Sub-activity 1.1.1.3. Promote inter-provincial coordination and knowledge management

Activity 1.1.2: Mobilize resources for NRAP implementation and inclusive investment planning and equitable resource distribution mechanisms

- Sub-activity 1.1.2.1. Prepare a Regional NRAP Investment plan
- Sub-activity 1.1.2.2. Conduct capacity building for private sector resource mobilization
- Sub-activity 1.1.2.3. Conduct national multistakeholder policy dialogue on including carbon sequestration services in PFES mechanisms and to draft MCCFM guidelines

Output 1.2: Provincial policies, legal and institutional frameworks, and stakeholder coordination mechanisms integrated with National REDD+ Action Plan (NRAP)

Activity 1.2.1: Mainstream NRAP into provincial policies and legal institutional framework

- Sub-activity 1.2.1.1. Strengthen provincial leadership, political will and commitment
- Sub-activity 1.2.1.2. Support a provincial REDD+ monitoring and information system (MIS) and participatory forest inventory surveys

Activity 1.2.2: Improve cross-sector coordination for better forest management and transition to deforestation-free economic development

- Sub-activity 1.2.2.1. Facilitate 4P platforms to provide inputs and ensure effective implementation of PRAPs
- Sub-activity 1.2.2.2. Facilitate cross-sector coordination, policy dialogue and capacity building on zoning, FLA, MCCFM and PFES

Activity 1.2.3: Enhance Public-Private-Producer Partnerships (4Ps) for deforestation-free economic development

- Sub-activity 1.2.3.1. Generate baseline knowledge
- Sub-activity 1.2.3.2. Identify socially and economically viable and dense agroforestry systems adapted to agro-ecological zones
- Sub-activity 1.2.3.4. Share knowledge with the wider population and advocacy

OUTCOME 2: Emissions reductions from AFOLU consequently to 4Ps' deforestation-free value chains & performance-based finance

Output 2.1: Deforestation free value chains developed by 4Ps and increased access to finance

Activity 2.1.1: Develop deforestation-free commodity supply chains through 4P platforms

- Sub-activity 2.1.1.1. Develop deforestation-free commodity supply chains (perennial crops, acacia-based timber, bamboo)
- Sub-activity 2.1.1.2. Develop value chains for deforestation-free niche products (honey, mushrooms, medicinal plants, herbs, other NWFPs)

Activity 2.1.2: Develop the capacity of farmers, common interest groups (CIGs), cooperatives and small and medium-sized enterprises (SMEs) for deforestation-free value chains and alternative livelihood development

- Sub-activity 2.1.2.1. Establish CIGs
- Sub-activity 2.1.2.2. Train farmers, CIGs, cooperatives and SMEs

Activity 2.1.3: Support financial providers to develop and promote financial products for deforestation-free value chain development

- Sub-activity 2.1.3.1. Strengthen WDFs and CDFs to manage funds and develop products that support investments in deforestation-free value chains
- Sub-activity 2.1.3.2. Provide access to capital for WDFs and CDFs to more rapidly scale credit activities
- Sub-activity 2.1.3.3. Build capacity of commercial banks to develop products, partnerships and application of fintech that support investments in deforestation free value chains and advance project objectives

Output 2.2: Deforestation-free value chains and forest restoration infrastructure upgraded and established

Activity 2.2.1: Develop infrastructure for deforestation free value chains

- Sub-activity 2.2.1.1. Promote sustainable agroforestry through small-scale and micro infrastructure investments, including the development of micro irrigation systems and organic fertilizer production facilities
- Sub-activity 2.2.1.2: Enhance the post-harvest facilities of selected value chains by incorporating value-added processing techniques

Activity 2.2.2: Establish and upgrade forest restoration infrastructure (IFAD Co-finance)

- Sub-activity 2.2.2.1. Strengthen forest monitoring and protection infrastructure by implementing comprehensive upgrades
- Sub-activity 2.2.2.2.: Establish public nurseries dedicated to tree species cultivation, creating essential infrastructure for reforestation and afforestation initiatives

Output 2.3: Collaborative forest management capacity enhanced through performance-based incentives

Activity 2.3.1: Develop a results-based payments for ecosystem services (PES) mechanism for collaborative forest management

- Sub-activity 2.3.1.1. Support Provincial Forest Protection Development Funds (PFPDFs) to design and implement a mechanism for performance-based payments for carbon sequestration services
- Sub-activity 2.3.1.2. Build the capacity building of the PFPDFs

Activity 2.3.2: Support multi-stakeholder commune-level collaborative forest management (MCCFM)

- Sub-activity 2.3.2.1. Facilitate a participatory land use planning and mapping process
- Sub-activity 2.3.2.2. Develop fully-devolved MCCFM pilots
- Sub-activity 2.3.2.3. Develop capacity of village-level MCCFM group members
- Sub-activity 2.3.2.4. Strengthen the MCCFM support system

III. ENVIRONMENTAL & SOCIAL IMPACTS AND INHERENT RISKS

15. **Methodology:** Project-related and inherent risks were determined by: (i) screening the project activities against IFAD's SECAP requirements as well as the GCF's Environmental & Social Standards (ESS); (ii) considering the findings of desk research on risks associated with similar projects; and (iii) incorporating findings from the household surveys (353 total), focus group discussions (with a total of 280 participants), and key informant interviews (21 total).

16. The initial SECAP review identified patterns of existing issues inherent to the project area which could increase risk to the project, its personnel, and/or beneficiaries. The additional desk research highlighted further areas of potential inherent risk and lessons-learned from other projects. The screening of RECAF project activities, coupled with the household survey responses, focus group discussions, key informant interviews, and field visits with consultations provided insight on the latest conditions which could affect the success of the project and the potential project-specific impacts (both positive and negative). A list of consultations and engagement is provided under Annex 1.

17. **Project impacts & inherent risks:** The safeguards categorization for RECAF is moderate for both social and environmental impacts and risks.

18. **Key social impacts anticipated as a result of project activities** include: (i) potential contraction of diseases (e.g. sexually transmitted diseases such as HIV/AIDS, COVID-19, and/or other communicable diseases) due to labor influx; (ii) potential conflict with local ethnic minority (EM) peoples due to construction workers who work and stay near EM communities; (iii) potential labour-related accidents for persons hired by the project construction companies to support seasonal construction work; (iv) gender based violence and/or sexual harassment and abuse (e.g. verbal and physical abuse, sexual harassment, violence against children) due to the influx of labour; (v) child labour/age inappropriate work, if the construction contractor hires local persons for heavy construction works [despite this being prohibited under the current Code of Labour (2019)]; (vi) forced labour (e.g. coerced to work through the use of violence/intimidation, or by more subtle means such as debt manipulation, retention of identity papers, or similar threats); (vii) possible social exclusion (due to vulnerability, land tenure issues, disability, etc.); (viii) lack of contract for EM workers, particularly for seasonal works less than one month's duration.

19. The above risks are assessed to vary from low to moderate because there are no practical measures that ensure complete avoidance. However, when necessary measures are in place and effectively implemented, the likelihood of these consequences happening is likely to be reduced to a manageable level. Mitigation measures are detailed within the project's Environmental and Social Management Framework (ESMF, also found as Annex 6A of the funding proposal).

20. **Key environmental impacts anticipated as a result of project activities:** The project is expected to have largely positive environmental impacts, including improved ecosystem services, soil fertility/soil health, forest health, and natural resources management. Potential negative environmental impacts are expected to be minor, limited in time/scale, and reversible, as they relate to small-scale infrastructure

(e.g. construction/repair of small-scale rural roads, irrigation channels, small-scale reservoirs, etc.). These impacts may include: (i) erosion and run-off to water bodies during earthworks/construction; (ii) temporary traffic blocks and related safety issues during construction and operation; (iii) temporary pollution from construction (e.g. dust, noise, vibration, waste & wastewater generation from workers' campsites); (iv) potential water pollution from sourcing aggregates/construction materials (soil, gravels); and (v) increased water consumption. Additional environmental risks (not explicitly linked to construction activities) include: (i) presence of unexploded ordinances (UXOs) at project sites (an inherent risk listed below); and (ii) increased use of pesticides due to crop intensification/improved crop yields. As with the social risks and impacts, mitigation measures for the environmental risks and impacts are detailed within the project's Environmental and Social Management Framework (ESMF, also found as Annex 6A of the funding proposal).

21. To mitigate issues pertaining to social exclusion and conflict over land use/land tenure/land management, this SEP helps guide the engagement process to ensure transparency of selection criteria and overall process throughout the project cycle. The Grievance Redress Mechanism (GRM) is also available for any project affected persons who feel they have been negatively impacted or excluded.

