

26 October 2022

## TERMS OF REFERENCE (TOR)

<b>Name of Expert:</b>	National: N.N.	
<b>Job Title:</b>	National Expert for conducting a study on options to integrate Sustainable Forest Management (SFM) practices into the Vietnamese Payment for Forest Environmental Services (PFES) schemes.	
<b>Project/Program:</b>	Capacity and Knowledge Development for Applied Forest Management Practices for State Forest Companies and Smallholders in Vietnam (PSFM 2)	
<b>Duty Station:</b>	Home based, Hanoi, and Dong Ha City, Quang Tri Province	
<b>Expected Start Date of Assignment:</b>	Beginning of November 2022	Duration: 25 days
<b>Report to:</b>	Name:	Title: CTA
<b>Assigned direct counterparts</b>	Forest Science Centre for North of Central Vietnam (FSCV) based in Dong Ha city, Quang Tri Province Vietnamese Academy of Forest Sciences (VAFS) based in Hanoi	

### 1. Project Background and Reference

The project “Capacity and Knowledge Development for applied forest management practices for State Forest Companies and Smallholders in Vietnam (PSFM 2)” builds on the achievements of its predecessor project “Promotion of Sustainable Forest Management by State Forest Companies in Vietnam (PSFM)” which lasted from April 2017 to June 2020. The current project phase started in April 2021 and will end in December 2023. It is funded by the German Federal Ministry for Food and Agriculture (BMEL) and co-funded by the Ministry of Agriculture and Rural Development (MARD) of Vietnam. The project is managed by the Vietnamese Academy of Forest Sciences (VAFS) and implemented by the consulting consortium of Deutsche Forstservice (DFS) and HessenForst (HF).

The goal of the PSFM2 is to support *“the established Competence Center/Training Center (TC) at the Forest Science Center for North of Central Vietnam (FSCV) to facilitate increased implementation of sustainable forest management according to SFM principles under state*

and private forest ownership types”. Result 3 of the 4 result areas of the project states that “the Training Center contributes to an integration of SFM principles, particularly into ongoing public financing schemes, in Vietnam”. This consultancy mission refers to Result 3 and supports the project in carrying out Activity 3.2 “Implement pilot study and operate a comprehensive impact monitoring system for PFES under SFM”.

## 2. Rational

The Payment for Forest Environment Services (PFES) schemes in Vietnam are considered initiative payment mechanisms with fund-based operations and management, including all kinds of Forest Environmental Services (FES), whereas beneficiaries of FES must pay the service suppliers. This mechanism is considered the core of the PFES policy in Vietnam, which has been established and operated successfully since 2010.

The New Forestry Law 2017 of Vietnam defined in detail five types of FES, which include:

1. Protection of soil, and restriction of erosion and sedimentation in reservoirs, rivers, and streams.
2. Regulation and maintenance of water sources for production and everyday life.
3. Sequestration and storage of forest carbon; reduction of greenhouse gas emissions by reduction of forest loss and degradation, sustainable forest management and promoting green growth.
4. Protection and preservation of the beauty of natural landscapes and conservation of biodiversity and forest eco-systems for provision of tourism services.
5. Provision of spawning grounds, food sources and natural breeders, water sources from forests and factors from the forest environment and eco-systems for aquaculture.

The PFES scheme in Vietnam has been a dynamic success of the Vietnam Forest Protection and Development Fund (VNFF) of MARD and its provincial Forest Protection Departments (FPDs) system so far for watersheds, soil and water protection and landscape and biodiversity conservation, but not yet for the C-PFES (Carbon Payment for Forest Environmental Services, type No. 3), REDD+ and mangrove and aquaculture services (type No. 5) i.e., schemes that are being developed.

Under the current framework, FES payments are predominantly dependent on maintaining the quality and condition of forest environmental services. If, however, forest owners can improve the forest quality by applying SFM practices, they should also receive payments. Forest patrolling is currently the only way to influence forest conditions and, consequently, forest protection is the only factor that can elicit efforts for forest conservation.

However, by putting the focus on forest protection only, the effectiveness of PFES for plantation forests is arguably limited as no silvicultural regulations towards SFM are promoted nor financially supported (for instance extending the rotation period from chip wood to sawn wood production). Likewise, in natural forest where forest protection is measured by the maintenance of forest cover, PFES could be for instance reoriented



towards financing the promotion of natural regeneration and implementation of SFM-Plans by incentivizing companies, communities, and households through PFES.

