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3965 Removing Barriers Hindering Protected Area (PA) Management Effectiveness in Vietnam

Vietnam is one of the world's ten most biologically diverse countries- it contains about ten percent of the world's species though covering less than 1% of global land area. Whilst virtually all protected areas in Viet Nam were designated as Special-use Forests, this will change in 2009, with the passage of the "Law on Biodiversity" that will come into effect on 1st July, 2009 Vietnam will have four types of PAs which will apply to all ecosystems: National Parks, Nature reserves, Wildlife reserves, and Landscape protection zones. In common with the situation in many developing countries, threats to biodiversity in Viet Nam can be ascribed to two basic processes: loss of natural ecosystems; and degradation of natural ecosystems. The proposed long-term solution for biodiversity conservation in Viet Nam's system of protected areas is strengthened systemic, institutional and individual capacities, supported by sustainable financing. Barriers to the implementation of the identified long-term solution can be grouped under four headings: (i) policy; (ii) institutional mandates and individual capacities; (iii) practical experiences with diversified revenue streams; and (iv) monitoring and reporting. Given these barriers, the proposed Objective of the project is: "To secure a sustainably financed PA system, to conserve globally significant biodiversity". In order to achieve the project Objective, a number of Outcomes will be secured through this project. These are: 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing; 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms; 3: Knowledge and experience of sustainable financing options developed through demonstrations; and 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system

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Acronyms and Abbreviations

ABS	Access and Benefit Sharing
APR	Annual Project Report
ARR	Annual Review Report
AWP	Annual Work Plan
BCD	Biodiversity Conservation Division
BD	Biodiversity
BDNB	Bidoup-Nui Ba National Park
BTOR	Back to Office Report
CBBC	Capacity Building for Biodiversity Conservation
CDR	Combined Delivery Report
CHM	Clearing House Mechanism
CO	Country Office
CRES	Centre for Research and Environmental Sciences
DARD	Department of Agriculture and Rural Development
DOFREP	Department of Fisheries Resources Protection
DPC	District People's Committee
DPI	Department of Planning and Investment
FAO	Food and Agriculture Organization of the United Nations
FIPI	Forest Inventory and Planning Institute
FPD	Forest Protection Department
GEF	Global Environment Facility
GoV	Government of Viet Nam
GTZ	German Cooperation Agency
HCMC	Ho Chi Minh City
HQ	Head Quarter
ICRAF	World Agroforestry Centre
IPA	Inland Protected Area
IR	Inception Report
IUCN	The World Conservation Union
IW	Inception Workshop
KV	Kilovolts
MARD	Ministry of Agriculture and Rural Development
MASPAS	Management Strategy for a Protected Area System in Viet Nam
MB	Management board
METT	Management Effectiveness Tracking Tool
M&E	Monitoring and Evaluation
MOCST	The Ministry of Culture, Sport and Tourism
MOF	Ministry of Finance
MOFI	Ministry of Fisheries
MONRE	Ministry of Natural Resources and the Environment
MPA	Marine protected area

MPI	Ministry of Planning and Investment
NEX	National Execution
NGO	Non-governmental organization
NPD	National Project Director
NP	National Park
NPPP	Nationally Recruited Project Professional Personnel
NR	Nature Reserve
NTFP	Non-timber Forest Product
ODA	Overseas Development Assistance
OECD	Organization for Economic Cooperation and Development
PA	Protected area
PAMB	Protected Area Management Board
PBM	Project Board Meeting
PC	Peoples Committee
PEB	The Project Executive Board
PES	Payment for Ecosystem Services
PIR	Project Implementation Review
PPC	Provincial People's Committee
PPG	Project Preparation Grant
PPR	Project Progress Report
PM	Prime Minister
PMU	The Project Management Unit
RCU	Regional Coordination Unit
REDD	Reducing Emissions from Deforestation and Forest Degradation
SE	South East
SFE	State Forest Enterprise
SRF	Strategic Results Framework
SUF	Special-Use Forest
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
USAID	United States Agency for International Development
VCF	Viet Nam Conservation Fund
VEA	Viet Nam Environment Agency
VNAT	The Viet Nam National Administration of Tourism
VND	Viet Nam Dong (US\$1 = approx VND 17,000)
WPA	Wetland Protected Area