22. **Inherent Risks:** There are inherent risks pertaining to presence of landmines and unexploded ordinances (UXOs) if construction occurs in new areas (i.e. areas without existing construction/infrastructure/activities). The global COVID-19 pandemic also poses a risk, as travel and/or activities requiring close-proximity work may increase transmission rates if those involved do not follow the guidelines on social distancing and personal protective equipment (PPE) when required by government, depending on the state of the pandemic within Viet Nam at the time of implementation.

IV. RATIONALE AND OBJECTIVE OF THE STAKEHOLDER ENGAGEMENT PLAN

23. The proposed Project is being prepared based on IFAD's SECAP and GCF's ESS. The respective guidelines on stakeholder engagement and information disclosure indicate that implementing agencies should provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner which is free of manipulation, interference, coercion, discrimination and intimidation.

24. This SEP recognizes the importance of open and transparent engagement between the implementation agencies/executing entities and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and significantly contribute to successful project design and implementation. Stakeholder engagement is an inclusive process conducted throughout the project life cycle. When properly designed and implemented, it supports the development of strong, constructive, and responsive relationships that are important for successful management of a project's environmental and social risks.

25. The overall objective of this SEP is to define a technically and culturally appropriate plan of action for stakeholder engagement for public consultation, equal participation, and information disclosure throughout the project cycle. The SEP outlines the ways in which the project team will communicate with stakeholders and includes a Grievance Redress Mechanism (GRM) through which people can raise concerns, provide feedback, or make complaints about project activities.

26. The main goals of the SEP are to ensure the project's potential stakeholders: **(i) have timely access to key project information** such as project's goal, activities, potential project impact, potential stakeholders, including key consultation milestones; **(ii) know when and where consultation opportunities are available** for them to participate; and **(iii) participate in consultation and provide meaningful feedback** to further inform the project design and implementation process. The SEP also provides a brief description of the project's grievance redress mechanisms to be applied for any grievances relating to project investments/activities.

27. The involvement of diverse stakeholder groups is essential to the success of the project and ensuring smooth collaboration between project staff and local communities, including the most vulnerable groups. As such, **the SEP aims to:**

- Establish a systematic approach to stakeholder engagement that helps the implementing agencies/executing entities to identify stakeholders and build and maintain a constructive relationship with those stakeholders (particularly for the project-affected peoples) throughout the project cycle;
- Assess the level of stakeholder interest and support for the project during preparation and implementation to ensure their views inform project design and assessment of environmental and social safeguards performance;
- Promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them;
- Ensure that project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format; and
- Provide project-affected parties with accessible and inclusive means to raise issues and grievances, opt-out, and allow Recipients to respond to and manage such grievances and requests.

28. As such, the stakeholder engagement process provides a continuous feedback loop informing the project and adapting it to stakeholder needs as required. It is based on an understanding of the channels of communication that are most used and trusted by the affected populations, including in the current context of active conflict and displacement, and provides recommendations for a more informed approach to community engagement.

V. PRINCIPLES OF STAKEHOLDER ENGAGEMENT

29. Stakeholder engagement under the project will abide by the following principles:

- **Inclusivity and sensitivity:** the approach used to engage stakeholders and method(s) of communication will be adapted to each group in a manner respectful of and sensitive to their unique needs. Engagement will be tailored based on information from the stakeholder identification and analysis to ensure inclusivity. The goal is to support better communication and effective relationship building. Access to information will not just be equal; it will be equitable, with particular attention given to vulnerable groups including women, elderly, youth, ethnic/religious minorities, and disabled individuals.
- **Openness and life-cycle approach:** public consultations for the project will be iterative in nature and continue for the entirety of the project lifecycle, from preparation through

implementation. Stakeholder engagement will be meaningful and free from manipulation, coercion, and intimidation.

- **Meaningful, informed participation and feedback:** information will be provided and widely distributed among all stakeholders in an appropriate and understandable format (e.g. local language, in-person, telecommunications, etc.). Information must be shared in a timely, relevant, understandable, and accessible way, with opportunities for stakeholders to raise concerns and offering enough time to ensure that feedback is taken into consideration during decision making.
- **Gender sensitivity and social inclusion:** Consultations will be organized during the project cycle, to ensure that women, men, people with disabilities, ethnic minorities, and youth have equal access and active participation to the project activities. When needed, separate meetings and focus group discussions for vulnerable groups (e.g. women, ethnic minorities, etc.) will be held with facilitators from the same gender or ethnicity (if possible) as the participants to guarantee their active engagement. Special support to facilitate access of caregivers, when applicable, should also be provided.
- **Sustainability and resilience:** The implementing agencies/executing entities will assess with affected and interested parties concerns on the sustainability of the project's activities and outcomes beyond the project period. The project's outputs will strengthen the stakeholder's resilience and adaptation in addressing the social, environmental, and economic vulnerabilities and hazards.

VI. PROCESS FOR STAKEHOLDER ENGAGEMENT

30. The process for stakeholder engagement involves the following steps:

- **STEP 1:** Stakeholder identification and analysis;
- **STEP 2:** Engagement during project preparation (*this will contribute to a stakeholder needs assessment, selection of preferred methods of communication, further project refinement, and development of a project-level GRM*);
- **STEP 3:** Engagement during project implementation (*this includes ongoing monitoring and reporting and the establishment of a feedback-loop whereby the project is continually adapted based on evolving community needs*).

31. An overview of the Grievance Redress Mechanism, monitoring & reporting, and Information disclosure and consultation plans are detailed later in this SEP.

STEP 1: Stakeholder Identification and Analysis

32. Identifying stakeholders who will be involved in project planning and implementation is an important step. By engaging the right stakeholders at the right time, the project can ensure that timely feedback from appropriate project stakeholders can be obtained. When combined with appropriate methods of consultation, this ensures that consultations facilitate meaningful feedback. In this step, potential key stakeholders are identified. More stakeholders will be added as the project develops throughout preparation and implementation.

33. To ensure a meaningful consultation process, identification of potential stakeholders is based on the types of project investments to be carried out. The types of project activities under a given investment (re: Component/sub-component) will determine the nature of relationship with stakeholders involved in a particular investment. For example, some RECAF project activities under component 1.1 focused on policy and institutional gaps will be very relevant to line ministries, government departments, and management boards; whilst activities under component 2.3 focused on participatory land use planning and free prior and informed consent would be more relevant to community members, indigenous peoples/ethnic minorities in the project areas, etc. Identification and analysis based on project investment type helps determine the strength of relationship that the stakeholders have to the project's objectives and expected outcomes. Stakeholders may be directly or indirectly affected by the project. Moreover, they may have interests in a project and/or the ability to influence its outcome, either positively or negatively. Conducting a thorough stakeholder identification and analysis is useful for managing communication between the project team and stakeholders throughout the project cycle. Project stakeholders are defined as individuals, groups, or other entities who:

- (i) Are impacted or likely to be impacted directly or indirectly, positively, or adversely, by the Project (also known as '*affected parties*'); and,
- (ii) May have an interest in the Project ('*interested parties*'). These include individuals or groups whose interests may be affected by the Project and who have the potential to influence the Project outcomes in any way.

34. Cooperation and negotiation with stakeholders is required throughout the project cycle. To facilitate this, persons within stakeholder groups who act as legitimate representatives of their respective group and are entrusted by their fellow group members will be identified during the process of engagement. These "gatekeepers" or community representatives may provide helpful insight into the local settings and act both as a (i) means for dissemination of the project information, and (ii) primary communication/liaison link between the project, targeted communities, and their established networks. Legitimacy of the community representatives/gatekeepers can be verified by talking informally to a random sample of community members and heeding their views on who can be representing their interests in the most effective way. This is particularly relevant when working with ethnic minority communities.

35. Stakeholders of this project may include affected parties, interested parties, and vulnerable and disadvantaged groups, as discussed below.

36. **Affected parties:** Affected parties are those who are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to potential risks and impacts associated with the project, thus necessitating close engagement. These may include local community members and other parties who are subject to direct impacts from the Project. Specifically, the following individuals and groups fall within this category:

- Farmers (including smallholder farmers), foresters, and agro-forestry communities;
- PAPs affected by temporary construction works;
- Ethnic minority populations in the project area;
- Women and women's groups in the project area;
- Community workers;
- Enterprising producers, processors, and traders;

- Households in the project areas experiencing extreme poverty, malnutrition and/or food insecurity, particularly children and women/elderly-led households;
- Field officers involved with agricultural extension and/or forest management;
- Local government units within the commune;
- Farmers Associations;
- Contracted workers;
- Cooperating local NGOs and/or implementing partners;
- REDD+ management teams within government involved with the current REDD+ programme.