According to Decree No. 156/2018/ND-CP of November 16, 2018 the Provincial People's Committees (PPCs) have the authority to determine the payment for FES to eligible forest owners by applying the K-coefficient which is composed of four elements: forest condition (K1), forest function (K2), forest origin (K3), and difficulty of forest protection (K4). To increase the motivation of forest owners in forest conservation and to add efforts in SFM including incentives for prolonged plantation rotation periods, the range particularly of K1 could be expanded and differential payment rates based on different achievements could be applied or a new SFM factor may be introduced.

As PFES has expanded over the years, the initial monitoring system comprising a small number of indicators is being developed towards a more comprehensive and robust Monitoring and Evaluation (M&E) system. This system based on a set of evaluation monitoring indicators aims at providing the type of information needed to assess the true effectiveness and impact of the PFES system in meeting its goals of improving forest quality and socio-economic outcomes. In this connection, Decree No. 156/2018/ND-CP is being reviewed. Further, the VNFF in collaboration with Vietnam Forest Certification Office is developing Criteria and Indicator (C&I) for the C-PFES scheme. Both developments need to be kept in view when proposing PFES-SFM C&I in the frame of this study.

3. Objective(s), Scopes, Approach and method, Tasks and time allocations, timeframe/task deadlines and expected Deliverable(s) and outputs.

a. Objective(s) of the assignment

The overall objective of the study is to promote SFM by assessing the feasibility of integrating SFM principles into the PFES schemes. The purpose of the study is also to develop and test a "FES payment for SFM" monitoring system which, if found feasible and effective, can serve as basis for model application. The detailed objectives are:

- To provide a general picture on the linkages between the PFES and SFM, and how all types of forest owners are performing their forest management which are in line with SFM standards, particularly, the status that the smallholders as the PFES stakeholders are benefiting and responding to the SFM; What are the key advantages/disadvantages and main obstacles for the smallholders to manage their forests sustainably; What are the stakeholders' responses on the promotion SFM under the PFES scheme.
- To identify and provide suggested capacity building measures that promote SFM by forest owner category and forest type.
- To identify and propose for establishment of models which are related to PFES linked SFM promotion that will be used as awareness creation and used as control models for "FES payment for SFM" monitoring.
- To recommend a "FES payment for SFM" monitoring system by identifying suitable C&I and add-ons to the K-coefficient based payment system for each forest type.



- To provide preliminary suggestions for the design and test PFES-SFM monitoring system/ procedures with a guideline how to use it.
- To present the study findings, suggestions, and recommendations to the working group (WG) of this study and relevant stakeholders and consult them for their advice and opinions via working group meetings, consultation meetings... which are needed for consolidation and compilation of the final technical/mission reports.

b. Scopes of the consultancy assignment

The pilot study is expected to provide monitoring criteria & indicator (C&I) suggestions for each type of forest (Special Use Forest, Protection Forest, and Production Forest) of both natural forest and plantation forest. However, due to time and budgetary constraints, the above subjects will be used only for literature review and evaluation of the recent policies and studies related to PFES linked SFM, which to provide a general picture of the application of PFES and SFM in the locality and the linkage between PFES and SFM. The main objective of the study is to focus on the plantation forests of smallholders under the provincial PFES scheme of the Quang Tri province, which aims at providing solutions/recommendations for promoting the integration of SFM into PFES.

c. Approach and method

The PSFM2 is facilitating the pilot study in coordination with a technical working group (WG) composed of key institutions in charge of SFM and PFES implementation at central and provincial level (List of WG members is attached as annex 1). The consultant (s) is/are expected to conduct the consultancy assignment in accordance with the recommendation and advice provided by the WG.

The Training Center under the FSCV and VAFS (Project Management Board), which is expected to providing their contributions in this study. The consultant(s) is/are expected to collaborate with the Training Center and VAFS in all tasks related to the design and implementation of the field assessment, analysis of the results, and drafting a monitoring system with a guideline, proposing & evaluating capacity building measures for promotion of SFM.

The consultant(s) should apply methods such as (but not limited to):

- Background literature review, particularly focusing on summarizing sound SFM practices and recent studies and developments related to the PFES schemes.
- Consultative meetings with key-stakeholders.
- Open-ended, focused, structured and semi-structured interviewing
- Preparation, lead and facilitation of workshops, meetings, and group discussions (application of participatory assessment and decision-making methods/ tools, visualization).

d. Tasks, time allocations, timeframe, and deadlines:

The consultant has the major tasks to develop a plan for implementation of this consultancy assignment according to the *Tentative agenda and milestones* described in this TOR, to



conduct field assessment, and stakeholder meetings, and based on that, to propose a PFES-SFM monitoring system and capacity building measures.