SECTION I: Elaboration of the Narrative

PART I: Situation Analysis

1.1. Context and global significance

1. Rapid economic growth over the past two decades in Viet Nam has resulted in a dramatic decrease in recorded poverty, dropped from 58 percent to 20 percent between 1993 and 2004, according to the international poverty line. However, many households have risen barely above the poverty line and growth has also been associated with an increase in inequality, particularly a widening rural-urban income gap. Three regions account for more than two-thirds of Viet Nam's poor: the Northern Uplands, Mekong Delta, and North Central Coast. Ethnic minorities, which comprise 14 percent of the population and live mainly in these remote upland areas, are disproportionately affected by poverty, representing almost 30 percent of the poor. About 90 percent of the poor live in the rural areas. Although GDP per capita is officially just over US\$638, the country's performance in terms of human development is favourable. This is reflected in the gradual increase of the human development index over the last decade, and summarizes the progress made in education, health and standard of living.

Environmental context

2. Viet Nam extends more than 1,650 km from north to south, from 23°30'N to 8°30'N. It is approximately 600 km wide at its greatest width and at its narrowest point, in Quảng Bình Province, it is a little more than 50 km wide. Three quarters of the country is hilly or mountainous. The lowland areas include two major river deltas: the Red River in the north and the Mekong River in the south. A narrow coastal plain runs along much of the country's coastline.

3. Viet Nam's climate is tropical monsoonal, dominated by the south-westerly monsoons from May to October and north-easterly monsoons during the winter months. Annual rainfall averages between 1,300 mm to 3,200 mm but can be as much as 4,800 mm in some areas and as little as 400 mm in others. Snow occasionally falls in the higher elevations in the north. In the south, temperatures rarely drop below 20°C; in the north, they seldom drop below 10°C.

4. Vietnam is one of the world's ten most biologically diverse countries- it contains about ten percent of the world's species though covering less than 1% of global land area. The country lies at the crossroads of the following biogeographic realms: Palaeartic realm's Himalayan and Chinese sub-regions with the Indo-Malayan realm's Sundaic sub-region. These overlapping biogeographic realms, along with relatively high variations in climate, soils and topography, give Viet Nam its diverse and distinct flora and fauna. Viet Nam hosts six of WWF's Ecoregion 200 – the Annamite Range Moist Forests; Indochina Dry Forests; Mekong River; Northern Indochina Subtropical Moist Forests; Southeast China-Hainan Moist Forests; Xi Jiang Rivers and Streams.

5. Vietnam is home to the fourth largest number of primate species in the world and has five of the world's 25 most threatened primate species. Vietnam hosts over 1500 globally threatened species, including 49 Critically Endangered, 82 Endangered and 166 Vulnerable species. Many new species have been described to science in recent decades from Vietnam. For example, since 1992, four mammal species, previously unknown to science, have been discovered in the country. In 2007, two butterfly species, one snake species, five orchid species and three other plant species were discovered in the Annamite region in central Vietnam. Vietnam's biodiversity is further described below.

Terrestrial ecosystems

6. Viet Nam is divided into eight ecological regions, Northeastern, Northwestern, Red River Delta, North Central, South Central, Central Highland, Southeastern, and Mekong Delta, based on climatic and topographical variables. There are nine major forest types in Viet Nam (Joint Research Center, 2003):

- Evergreen Mountain Forests(>1000m)
- Evergreen Lowland Forests (<1000m)
- Fragmented and degraded Evergreen Forests
- Deciduous Forests
- Mangrove Forests
- Swamp Forests and Inundated Shrubland
- Evergreen Wood& Shrubland and Regrowth Mosaics
- Deciduous Wood& Shrubland and Regrowth Mosaics
- Mosaics of cropping and Regrowth

7. As mentioned previously, Viet Nam hosts six of the WWF Ecoregion 200. In terms of ecoregions per 100,000km², for those countries of over 150,000km², this ranks Viet Nam as the 9th most ecosystem-diverse country in the world (see Figure 1).