37. **Other interested parties:** These are considered to have either high interest but low mandate or high mandate but low interest. Other interested parties of the projects' stakeholders include:

- Politicians;
- National institutions and ministries which overlap with the work of, or contribute towards the efforts of, the RECAF project objectives;
- Agriculture, Agroforestry, and/or Forestry Research Institutions not directly involved with implementation support;
- Cooperating international NGOs;
- Other local NGOs (not directly cooperating);
- The public at large.

38. **Disadvantaged/vulnerable individuals or groups:** Disadvantaged or vulnerable individuals or groups are those peoples or groups highly vulnerable to potential project impacts and often do not have a voice to express their concerns or understand the impact and risk of the project. They may be disproportionately impacted or further disadvantaged by the project as compared with any other groups due to their vulnerable status, and usually require special arrangements to ensure their equal (and equitable) representation in the consultation and decision-making process associated with the project. Their vulnerability may stem from their origin, gender, age, health condition, disability, economic deficiency and financial insecurity, disadvantaged status in the community (e.g. minority groups), dependence on other individuals or natural resources, etc.

39. Awareness raising and stakeholder engagement with disadvantaged or vulnerable individuals or groups on the project must consider such groups or individuals' sensitivities, concerns, and cultural differences to ensure a full understanding of project activities and benefits. Engagement with these vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the project related decision making so that their awareness of and input to the overall process are commensurate to those of the other stakeholders.

40. Within the proposed Project, the vulnerable or disadvantaged groups may include, but are not limited to, the following:

- Ethnic minority groups;
- Women and/or youth experiencing high levels of poverty and/or food insecurity;
- Female-headed and elderly-headed households;
- Low-income families/extreme poor;
- Divorced, abandoned, and widowed women;
- Children and youth-headed households;
- People with disabilities;
- Illiterate persons.

41. Vulnerable groups within the communities affected by the project will be further confirmed and consulted when moving from the design to implementation phase as appropriate.

STEP 2: Stakeholder engagement during project preparation

42. Given that this project was designed in the context of the COVID-19 pandemic (complete with government restrictions on gatherings of people), stakeholder engagement was initiated remotely (web calls, Zoom meetings) and progressed to in-person consultations as restrictions eased. Initial stakeholder engagement involved consultations between IFAD, FAO, departments and line ministries within the Government of Viet Nam. As in-person gatherings became possible, representatives from the Provincial Peoples' Committee (PPC) were trained by the IFAD/FAO safeguards team to assist with conducting the household surveys, focus group discussions, and key informant interviews. This process was followed to ensure active engagement of PPC staff and facilitate the PPCs' feelings of ownership over the project.

43. Outreach and engagement with the stakeholders helped identify stakeholder needs, preferred methods of communication, and key obstacles based on inherent risks/situational context of the project areas (a summary of these early-stage engagement activities can be found in Annex 1). Further consultations will be conducted closer to project appraisal to discuss the recently drafted safeguards documents (e.g. ESMF, SEP, Gender Analysis & Action Plan, IPPF) which were designed based on the initial rounds of consultations and outreach. This SEP also draws on lessons-learned from related/similar projects. Further updates to this SEP will occur anytime if/when the project design is amended. This SEP indicates:

- Types of stakeholders to be consulted
- Anticipated issues and interests
- Stages of involvement
- Methods of involvement
- Proposed communications methods
- Information disclosure
- Responsible authority/institution(s)

44. **Considerations & Lessons Learned from Similar Projects/Engagement Efforts:** Stakeholder engagement activities must accommodate contextual factors of insecure land tenure, presence of ethnic minority communities and/or vulnerable population, differentiated needs of women and youth, and additional threats posed by ongoing global pandemics like COVID-19. Social cohesion and trust are paramount and must be built through consistent engagement, positive project-related impacts, and swift addressal of grievances. For land tenure in particular, participatory land-use mapping and management is advised to ensure adequate incorporation of vulnerable populations and recognition of traditional uses (for example, of ethnic minority populations). Based on the past three years of COVID-19, tips are also

provided on ways to reduce disease transmission during peaks of COVID-19 contagion while still ensuring stakeholder engagement and outreach.

a. **Tips for Participatory Land Use Mapping & Management:**

- Participatory land-use mapping and management should be driven by local realities and priorities, taking existing power dynamics into account and recognizing traditional methods used by communities already involved with the land;
- Mapping/management must be inclusive of marginalized groups and build on existing strengths and traditional knowledge; and
- The process should help local communities to feel empowered by playing a bigger role in decision making.

b. **Disease transmission:** Consultations will include necessary precautions to prevent spread of COVID-19. The following are some considerations for selecting channels of communication, given the uncertainty of the ongoing COVID-19 situation:

- Avoid public gatherings (taking into account national restrictions or advisories), including public hearings, workshops and community meetings;
- If smaller meetings are permitted/advised, conduct consultations in small-group sessions, such as focus group meetings and deploy good hygiene practices. If not permitted or advised, make all reasonable efforts to conduct meetings through online channels;
- Diversify means of communication and rely more on social media and online channels. Where possible and appropriate, create dedicated online platforms and chatgroups appropriate for the purpose, based on the type and category of stakeholders involved;
- Employ traditional channels of communications (dedicated phone-lines, radio, television, newspaper, and mail) when stakeholders do not have access to online channels or do not use them frequently. Traditional channels can also be highly effective in conveying relevant information to stakeholders, allowing them to also provide feedback and suggestions;
- Where direct engagement with project affected people or beneficiaries is necessary, identify channels for direct communication with each affected household via a context-specific combination of email messages, mail, online platforms, dedicated phone lines with knowledgeable operators, etc.;
- Each of the proposed channels of engagement should clearly specify how feedback and suggestions can be provided by stakeholders.

45. At the time of preparation, the project design team consulted with potential beneficiaries and other stakeholders via a blend of household surveys, focus group discussions, and key informant interviews. In total, 353 households were surveyed (205 male respondents, 148 female respondents – with one respondent per household); 280 people participated in Focus Group Discussions (FGDs) (127 male; 153 female); and 21 Key Informant Interviews were held (all the KIIs were male). In total, 654 people were consulted (353 male, 301 female). As mentioned before, the overview of persons consulted (including line ministries and departments) is available in Annex 1. Feedback from the consultations was blended into the project design via: (i) gender-specific recommendations (see the Gender Action Plan for

full details); (ii) indigenous peoples'-specific recommendations (see the Indigenous Peoples' Plan for full details); and (iii) amended activities and approaches under the project components (e.g. participatory land planning, etc.) to address potential project-related and inherent risks (not caused by the project, but inherent to the project area).

STEP 3: Stakeholder engagement during project implementation

46. A stakeholder communication strategy will be used during project implementation to address:
 - c. Location of project interventions; general information on project and project-associated risks and impacts; precautionary mitigation measures; grievance redress processes; etc.;
 - d. Appropriate and effective types of communication methods to reach the target groups, including differentiated needs of vulnerable groups and preferred timing of communications and interventions;
 - e. Emergency-communications procedures to inform the public in the instance of a project-related emergency;
 - f. Project and emergency contact information;
47. The strategy will draw upon lessons learned from implementation partners, previous/concurrent projects, and related community engagement efforts (as detailed in the previous section of this chapter). If there is an instance where in-person outreach and communication is hampered by a resurgence in COVID-19, then remote consultations and telecommunications for information dissemination and feedback are recommended, as well as limiting the number of people during face-to-face meetings in line with any COVID-19 related government regulations. Overall, the guiding principles for effective communications and outreach include:
 - g. **Clarity:** the objective of communication and the audience must be clear.
 - h. **Accessibility:** communication must be accessible with effective channels identified to make information available to all, particularly historically underserved and vulnerable groups (this includes provision in local languages and/or via photos and images if illiteracy rates are high).
 - i. **Actionability:** communication should indicate how audiences can move toward action or incite action directly.
 - j. **Credibility:** communications must come from trustworthy sources, following the local standards for trusted forms of communication, establishing technical accuracy, transparency, coordination with partners, and communicating as one consistent message from an agreed-upon entity (for instance, the Project Management Unit).
 - k. **Relevance:** communications should be tailored to include only the most relevant content, specific to the audience. This requires knowing the audience, listening to the audience, tailoring the message to the audience, and then motivating the audience to take part in and provide feedback.
 - l. **Timeliness:** communications must be timely, which means communicating what is known at the right time (rather than leaving stakeholders to speculate) and keeping a continuum of conversation.
 - m. **Comprehensibility:** wherever possible, simple language is preferred, relating the message to the stakeholder's context using visual and local/familiar language.

- n. **Monitoring, Evaluation and Learning:** communications must be iterative in nature and develop through a feedback loop provided by regular monitoring, evaluation, and incorporation of lessons-learned into future iterations.
- o. **Compatibility of Partner Communications:** ensure adequate exploration of the various communication functions and units of the implementing partners (e.g. decentralized offices supporting project implementation), including changes and how such functions would be relevant to the proposed project.