No.	Activity	Location	Person Day(s)	Timeframe	Deadlines
1.	Review and present results on relevant secondary information focusing on sound SFM practices applied in the country/ region and recent studies and developments related to the PFES schemes in general and Quang Tri Province in particular.	Home based	1	10-15 November 2022	15 Nov. 2022
2.	Develop and present study design/plan with the stakeholders (meetings and interviews and other necessary activities)	Home based	1	10-15 November 2022	15 Nov. 2022
3.	Develop the detailed study approach and methods (including questions/questionnaire) and submit them to PSFM2 for review	Home based	2	15-20 November 2022	20 Nov. 2022
4.	Participate and present study concept, design, approach and methods, and work-plan during the kick-off workshop in Dong Ha, and refine the documents based on the feedback gained	Quang Tri/ Remote	1	20-23 November 2022	23 Nov. 2022
5.	Carry out field missions and collect related information and data	Quang Tri	11	25 Nov. – 12 Dec. 2022	12 Dec. 2022
6	Analysis and evaluation of the field survey results and present preliminary findings to FSCV/TC/VAFS (Project management board) and PSFM2	Quang Tri	1,5	12-15 Dec. 2022	15 Dec. 2022
7.	Based on the evaluation results and in consultation with the PFPDF and FDP, the consultant (s) to develop a report on proposing initiatives for integration of SFM into PFES schemes and recommendations, suggestions that to be submitted to the PSFM2 and relevant stakeholders for review.	Quang Tri / Home based	4	15-23 Dec 2022	23 Dec. 2022
8.	Attend working group meetings as	Remote	1	Spreading	

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No.	Activity	Location	Person Day(s)	Timeframe	Deadlines
	requested and present work updates and intermediate/results (time is summed up).			in 1 month and a half	
9	Prepare study and mission reports, and presentation	Home based	2,5	23-28 Dec. 2022	28 Dec. 2022
<b>Total</b>			<b>25</b>		

(Note: the maximum allocated number of days for field per diem is 20 days).

- e. Expected deliverables and output(s)
- A. **Study plan** with detailed schedule of activities, necessary inputs and expected outputs/outcomes.
  - B. **Set of questions/ questionnaires** to be used for meetings, discussions, and interviews...
  - C. **Reports:**
    1. Back-to-office reports are expected to be prepared by consultants(s) on outcomes of workshop results, minutes of meetings, agreements, suggestions and feedback from the stakeholders during workshops, meetings, discussions, and interviews, and preliminary analysis of stakeholders' responses.
    2. A technical report including:
      - A general picture on the linkages between the PFES and SFM, and how all types of forest owners are performing their forest management which are in line with SFM standards, particularly, the status that the smallholders as the PFES beneficiaries are benefiting and responding to the SFM; What are the key advantages/disadvantages and main obstacles for the smallholders to manage their forests sustainably; What are the stakeholders' responses on the promotion SFM under the PFES scheme.
      - Suggested capacity building measures that promote SFM by forest owner category and forest type.
      - Proposed establishment of models which are related to PFES linked SFM promotion, that will be used as awareness creation and used as control models for "FES payment for SFM" monitoring.
      - Recommendation of a "FES payment for SFM" monitoring system by identifying suitable C&I and add-ons to the K-coefficient based payment system for each forest type for the operation of a comprehensive impact monitoring system for PFES payments under SFM.
      - Preliminary suggestions for the design and test PFES-SFM monitoring system/ procedures with a guideline how to use it.
      - Recommendation for way forward with the follow-up consultancy assignment. And

- Other recommendations and conclusions of important meetings or opinions of stakeholders

3. A mission report (no more than 10 pages), this report should include description of the approach, information sources and conclusions drawn as well as the difficulties/ constraints encountered during the mission.

4. Assumptions and Risks

a. Assumption underlying the project intervention

All necessary information to conduct the study will be made available by VNFF/ PFPDF and VNForest/ FPD and other involved institutions.

b. Risks

Lack of cooperation, participation and consensus of involved stakeholders especially with respect of various technical and economic issues related to implementing SFM practices

5. Timing, Activities and Logistics

a. Timing

The consultancy to start not later than November 7<sup>th</sup>, 2022, for a total of 25 working days. The deadline for submitting the mission is the 30<sup>th</sup> of December 2022. The work is performed in Quang Tri Province, Hanoi City, and home-based.