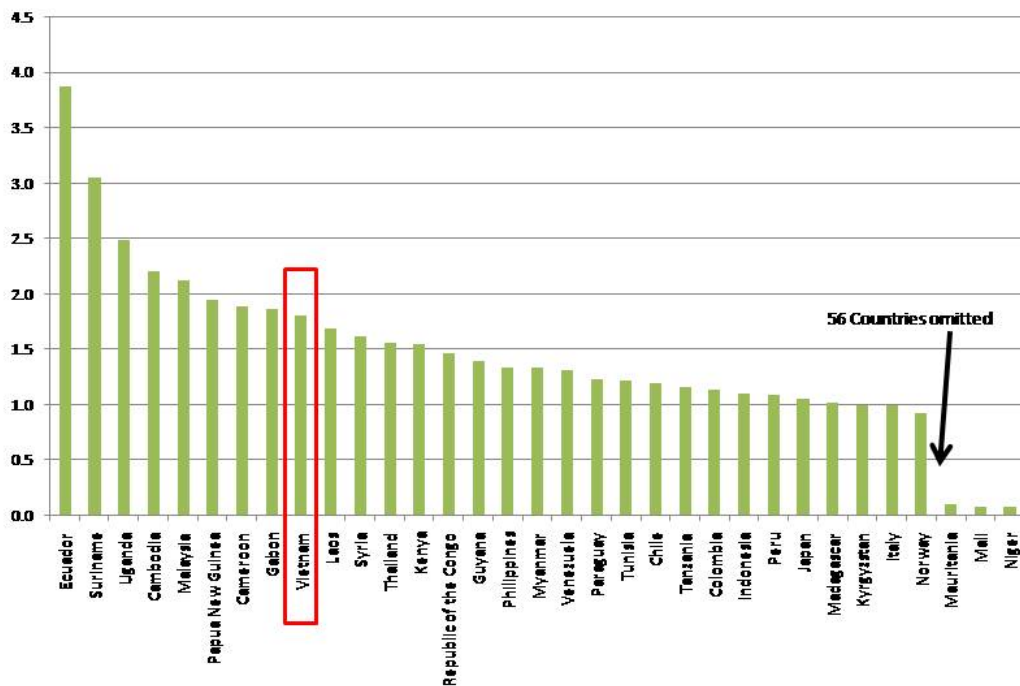


Figure 1: Number of WWF Ecoregion 200 ecoregions per 100,000km² of national territory

8. There are about 12,000 vascular plant species recorded in Viet Nam. Additionally, 800 moss species and 600 mushroom species have also been listed. Over 6,000 species of plants are used for food, medicine, timber, essential oil and construction materials. Endemicity is high: some suggest that up to

40% of all plant species may be endemic. There is no endemism at the family level, but 3% of the genera are endemic. There are three main regions of floral endemism: the Hoang Lien Mountain Range, Central Highlands and the Northern Annamite Mountains. Globally rare species include *Afzelia xylocarpa*, *Sindora siamensis*, *Coptis chinensis*, *Morinda officinalis*, *Cupressus tonkinensis*, *Dalbergia oliveri*, *Fokienia hodginsii* and *Glytostrolus pensilis*.

9. Viet Nam has 275 mammal species, 828 bird species, 180 reptile species, 80 amphibian species, 547 freshwater fish species, 2,033 marine fish species and about 7,500 insect species in forest ecosystems (1995 estimates). The number of endemic species is also high for animals - with 78 species and sub-species of mammals, over 100 species and sub-species of birds, 7 primate species and 11 amphibians and reptiles endemic to Viet Nam. In the past decade, four species of large mammals new to science were found. These include the sao la (*Pseudoryx nghetinhensis*) discovered in 1992, the giant muntjac (*Megamuntiacus vuquangensis*) found in 1993, the Truong Son muntjac (*Caninmuntiacus truongsongensis*) identified in 1996 and the Pu Hoat muntjac (*Muntiacus puhoatensis*) discovered in 1997. Also found in the forests of Viet Nam are charismatic rare species such as the rarest primate in the world - golden-headed langur (*Trachypithecus poliocephalus*), the Asian elephant (*Elephas maximus*), Javan rhinoceros (*Rhinoceros sondaicus*), gaur (*Bos gaurus*), tiger (*Panthera tigris*), Sunda slow loris (*Nycticebus coucang*) pygmy slow loris (*Nycticebus pygmaeus*), black gibbon (*Hylobates concolor*), red-shanked douc langur (*Pygathrix nemaus*), black-shanked douc langur (*Pygathrix nigripes*), Tonkin snub-nosed langur (*Rhinopithecus avunculus*), sarus crane (*Grus antigone*), white-winged duck (*Cairina scutulata*), and other species.