48. With these considerations in mind, the following engagement methods are tentatively proposed:

Table 1: Engagement approach and examples of appropriate application

Engagement Approach	Appropriate Application (Examples)
Technological This includes correspondence via phone and/or email; a project website; social media sites; printed information on project leaflets or signage	<ul style="list-style-type: none"> Establish a hotline for project grievances, concerns, and information, OR utilize an existing hotline (ensuring that all project-specific grievances are captured in the project's grievance log); Distribute information to relevant government officials, NGOs, local government, and organisations/agencies; Invite stakeholders to meetings and conduct related follow-up; Present project information and progress updates; Disclose the ESMF, site-specific ESMPs, and other relevant project documentation; Share information door-to-door on project activities; project investment locations; project disclosure; educational materials on E&S risks/impacts; Highlight site-specific project information Infographics on agroforestry practices, occupational health and safety, etc.
Face-to-Face This includes direct communication with affected populations, focus group meetings	<ul style="list-style-type: none"> Share information on the timing of interventions; Reach consensus on proposed activities/interventions; Present project information to a group of stakeholders and record feedback; Hear the stakeholders' views on targeted baseline information; Build relationships with the communities.
Grievance Redress Mechanism (GRM) Box	<ul style="list-style-type: none"> Establish site specific boxes for project grievances, concerns. Receive written complaints, suggestions, or feedback in the GRM boxes. Involve the local governance structure of the given community (including, where relevant, the governance structure of the EM/IP community) in opening and solving complaints List and document the types of GRM complaints

49. The stakeholder communication strategy during implementation should include a timeline concerning the implementation of communications activities as well as the expected turn-around time for responses to requests for information, among others. The transparency of this timeline will be important for project accountability and the management of expectations. Delays should be reflected in an updated timeline that is easily available for all.

50. With specific regard to COVID-19, and to address project stakeholder needs in instances of a resurgence, a precautionary approach should be taken to the consultation process to prevent infection and/or contagion. The following are some considerations for selecting channels of communication in the instance of resurgence:

- Avoid public gatherings, including public hearings, workshops and community meetings;
- If smaller meetings are permitted/advised, conduct consultations in small-group sessions, such as focus group meetings.

- Diversify means of communication and rely more on social media and online channels. Where possible and appropriate, create dedicated online platforms and chatgroups appropriate for the purpose, based on the type and category of stakeholders;
- Employ traditional channels of communications (TV, newspaper, radio, dedicated phone-lines, and mail) when stakeholders do not have access to online channels or do not use them frequently. Traditional channels can also be highly effective in conveying relevant information to stakeholders, and allow them to provide their feedback and suggestions;
- Where direct engagement with project affected peoples or beneficiaries is necessary, identify channels for direct communication with each affected household via a context-specific combination of email messages, mail, online platforms, dedicated phone lines with knowledgeable operators, etc.;
- Each of the proposed channels of engagement should clearly specify how feedback and suggestions can be provided by stakeholders.

51. In addition to consultations already held during project preparation (see Annex 1 for a full list), a tentative list of forthcoming engagement activities is indicated in Table 2, with the understanding that these will be further refined and updated as the project design is finalized.

Table 2: Tentative List of Forthcoming Stakeholder Engagement Activities

Project stage	Targeted stakeholders	Topics of engagement	Methods	Location and frequency	Responsible unit
GCF Board Approval / just prior to implementation	Lead Agency PMUs and supporting project staff	E&S requirements, and sub-project activities for communes	Inception Workshop with focus group discussion breakouts	One inception workshop to be held per provincial PMU	Lead Agency with support from IFAD
Implementation	Local leaders Communities CSOs Private sector	Sub-project activities for communities	Focus group discussions, key informant interviews, Information dissemination via phone, online, radio, flyers	Focus groups and interviews to be held virtually or in-person, depending on COVID-19 situation; at least two consultations per sub-project site (with EM specific and women-specific consultations); additional outreach via web/phone/ etc.	PPMUs and implementing partners
Implementation	Local leaders; Communities; Implementation partners; Government	GRM and E&S considerations	Sensitization trainings	In person and/or online; Mobile, web, and paper-based posting of information	PPMUs and implementing partners

Project stage	Targeted stakeholders	Topics of engagement	Methods	Location and frequency	Responsible unit
Implementation	Local leaders; communities;	Ongoing reporting for project progress and community satisfaction	Focus groups & key informant interviews; Online and/or paper-based surveys	In person, depending on COVID-19 situation, with additional outreach online/paper-based; suggested to occur every six months.	PPMUs and implementing partners

52. An inception workshop is recommended for the provincial PMUs, once funding is approved, to ensure a common understanding of the project vision, objectives, components amongst the stakeholders and project team before on-ground implementation of the project starts in each province. The inception workshop would set the foundation to strengthen partnerships amongst the stakeholders and project staff and provide an opportunity to better understand the positive and negative impacts of the project, including the E&S management approach. The inception workshop could be organized in two-steps: (i) the first step may focus on project teams and partners¹⁰; and (ii) the second step may focus on the wider stakeholders that have direct and indirect roles in project's implementation. If conducted, the outcome of the inception workshop consultations should be added to this SEP.

VII. INFORMATION DISCLOSURE AND CONSULTATION STRATEGY

53. The strategy for information disclosure and consultation will depend on the local context (including the changing situation of health pandemics like COVID-19). RECAF projects activities have been designed for inclusivity and cultural sensitivity so that vulnerable groups can meaningfully participate in and avail of project benefits while avoiding unnecessary risks. Likewise, stakeholder engagement has been and will continue to be conducted in a culturally sensitive manner, ensuring that men, women, ethnic minorities, youth, and other vulnerable/disadvantaged groups are able to share their views in a safe environment. Information will be delivered in a meaningful, timely, and accessible way for all affected stakeholders. In practical terms, this means the use of local language and/or images in instances of high illiteracy. Information disclosure and consultation may include a blend of household outreach activities, focus group discussions, telecommunications (e.g. radios, phones), and/or the use of verbal communication and pictures. Country-wide awareness campaigns for some of the project activities may be established, but area-specific communications and awareness-raising consultations remain the gold standard for effective outreach.

54. Table 3 illustrates the proposed Strategy for Information Disclosure and Consultation.

Table 3: Proposed Strategy for Information Disclosure and Consultation

¹⁰ Specifically, critical partners for implementation of the project activities

Sub-Project phase	List of information to be disclosed	Methods	Target group(s)	Responsibility
Sub-project identification, screening and assessment	Project concept, E&S principles and obligations, documents, Consultation process. ESMP document includes area, target groups, estimated costs, GRM, ES & OHS risks management and mitigation plans. GBV/ SEA/ gender mitigation/ prevention plan, where applicable.	Participatory methods, door to door/social distance meetings, public consultations, documentation Awareness sessions/ training for Gender/ GBV and SH, GRM and complaint' channels/ confidentiality and anonymity complaints Information leaflets and brochures; and meetings, including with vulnerable groups while making appropriate adjustments to formats in order to take into account the need for social distancing.	Affected groups and interested groups: men, women, youth, elderly, people with disability, disadvantage groups, ethnic minority communities Affected people, marginalized and women groups, and community committee	Lead implementation agencies (e.g. Provincial PMUs) with the support of sub-project teams in a given commune
Implementation and Monitoring	Updated consultations on implementation of the relevant infrastructure scheme(s), SEA and GBV prevention, GRM pathways and closure, progress of environmental and social risks/impacts and mitigation measures If relevant due to COVID-19, a social distancing and communication strategy.	Field visits, focus group discussions (including those specific to vulnerable groups or EM communities), public and Community Consultations GRM cases and accidents' reports and updates Dissemination of hard-copy (e.g. printed materials) at designated public locations; Information leaflets and brochures; separate focus group meetings with vulnerable groups, while making appropriate adjustments to consultation formats to take into account the need for social distancing.	Affected/ disadvantaged target groups, community committee Affected and groups and community committees, complainants submitting reports via the GRM;	Lead implementation agencies (e.g. Provincial PMUs) with the support of sub-project teams in a given commune

Sub-Project phase	List of information to be disclosed	Methods	Target group(s)	Responsibility
Evaluation and close	M&E spot-checks where required, summary of project progress for beneficiaries, summary and documentation of all engagement conducted throughout the project	Focus group discussions with beneficiaries and non-beneficiaries	Affected, interested and disadvantaged persons, non-beneficiaries, and local government	Lead Agency & IFAD

55. As stakeholder engagement is an ongoing process, information disclosure must also be an ongoing process. The Lead Agency & local implementing partners will conduct consultations with the community members and other concerned stakeholders before and during project implementation; likewise, information must be disclosed on an ongoing basis as changes are made throughout the project's lifetime. Preliminary consultations were already conducted during the preparation of the ESMF, and should also be conducted during subsequent preparation of ESMPs and related safeguards documents (e.g. annual IP Plans). The draft and final versions of the ESMF/ESMPs, SEP, IP Plans, and related safeguards documents must be disclosed in both English and local language prior to any formal consultations on the document(s) under discussion.
56. **Reporting back to stakeholders:** Stakeholders will be kept informed as the project develops, especially regarding activities which require specific health and safety procedures and taking COVID-19 into consideration. Reports back to stakeholders must cover summaries of the project's safeguards performance and overall implementation of the stakeholder engagement plan and project-level grievance redress mechanism.
57. **Implementing the strategy:** Once project preparation is complete, the engagement conducted to support the project design (e.g. background reports, annexes, safeguards documents, etc.) will inform the final approach to production of communication materials, including local radio content, and/or traditional information sharing channels for effective information sharing with communities.