b. Tentative agenda and milestones

No.	Milestones	Timeframe	Deadlines
1.	Consultancy contract is negotiated and signed	5-10 November 2022	10 Nov. 2022
2.	Study design/plan including detailed work plan for stakeholder meetings and interviews is presented and agreed	10-15 November 2022	15 Nov. 2022
3.	Study approach and method (including questions/questionnaires for interviewing the different stakeholder groups) is submitted to PSFM2 for review	15-20 November 2022	20 Nov. 2022
4.	Kick-off workshop for presenting study concept, design, approaches/methods, study stakeholders, workplan	20-23 November 2022	23 Nov. 2022
5.	Implementation of Field missions and document the stakeholder interviews, consultation meetings	25 Nov. – 12 Dec. 2022	12 Dec. 2022
6.	Submission and present analysis and evaluation of the questionnaires/ interview protocols/ meeting minutes and present preliminary findings to FSCV/TC and PSFM2	12-15 Dec. 2022	15 Dec. 2022



No.	Milestones	Timeframe	Deadlines
7.	Compilation and submission of technical report to the PSFM2 and relevant stakeholders for review/discussion.	15-23 Dec 2022	23 Dec. 2022
8.	Attend working group meetings as requested and present work updates and intermediate/results (time is summed up).	Spreading in 1 month and a half	
9	Compilation and submission of mission reports, and presentation	23-28 Dec. 2022	28 Dec. 2022
10	Completion of consultancy assignment and contract liquidation	31 Dec. 2022	

c. Logistic support

The consultant's expenses while in Quang Tri Province will be covered by the PSFM2 through per diem and accommodation allowances according to project rates (see above). The PSFM2 will provide and cover consultant traveling. Reimbursement of expenses made by the consultant (e.g., taxi, materials for and during interview/ meetings) must be based on actuals with receipts as proof and for approval. Support for this will be managed through the PSFM2 Financial Manager.

6. Requirements:

a. Minimum requirements

- (1) MSc Degree or higher in forestry or related fields;
- (2) Minimum of 3 years working experience in sustainable forest management in Vietnam with focus on silviculture;
- (3) Advanced knowledge of the PFES schemes in Vietnam;
- (4) Proven experiences in leading meetings and conducting interviews involving participants with different educational background and ethnicity;
- (5) Willing to work in a team;
- (6) Able to work independently;
- (7) Fluently in speaking and writing Vietnamese and English.

b. Preferred requirements (additional assets)

- Acquainted with participatory assessment, decision-making and visualization methods/ tools;
- Knowledge of reduced impact logging/ harvesting.





### Annex 1: List of Working Group Members as of August 2022

No.	Name	Location	Organization	Email
1	Mr. Vo Dai Hai	Leader	Director, Vietnam Academy of Forestry Science (VAFS)	haivodai@gmail.com
2	Mr. Pham Duc Chien	Coordinator	Vietnam Academy of Forestry Science (VAFS)	pdchien@vafs.gov.vn
3	Mr. Wolfgang Thoma	Technical advisor	Chief Technical Advisor, PSFM2 project	wolfgang.thoma@dfs-online.de
4	Mr. Nguyen Duy Luong	Member	National Coordinator, PSFM2 project	Duy.luong.nguyen@dfs-online.de
5	Mr. Le Van Thanh	Member	Deputy Director, Forest Protection and Development Fund (VNFF)	lethanhcln@gmail.com
6	Ms. Khuat Thi Lan Anh	Member	Forestry Production Management and Development Department, General Department of Forestry (VNForest)	Khuatlananh@gmail.com
7	Mr. Nguyen Hoang Tiep	Member	Deputy Director, Certificate Office of Sustainable Forest Management (VFSO)	tienguyenhoang@gmail.com
8	Mr. Tran Hoang Long	Member	Quang Tri Provincial Forest Protection and Development Fund (PFPDF)	longtrn2406@gmail.com
9	Mr. Doan Viet Cong	Member	Forest Protection Department of Quang Tri Province (FPD)	congcclnqt@gmail.com
10	Ms. Nguyen Thi Lieu	Member	Director, Training Center for SFM & FC (FSCV/TC)	liebtb12@gmail.com
11	Ms. Hoang Nguyen Viet Hoa	Secretary	Vietnam Academy of Forestry Science (VAFS)	hoa.hnv@vafs.gov.vn
12	Mr. Le Phi Cuong	IT support	VPTV project PSFM2	phi.cuong.le@dfs-online.de
13	Ms. Ho Thi Y Nhi	IT support	VPTV project PSFM2	thi.nhi.ho@dfs-online.de

(Note: members are marked with yellow, who will be replaced by new members shortly)

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