Wetland ecosystems

10. Viet Nam has a great expanse of wetlands, consisting of rivers (including the Mekong), estuaries along the coast, lagoons and bays, the Đồng Tháp Mười inundated area ("Plain of Reeds"), natural and man-made lakes, inland wetlands, paddy fields and thousands of ponds of various sizes.

11. The Đồng Tháp Mười area has very high biodiversity value with six major plant communities - lotus, wild paddy, three types of hydrophilous grasses and Melaleuca forest with 130 embryobionta species. One hundred and ninety-eight bird species belonging to 49 families are found here, accounting for 25% of the number of bird species in the whole country, including 16 globally threatened species.

12. The Mekong River Delta has up to 386 species of birds, 73 of which are migratory species. In addition, the area also has different valuable species of plankton, benthic fauna and fish of high economic value. The Red River delta also provides critical habitat for many species of migratory birds such as the Spoon-billed Sandpiper (*Eurynorhynchus pygmeus*) and black-faced spoonbill (*Platalea minor*).

13. Estuaries have a variety of specialized species and migratory species and are significant sites for mangroves, salt marshes, seagrasses and algal beds. Estuaries are very important for fisheries and have great potential for ecotourism and recreational activities. Lagoons provide food for fish and seasonal habitats for various species of migrating birds. Lagoons in the central coastal part of Viet Nam, from Thừa Thiên Huế Province to Ninh Thuận Province, consist of aquatic biological systems that are also valuable fisheries. Many lakes, such as Núi Cốc Reservoir and Dong Mo Lake, are seasonal resting and feeding areas for migrating birds in winter.

Marine and coastal ecosystems

14. Based on records of coral species composition and marine physical hydrographical features, Viet Nam's marine ecosystems can be divided into six distinct regions: the Western Region of the Tonkin Gulf (from Mong Cai to Hai Van pass); the Central Coastal Region (from Hai Van to Dai Lanh Cape); the South Central Coastal region (from Dai Lanh Cape to Vung Tau); the Southeastern Sea Region, from Vung Tau to Ca Mau Cape; the Southwestern Sea Region in the Gulf of Thailand; and the Off-shore

Region of the Hoang Sa and Truong Sa archipelagos. The Southeastern Region, in particular, is a biodiversity hotspot due, in part to the convergence of Gulf of Thailand and South China Sea ecosystems. The number of offshore islands is estimated to be 2,773, with a total land area of 1,720 sq. km. Only 84 of these islands have an area greater than 1 km², but these account for 93% of the total area of islands.

15. At least 537 plankton species, 657 zooplankton species, 600 algae species, 35 mangrove tree species, 650 coelenterate species, 2500 mollusc species, 1600 echinoderm species, 700 bristle-worm species, 350 crustacean species, 150 sponge species and more than 2033 fish species have been recorded in Viet Nam till date. These figures demonstrate that Viet Nam is one of the richest areas in the world in terms of marine biodiversity. Coastal and marine protected areas, from the sub-temperate ecosystem in the north to tropical ecosystems in the centre and the south are of national and international importance.

16. More than 300 species of hard coral are found in Viet Nam's marine areas with diversity increasing from the north to the south. Two hundred and seventy-seven species of 72 genera, forming fringing and platform reefs have been recorded in the country. According to the diversity classification of reef-building coral components, the marine area in southern Viet Nam is classified as having more than 350 species. This number is just a little less than the world's richest areas for coral diversity (Philippines/Malaysia/Indonesia "coral triangle"). The most important areas of coral reefs are the offshore islands in Hạ Long Bay, the coast of Khánh Hòa, Ninh Thuận, and Bình Thuận and other islands in the south.

17. More than 2033 marine fish species that have so far been identified, Viet Nam's harbours a number of globally significant marine fauna, including five species of marine turtles. Globally endangered species found in Viet Nam include the green turtle (*Chelonia mydas*), loggerhead turtle (*Caretta caretta*), Olive Ridley turtle (*Lepidochelys olivacea*), the critically endangered leatherback turtle (*Dermochelys coriacea*) and hawksbill turtle (*Eretmochelys imbricate*). The endangered dugong (*Dugong dugon*) is another precious asset to Viet Nam's marine biodiversity. This slow moving mammal lives in and grazes on shallow seagrass meadow habitats, such as found in the sea around Côn Đảo Island. Viet Nam's offshore areas are also thought to be important habitats and migration routes for several other mammal species such as whales, whale sharks and sharks. Fifteen species of dolphin and porpoise and one species of baleen whale have been recorded.