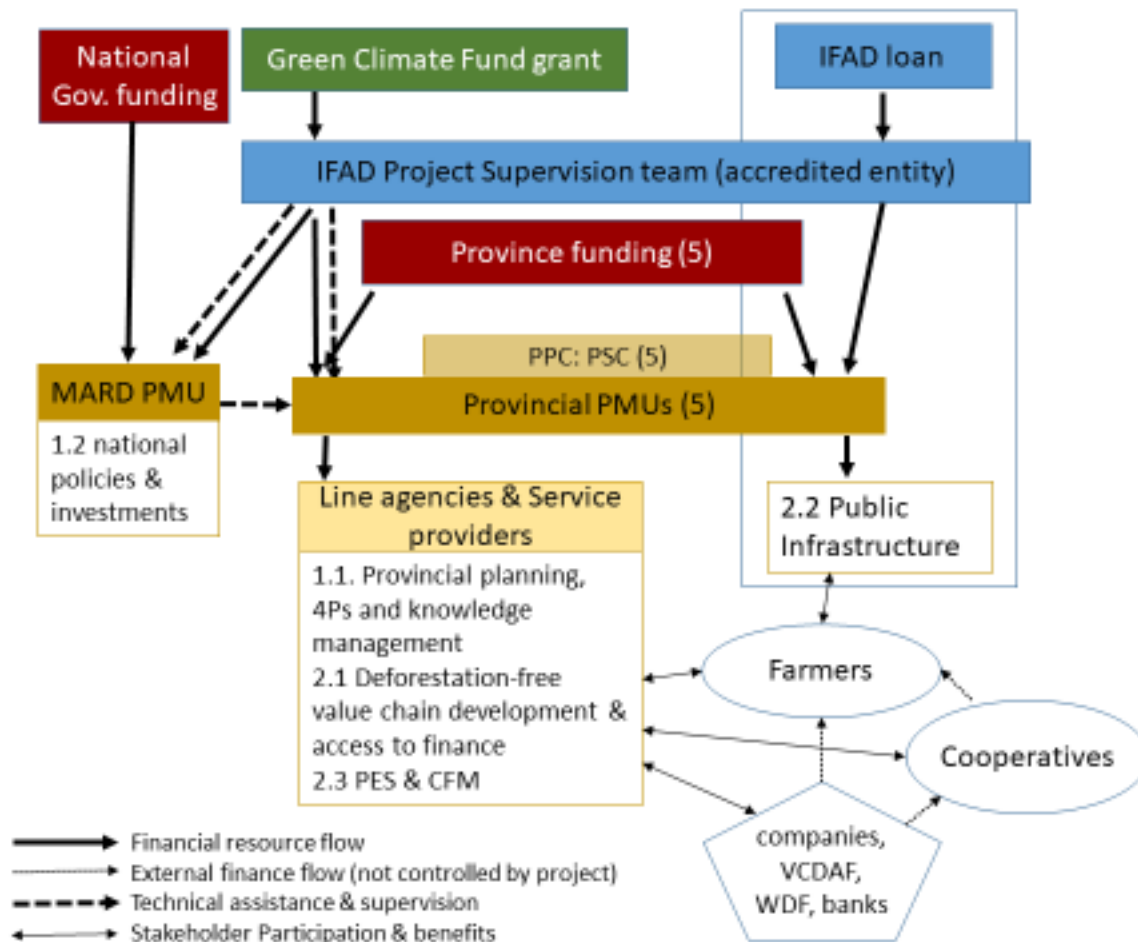
VIII. IMPLEMENTATION ARRANGEMENTS

58. The National Government of Viet Nam has appointed VNFOREST as the Project Coordination Agency and the Province People Committees (PPCs) of Dak Lak, Dak Nong, Gia Lai, Lam Dong and Ninh Thuan provinces, respectively, as the Lead Project Implementing Agencies. Both VNFOREST and the PPCs are accountable for project execution. The PPC will establish Project Steering Committees (PSCs) in each province led by the PPC Chairperson or the Deputy Chairman. VNFOREST and PSCs are mandated to lead the project implementation, ensure coordination and integration of the project with all the national target programmes and donor-funded projects
59. The provincial level PSCs, leading project coordination in their related province, are comprised of provincial line agencies, PCEM, FU, WU/WDF and YU, district level project steering committees, development partners and private sector companies which are party to the RECAF. The PSC

provides the strategic direction to the implementation of RECAF, oversees project planning, financing and procurement processes, mobilises adequate and timely finance for the AWPB, reviews the progress and reporting on results. The PSC would hold joint meetings for the NTP-EMD, NTP-NRD and NTP-SPR and the likewise donor-funded projects in the provinces. VNFOREST and each of the five provincial PPCs establishes a Project Management Unit (PMU) and five Sub-PMUs for implementation of RECAF.

60. To assist VNFOREST in the project coordination and day-to-day implementation, a Project Management Unit (PMU) in accordance to the national regulation on ODA project management will be established. The PMU will mobilize technical support from the other departments under MARD and VNFOREST and line agencies under the PPC and its think-tanks such as the IPSARD, National Centre of Agriculture Extension (NCEA), National University of Forestry in Hanoi and the Highland's University of Agroforestry in Buon Me Thuot to technically support for the project implementation. The PMU will also mobilize external service providers for support in specialized technical areas, such as possibly IDH and SNV on the jurisdictional approach to deforestation-free supply chain management and SNV on rural finance and ICRAF on agroforestry, CFM and PFES.
61. Five Sub-PMUs are established under and report directly to the PPC in each province. The Sub-PMUs are led by a fulltime Provincial Project Director appointed from leadership at the department level. The Sub-PMUs are composed of three technical sections: (i) Strategic Management including dedicated staff for planning and monitoring/evaluation the project activities and the social (gender, youth, EM) and environmental safeguards and REDD+ and climate adaptation activities, (ii) Infrastructure Management including a Non-deforestation Engineer to ensure adherence to social and environmental safeguards and (iii) Financial Management. The DPCs and CPCs coordinate the project implementation. The actual implementation is the responsibility of district and commune line agencies and mass organizations (i.e. FU, WU, YU).
62. The PMU/Sub-PMUs staff and hired technical assistance services provide technical backstopping and supports to RECAF implementation at the district and commune level. The project implementation integrates itself into existing institutions at the local levels to ensure ownership, direct link to higher level policy makers, sustainability, local capacity building and reduced management cost.

Figure 2: Implementation Arrangements



IX. GRIEVANCE REDRESS MECHANISM

63. As required by IFAD and GCF, a project-level GRM must be established under RECAF project to effectively respond to, and resolve grievances submitted by project-affected parties. In line with this, a project-level GRM is prepared (below) in accordance with the Law on Complaints (2021) and requirements of IFAD and GEF on GRM, and good practices that has been adopted for GRM under projects financed by other international financial institutions in Vietnam.
64. Under the RECAF project, Provincial PMU (through PMU's GRM Focal Point) is the central place where people or organization who think they are affected adversely by RECAF activities with regards to environmental, social and climate aspects, can lodge their complaint/grievance to seek for resolution. For some specific complaints, complaint could be addressed directly through dedicated channels outside PMU to resolve in accordance with the national laws.
65. In addition to PMU's central place and dedicated channels, affected people can elevate directly to IFAD to seek IFAD's support in cases where affected people a) don't think Provincial PMU adequately respond to their complaint, b) resolution is not satisfactory, and b) feel they might be retaliated if they go directly to the Provincial PMU.

The sections below, principles that are used to design and implement RECAF's GRM and grievance redress

procedures for three main types of grievance are presented.

9.1 Principles for GRM Design and Implementation

The following principles are used to design and implement the project's GRM:

- **Channels.** Different channels will be established to enable AP to submit grievances conveniently. The following key channels are available:
 - **Offices of Provincial PMUs** – through hotline telephone, email, postal address (that is attended by PMU's GRM Focal Point)
 - **Parties that are designated to specific grievance types** identified for the project (See Procedures for each type of grievance in the next section).
 - **IFAD Vietnam office and Headquarter office** (for serious and emergency cases).
- **Forms.** Grievances can be submitted in writing and verbally, and either directly by the affected households, or by a person delegated by the AP.
- **Disclosure.** GRM procedures will be disclosed in public domain including websites of Provincial PMUs, at public notice boards located at commune's Peoples Committee hall). In addition, during consultation and relevant meetings with relevant people, GRM procedures will be explained to meeting participants.
- **Transparency.** The grievance procedures adopted under this project include steps, expected time frame grievance resolution at each step, notification to AP on how decision was made, decision makers, mediation options.
- **Complaints will be acknowledged within 15 days from the date of complaint receipt.** The unit in charge of complaint resolution will timely notify AP of receipt of their complaints and that they will soon initiate the complaint resolution process.
- **Appeal.** If the agency in charge does not resolve a grievance in a manner that is satisfactory to the AP person, a multistakeholder committee will be established (ad-hoc) to resolve the dismissed grievance – as an alternative for AP going to court. If the grievance could not be resolved satisfactorily by the multistakeholder committee, the AP may resort to the court of law.
- **Monitoring.** Provincial PMUs will consolidate all grievances that are received under the project, record and monitor the complaint resolution process and result in accordance with the timeframe that is specified for each step.
- **There is a time-limit for grievance resolution specified for each step.**
- **AP bear no costs associated with the entire complaint resolution process.** Costs incurred due to grievance resolution will be borne by Provincial PMUs. If AP bring their case to the court of law - as they may wish, AP will bear the costs associated with their lawsuit.
- **Documentation.** A grievance logbook will be maintained and updated periodically by Provincial (by Provincial PMU's GRM focal point).

9.2 Project-level GRM Procedures

66. Under RECAF, based on the assessment during project preparation, the following types of grievances are anticipated: 1) Grievances related to land acquisition, 2) Grievances related to labor and working conditions, 3) Grievances related to sexual exploitation & abuse, and sexual harassment, and 4) other type of grievances.

9.2.1 Project-level GRM Procedures

9.2.1.1 Procedure for submitting grievances related to land acquisition

The affected households have any concerns about land acquisition process such as compensation prices, progress, compensation package, and so on, they can submit their complaints through the following steps:

- **Step 1 – Commune People’s Committee (CPC).** Affected individual/household submits his/her complaint to the People’s Committee of the ward/commune, or through the village head, in written or oral form. Within 10 days from the date of receiving the complaint, the person in charge of complaint resolution shall accept the complaint and notify the AP in writing. The time limit for resolving a first–time complaint does not exceed 30 days after the complaint is accepted. For complicated case, this time limit may be extended but must not exceed 45 days after the complaint is accepted. If the time–limit for complaint resolution (30 days) expires but the case remains unresolved, or if the AP disagrees with the complaint resolution decision, AP may bring the case to the court of law.
- **Step 2 – District People’s Committee (DPC).** Upon receipt of a complaint, DPC will solve the case within 10 days. The time limit for settling a second–time complaint does not exceed 45 days after the complaint is accepted. For complicated case, this time limit may be extended but must not exceed 60 days after the complaint is accepted. If the time–limit for complaint resolution (45 days) expires but the case remains unresolved, or if the AP disagrees with the complaint resolution decision, AP may bring the case to the court of law.
- **Step 3 – Provincial People’s Committee (PPC).** Upon receipt of a complaint, PPC will resolve it within 10 working days. The time limit for settling a third –time complaint does not exceed 45 days after the complaint is accepted. For complicated case, this time–limit may be extended but must not exceed 60 days after the complaint is accepted. If the time–limit for complaint resolution (45 days) expires but the case remains unresolved, or if the AP disagrees with the complaint resolution decision, AP may bring the case to the court of law.

Complaints can also be submitted through Provincial PMUs as AP wishes. However, their complaints will be recorded by PMU in PMU’s Grievance Logbook and PMU will refer the case to party (described above) who is responsible for resolving the grievances as per national law and regulations. PMU will inform AP that the case is referred to facilitate AP’s follow up on the resolution process and result.

9.2.1.3 Procedure for submitting grievances related to labor and working conditions

This procedure is dedicated to project workers who include a) direct workers (hired by PMUs), b) contracted workers (hired by civil work Contractors, sub-contractors, Consulting firms...), c) primary supply workers, and d) community workers. Complaints submitted concerning labor and working conditions (e.g. wage, working time, payment, occupational safety and health issues). Affected persons (APs) should provide adequate information on the cases to facilitate resolution.

- **Step 1 – Employer Level.** AP can submit grievance to their Employer who serves as the first point for receiving and resolving grievance. Under this project, Employers refer to Provincial PMU (for PMU staff), Contractors (for workers). Grievances can be lodged verbally or in writing, and in person or by phone, text message, mail or email. Anonymous complaint is accepted. Employer involved will resolve the case no later than 15 days. Once resolved and the AP is satisfactory, the Employer will report the case, including resolution process and results, to the PMU for information and record. If the AP is not satisfied with the resolution of their Employer, the Employer will refer the AP to the GRM focal point of PMU, and PMU if needed, and inform the AP of this referral.

It is noted that if a complaint is concerned of the safety and health of one or several individuals, such complaint shall be resolved as soon as possible – depending on the nature and urgency of the grievance. For serious cases (e.g. accidents, SEA/SH), the issue shall be raised to the IFAD Country Office within 48 hours after receiving the complaint/grievance.

- **Step 2 – PMU level.** PMU will resolve the complaint referred by the Employer and acknowledge the receipt of the AP's complaints within two weeks from the date of complaint receipt. If the GRM of PMU cannot resolve the complaint, the GRM focal point of PMU will consult with the Head of PMU for resolution. The GRM focal point of PMU will inform AF of PMU's resolution result in writing within 30 days from the date of complaint receipt. If the AP is not satisfied with the resolution outcome proposed by PMU, PMU will refer the case to the PMU for resolving and inform the AP of this referral in writing.
- **Step 3 – Court of Law.** If the AP is not satisfied with the resolution proposed above, a multistakeholder committee will be established (ad-hoc) to resolve the dismissed grievance – as an alternative for AP going to court. If the grievance could not be resolved satisfactorily by the multistakeholder committee, the AP may resort to the court of law. The cost associated to the lawsuit shall be borne by the AP. The decision of the Court will be final.

9.2.1.4 Procedure for submitting grievances related to Sexual Exploitation & Abuse, Sexual Harassment

An SEA/SH allegation can be submitted through the following channels:

- **Provincial PMU's GRM focal point** (for anyone).
- Employers – using the Grievances Procedure for Labor and Working Conditions (if the issue is relevant to project workers).
- **IFAD Country Office** (for anyone) in case the AP feels uncomfortable reporting confidentially to provincial PMU or local government. Sensitive cases and/or critical cases must be elevated immediately to the IFAD Country Office no more than 48h after receiving the complaint.

When a complaint related to SEA/SH is submitted through Provincial PMU, PMU's GRM Focal Point will log, sort, process, and monitor the grievance resolution process and outcome. PMU's GRM Focal Point will acknowledge the receipt of complaints, and take the following two key actions:

- **Action 1:** PMU's GRM Focal Point refers the affected person to relevant GBV service providers (including health and medical services, psychosocial support, and shelter), identified in advance and according to pre-established and confidential referral procedures. The GBV service providers accompany affected persons throughout the process and play a critical role by updating them on the grievance management progress and on safety planning, especially when sanctions are envisaged or will soon be implemented. The service providers should enter into an information sharing protocol with the GRM Focal Point to close the case.
- **Action 2:** If the affected person gives consent, PMU's GRM Focal Point will communicate the allegation to PMU head. The allegation will be reviewed, and a determination made regarding the likelihood of the allegation being linked to the project. If the allegation is likely to be linked to the project, the PMU asks responsible party to take action against the alleged perpetrator and after that communicate back to the affected person.

9.3 Donor's GRM

9.3.1 IFAD's Grievances Redress Mechanism

In addition to the above project-level GRM, IFAD has an established Grievance Redress Mechanism for all IFAD financed projects to enable project stakeholders to reach out to IFAD in case the grievance resolution by PMUs is not functioning properly.

Eligibility Criteria

IFAD will consider only complaints that meet the following criteria:

- The AP claim that IFAD has failed to apply its social and environmental policies and/or the mandatory provisions set out in SECAP.
- The AP claim that they have been or will be adversely affected by IFAD's failure to apply these policies.
- Complaints must be put forward by at least two people who are both nationals of the country concerned and/or living in the project area. Complaints from foreign locations or anonymous complaints will not be considered.
- Complaints must concern projects/programmes currently under design or implementation. Complaints concerning closed projects, or those that are more than 95 per cent disbursed, will not be considered.

Process

- The AP should first bring the matter to the attention of Provincial PMU who is responsible for planning or executing the project, or to any governmental body with the responsibility for overseeing Provincial PMU. If Provincial PMU does not adequately respond, then the matter may be brought to the attention of IFAD. The issue may also be brought straight to IFAD if the AP feel they might be subject to retaliation if they went to the Provincial PMU directly.
- The IFAD Regional Division will examine the complaint and, if necessary, will contact the respective Provincial PMU, or the governmental body with the responsibility for overseeing the Provincial PMU, to decide if the complaints are justified. If the AP request that their identities be protected, IFAD will not disclose this information to the Provincial PMU, or anyone else in government.
- If the complaint is not justified, the IFAD Regional Division will inform the AP in writing.
- If the IFAD Regional Division finds the complaint is justified and there is proof of actual or likely harm through IFAD's failure to follow its policies and procedures, IFAD will take action. This may consist of making changes to the project, or requiring that the government observes its obligations under the Financing Agreement. IFAD's response will focus bringing the project into compliance and no monetary damages will be available or paid in response to such complaints. The AP will be informed of the outcome of the issue by the IFAD Regional Division.
- In all cases, if the AP disagree with IFAD's response, they may escalate to higher level within IFAD by submitting a request the Office of the Vice President of IFAD at SECAPcomplaints@ifad.org to request that an impartial review be carried out by Office of the Vice President.
- The Office of the Vice President will decide on the steps to be taken to examine such complaints, including, if necessary, contracting external experts to review the matter. The

AP will be informed of the results of the review.

- IFAD will include in its Annual Report a list of received complaints and a summary of actions taken to address them.

How to Prepare a Complaint

Affected people who wish to submit a complaint to IFAD need to include the following information in the letter of complaint.

- Name, address, telephone number and other contact information of affected people
- Indicate in the letter if the AP wish to keep their identity confidential, and if so, why
- Name, location, and nature of the IFAD project (if known)
- How the AP believe they have been, or are likely to be, adversely affected by the IFAD-supported project or programme

Alternatively, affected person can complete the form, namely IFAD SECAP Complaints Form which is provided in Annex 2 of this SEP.

Anonymous complaints will not be considered.

Where to send to

For Low-To-Moderate Risk Complaints (see examples in Table below) that are not resolved at commune, district levels, or provincial PMUs, OR in instances where the complaints are of a sensitive nature and require immediate elevation/notification)	Send to: Mr. Ambrosio Barros - Country Director Email: a.barros@ifad.org Telephone (country office): +84 (0)24 37265104 <i>The Country Director will respond within 5 working days of receiving the elevated or sensitive complaint.</i>
For Serious Non-Compliance (Critical risk), OR if complainants disagree with IFAD's response, they may submit a request to SECAPcomplaints@ifad.org and request that an impartial review be carried out by the Office of the Vice-President.	Send email to: SECAPcomplaints@ifad.org ATTN: IFAD SECAP Complaints – Office of the Vice President Send letter by post to: IFAD SECAP Complaints (PMD) Via Paolo di Dono 44 00142 Rome, Italy

Examples of complaint risk-level & related staff members for decision making

Categories	Types	Decision-Maker	Timeframe
Low Risk	<ul style="list-style-type: none"> • Inquiries; • Request for assistance; • False calls. 	<ul style="list-style-type: none"> • Phone Operator 	Immediately
Moderate Risk	<ul style="list-style-type: none"> • Operational (late delivery of inputs and services, issues with construction, etc.); • Out of beneficiaries list; • Out of target area (not included in the project); • Distribution of less amount than envisaged; • Criteria for selection is unclear or not applied; • Quality of items and services provided; • Overlapping activities in the given area; • Dissatisfaction with project activities. 	<ul style="list-style-type: none"> • Concerned provincial safeguards staff in charge; 	Review on bi-weekly basis
Critical Risk	<ul style="list-style-type: none"> • Non-compliance to SECAP (safeguards) policies and procedures • Misconduct of project staff and/or implementing partners; • Corruption; • Severe injury resulting from project activities or interventions; • Sexual Exploitation and Abuse; • Abuse of authority. 	<ul style="list-style-type: none"> • Lead Safeguards Specialist for the project; • IFAD Country Director 	Immediately communicated to the IFAD Country Director

9.3.2 GEF's Independent Redress Mechanism (IRM)

Eligibility

- A grievance or complaint regarding a project in which the GCF has financial involvement.
- Anonymous complaints will not be considered.

Submitting a Grievance or Complaint

- A grievance or complaint can be submitted to the IRM by a person or group of persons or community who has/have been or who may be affected by adverse impacts of a GCF funded project or programme.
- A grievance or complaint may be submitted on the complainant's behalf by the complainant's government or a representative, duly authorised by the complainant to act in that capacity.

Information Provided in a Grievance or Complaint

- The name, location, and nature of the project or programme that has caused or may cause adverse impacts.
- A brief explanation as to how the complainant has been, or may be, adversely affected by the GCF funded project or programme, and

- An indication of whether confidentiality is requested by the complainant.
- In addition, where possible a complainant may wish to include:
 - A description of the relevant GCF operational policies and procedures, if known, that the complainant alleges have not been complied with;
 - A description of other efforts including access to grievance/redress mechanisms of AEs or other dispute resolution processes, if any, that the complainant has pursued or intends to pursue to resolve the concerns, and redress, if any, already received from such efforts; and
 - Other relevant information including documents, media reports, photographs, videos and recordings, if any, which might assist and/or facilitate the IRM's processing of the grievance or complaint.

Submission of a Grievance or Complaint

- Complaints can be submitted
 - through online form, mail, email, voice or video recording, or by calling a toll-free hotline where one has been designated for that purpose by the IRM.
 - In any language the complainant uses.

Eligibility Determination of a Grievance or Complaint

- IRM shall send the complainant or representative, where one has been duly authorised, an acknowledgment and register the grievance or complaint in the IRM register within five (5) calendar days from the receipt of a grievance or complaint.
- The eligibility determination shall be made within thirty (30) calendar days from the date of acknowledgment.
- The IRM will communicate to the complainant its eligibility determination which shall include reasons. If the IRM determines that the grievance or complaint is not eligible, the IRM shall not take any further steps concerning the matter.

Where to send to

Independent Redress Mechanism

Green Climate Fund

Songdo Business District
 175 Art center-daero
 Yeonsu-gu, Incheon 22004
 Republic of Korea

Office telephone: +82 32-458-6186

Fax: +82 32-458-6096

Cellphone: +82 10-4296-1337 (for calling, text messaging, and messaging apps within KST working hours of 9 am to 6 pm Monday to Friday).

For RECAF project, complaint may send complaints through IFAD (through email provided above).

X. MONITORING & REPORTING

67. Monitoring and reporting of safeguards and stakeholder engagement will be conducted periodically throughout the project. This SEP is a living document and may be updated annually or during implementation as necessary. Any major changes to the project-related activities and to implementation schedule will be duly reflected in the updated SEP's. Implementation partners (e.g. provincial teams) will prepare and submit quarterly reports to the Lead Safeguards Specialist, as well as annual SEP implementation reports which include information on ESHS performance and other environment and social instruments of the Project, including the grievance redress mechanism. The quarterly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those issues in a timely and effective manner.
68. The budget required for this SEP will include printing and distribution of relevant communications materials, organized outreach efforts (e.g. focus group discussions, interviews, site visits) and the allocated staff costs. Estimates for consultations and related communications are available in the main ESMF and are built into the main project budget.

ANNEX 1: Overview Consultations during Project Preparation

Agencies, Research Institutes, Ministries, and Line Departments:

- Ministry of Agriculture and Rural Development (MARD) and related Departments (DARD)
- Ministry of Planning and Investment (MPI) and related Departments (DPI)
- Ministry of Finance (MOF)
- Forest Protection Department (FPD)
- Provincial Peoples' Committees (PPCs) for each province
- Provincial agencies, specifically:
 - DPI
 - DARD
 - CEMA
 - DOIT
 - DOST
 - Farmers' Union (FU)
 - Women's Union (WU)
 - DONRE
 - DOLISA
 - Representatives from project districts
- Women's Development Fund (WDF)
- IDH (the sustainable trade initiative)
- VN Forest
- SNV (Netherlands Development Organization)
- Viet Nam Development Bank (VDB)

Consultations with a stronger focus on safeguards, ethnic minority needs, women, and vulnerable populations (see following page):

Locations	Timing	No. of Participant	Forms of Consultation	Participants
Dak Lak Province				
▪ Ea Kar district	12 October 2021	1 (Male)	Key Informant Interview (KII)	Nguyễn Phi Tiến – Vice Director – Ea Kar Forestry Company
▪ Lắk district	15 October 2021	1 (Male)	KII	Nguyễn Trọng Bình – Director of Lắk Forestry Company
▪ M'Đrắk district	21 October 2021	1 (Male)	KII	Phạm Văn Châu – Chairman of M'Đrắk Forestry Company
▪ Krông Bông district	12 October 2021	1 (Male)	KII	Võ Sỹ Sáu - Chairman of Krông Bông Forestry Company
Dak Nong Province				
▪ Dak G'ong District (Dak Som commune)	25 August 2021	4 (Female)	FGD	(Ma ethnic group)
		4 (Female)	FGD	(Ma ethnic group)
		9 (Male & Female)	FGD	Ma and Kinh groups
		1 (Male)	KII	Binh An Farmers' Cooperative
		1 (Male)	KII	Dai Dong Tien Farmers' Cooperative
▪ Dak Song District (Dak Mol commune)	30 August 2021	5 (Male)	FGD	4 EM, 1 Kinh
		9 (Female)	FGD	Mnong, Ede, Nung ethnic group
		2 (Female), 3 (Male)	FGD	Kinh group
		1 (Male)	KII	Rừng Lạnh village, Đắk Hòa commune.
▪ Krong No (Dak Nang commune)	8 September 2021	6 (Male), 1 (Female)	FGD	
		9 (Female)	FGD	Ede ethnic group
		11 (Female)	FGD	3 H'mong, 8 Kinh
▪ Tuy Duc (Quang Tam commune)	30 September 2021	5 (Male)	FGD	3 Kinh, 2 EM
		8 (Female)	FGD	EM (M'Nong)

		4 (Female), 4 (Male)	FGD	3 M'Nong, 1 Tay, 3 Kinh
		1 (Male)	KII	Quang Tam Farmers' Cooperative
Ninh Thuan				
▪ Thuan Bac (Phuoc Chien commune)	28 October 2021	1 (Male), 7 (Female)	FGD	
		8 (Male)	FGD	EM
		7 (Female)	FGD	EM
		1 (Male)	KII	Suoi Da Farmers' Cooperative
▪ Ninh Hai (Vinh Hai commune)	29 October 2021	8 Male	FGD	EM
		5 Male, 4 Female	FGD	EM, Kinh
		7 Female	FGD	EM
		1 (Male)	KII	Thai An Farmers' Cooperative
▪ Ninh Son (Ma Noi commune)	1 November 2021	2 (Male), 6 (Female)	FGD	EM
		8 (Male)	FGD	EM
		8 (Female)	FGD	EM
		1 Male	KII	My Son Farmers' Cooperative
▪ Bac Ai (Phuoc Binh commune)	2 November 2021	2 (Male), 6 (Female)	FGD	EM
		6 (Female)	FGD	
		8 (Male)	FGD	EM
		1 (Male)	KII	Phuoc Binh Farmers' Cooperative
Lam Dong				
▪ Bao Lam District (Loc Ngai commune)		1 (Male)	KII	Binh Minh Farmers' Cooperative
▪ Lac Duong District (Da Chau commune)		1 (Male)	KII	Lac Duong Coffee Farmers' Cooperative
▪ Lâm Hà (Đạ Đờn commune)	28 May			
▪ Di Linh (Bảo Thuận commune)	30 May			
▪ Bảo Lâm (Lộc Bảo commune)	31 May			

Gia Lai				
▪ Krông Pa (Đất Bằng)	18/19 May	8 EM (Female), 8 EM (Male), 5M (Kinh)	KII	
▪ Chư Prông (Ia Ga)	19/20 May	7 EM (Female), 8 EM (Male), 7M (Kinh)	KII	
▪ Kông Chro (Chư Krey)	2 June	7 EM (Female), 6 EM (Male), 7M (Kinh)	KII	
▪ Mang Giang (Kon Chiêng)	3 June	9 EM (Female), 8 EM (Male), 7M (Kinh)	KII	
▪ Đắk Đoa (Đak Sờmei)	3 June	8 EM (Female), 7 EM (Male), 7M (Kinh)	KII	
Dak Nong, Ninh Thuan, Lam Dong	30 July- 30 November 2021	168 (Female: 71, Male: 97)	Household survey	Total male participant: 205 Total female participant: 148
Gia Lai, Dak Lak	June, July 2022	185 (Female: 77, Male: 108)	Household survey	

ANNEX 2: IFAD SECAP Complaints Form (for SECAP non-compliance)



IFAD COMPLAINTS SUBMISSION FORM

FOR ALLEGED NON-COMPLIANCE WITH ITS SOCIAL AND ENVIRONMENTAL POLICIES AND MANDATORY ASPECTS OF ITS SOCIAL, ENVIRONMENTAL AND CLIMATE ASSESSMENT PROCEDURES (SECAP)

i) NATURE OF THE COMPLAINT

What complaint are you making to IFAD? (Choose the one(s) applicable to your complaint)

- ☐ Complaint relating to individuals/communities believing they are or may be adversely affected by an IFAD funded project
- ☐ Complaint relating to IFAD's failure to apply its Social and Environmental Policies
- ☐ Complaint relating to IFAD's failure to apply the Mandatory Aspects of SECAP
- ☐ Initiate the Impartial Review conducted by the Office of the Vice-President (OPV) if unsatisfied by the response from the IFAD Regional Division

ii) COMPLAINANTS' INFORMATION

a) How many Complainants are you? (You must be 2 in order for the Complaint to be admissible)

b) Are you nationals of the concerned country or living in the area? (Complainants must both be nationals of the country concerned and/or living in the project area)

- ☐ YES ☐ NO

iii) CONFIDENTIALITY

a) The identity of complainants will be kept confidential if they request so of IFAD.

b) Do you want your identity to be kept confidential?

- ☐ YES ☐ NO

c) If YES, Please state why. If NO, please avail your details below:

iv) COMPLAINANTS' INFORMATION

a) COMPLAINANT 1

FULL NAME:

TITLE:

ORGANISATION:

PHONE NUMBER (WITH COUNTRY CODE):

EMAIL:

LOCATION

YOUR ADDRESS/ LOCATION:

MAILING ADDRESS (IF DIFFERENT):

ADDITIONAL GUIDANCE ON HOW TO LOCATE YOU (IF APPLICABLE):

b) COMPLAINANT 2

FULL NAME:

TITLE:

ORGANISATION:

PHONE NUMBER (WITH COUNTRY CODE):

EMAIL:

LOCATION

YOUR ADDRESS/ LOCATION:

MAILING ADDRESS (IF DIFFERENT):

ADDITIONAL GUIDANCE ON HOW TO LOCATE YOU (IF APPLICABLE):

Please provide the names and/or description of other individuals or groups that support the complaint (If any):

First Name	Last Name	Title/Affiliation	Signature	Contact Information

If the space provided above is not enough, attach a separate document with a list of other individuals or groups (with their signatures) who support the complaint.

vi) IFAD PROJECT/PROGRAMME OF CONCERN AND NATURE OF CONCERN

a) Which IFAD-supported project/programme are you concerned about? (if known):

b) Project/Programme name (if known):

c) Please provide a short description of your concerns about the project/programme. Please describe, as well, the types of Environmental and Social impacts that may occur, or have occurred, as a result.

d) When did the situation that raised your concerns start developing? (Complaints must concern projects/programmes currently under design/implementation. Complaints concerning projects/programmes that preceded the operationalization of SECAP in 1/1/2015, closed projects or those that are more than 95 per cent disbursed will not be considered)

vi) PROJECT LEVEL

a) Have you raised your complaint with government representatives or NGO(s) responsible for planning or executing the project or programme or the Lead Agency or any governmental body with the responsibility of overseeing the Lead Agency? (The complaint should first be brought to the above authorities. If they don't respond then the matter may be brought to IFAD's attention. The issue may be brought straight to IFAD if the complainants feel they may be subject to retaliation)

☐ YES

☐ NO

If YES,

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Nature of Communication	Response from the Individual

b) Please explain why, if the response or actions taken are not satisfactory.

c) How do you wish to see the complaint resolved? Do you have any other matters, evidence or facts (including supporting documents) that you would like to share?

vii) IMPARTIAL REVIEW BY THE OFFICE OF THE VICE PRESIDENT

a) Do you disagree with the response from the IFAD Regional Division in relation to your complaint?

☐ YES

☐ NO

b) Please provide the details of the response from the IFAD Regional Division in relation to your complaint

c) Please explain why, if the response or actions taken are not satisfactory.

d) How do you wish to see the complaint resolved?

e) Do you have any other matters or facts (including supporting documents) that you would like to share?

Signature and Date (1st Complainant)

Signature and Date (2nd Complainant)

The filled in form shall be returned to SECAPcomplaints@ifad.org