Protected area system: Current status and coverage

18. Viet Nam has created protected areas as one of the mechanisms to conserve its biodiversity hotspots. Most of the protected areas in Viet Nam are designated as "Special-use Forests". The Special-use Forests system originated in 1960, when President Hồ Chí Minh announced "*Ordinance No. 18/LCT: the Law on Organisation of the Government Council of the Democratic Republic of Viet Nam*". This ordinance included a proposal to establish the General Department of Forestry. In 1962, on the advice of this department, the government established Cúc Phương Protected Forest (now Cúc Phương National Park), the first protected area in Viet Nam. Following reunification in 1975, attention focused on identifying and surveying potential protected forests throughout the country. A number of new protected areas were established. On 9 August 1986, the Chairman of the Council of Ministers issued "Decision No. 194/CT". This decision decreed the establishment of a further 73 Special-use Forests throughout the country, with a combined area of 769,512 ha. The Special-use Forest system aimed to represent the full range of biogeographic, latitudinal and climatic variation in Viet Nam.

19. In general, SUFs comprise terrestrial forest sites, but they may also include a small number of wetland sites and marine areas. The other types of forest management areas are "Production Forests" and "Protection Forests". The latter are designated for environmental protection rather than primarily for biodiversity conservation. Typically such forests are on steep slopes of key watershed areas; and while

management restrictions apply, they are not considered to be part of the protected area system. With a total area of over 2.2 million hectares, protected areas account for nearly 7% of the terrestrial area of Viet Nam. Almost every major ecosystem is represented in the PA system, although marine protected areas have only recently been developed. There are no transboundary PAs, but Vu Quang and Pu Mat national parks are contiguous with the Nam Theun Nakai national biodiversity conservation area (NBCA) in Laos, and Phong Nha Ke Bang is contiguous with Hin Nam No NBCA (Laos). A number of other PAs have the potential to be contiguous with protected areas in Laos with minor modifications to boundaries. Corridors are being created in Thua Thien Hue province (the Green Corridor project) connecting Phong Dien, A Luoi, and Bach Ma, while there is a proposal for a second corridor, the Quang Nam to Quang Tri biodiversity corridor. Although there are formally no community-managed PAs, management of the South Xuan Lac Species Conservation Area in Bac Kan province involved strong community participation with local government support, but there is no legal regulation for community management in PAs. Flora and Fauna International also promoted community management in PAs in Mu Cang Chai (Yen Bai) and Trung Khanh (Cao Bang), but these pilots have had limited success due to low community awareness, the absence of a legal basis, lack of experience and, lack of resources.

20. As of 2007, there were 126 SUF's, including 27 National Parks, 60 Nature Reserves, 39 landscape and historic sites. Since 2007, three more National Parks were established through upgrading existing Nature reserves. Amongst 30 existing National Parks, six are directly under the management of Ministry of Agriculture and Rural development (MARD) acting through the Forest Protection Department. The rest are under decentralized management, which is described in a later section and are detailed in Table 2.

21. Whilst virtually all protected areas in Viet Nam were designated as Special-use Forests, this will change in 2009. With the passage of the "Law on Biodiversity" (No. 20/2008/QH12), which was passed on 13th November, 2008 by the National Assembly that will come into effect on 1st July, 2009 Vietnam will have four types of PAs which will apply to all ecosystems as described below:

a) National parks

A national park must meet the following major criteria:

- Possessing a natural ecosystem, which is nationally and internationally important, specific to or representative of a natural eco-region;
- Being a permanent or seasonal natural habitat of at least one species on the list of endangered precious and rare species prioritized for protection;
- Having special scientific and educational values;
- Having landscape and unique natural beauty of ecotourism value.

b) Nature reserves these can be national- or provincial-level protected areas, but the national-level nature reserves must meet the following major criteria:

- Possessing a natural ecosystem which is nationally and internationally important, specific to or representative of a natural eco-region;
- Having special scientific and educational values or ecotourism and recreational values.

c) Wildlife reserves/Species Management Areas.

These can be national- or provincial-level protected areas and a national-level wildlife reserve must meet the following major criteria:

- Being a permanent or seasonal natural habitat of at least one species on the list of endangered precious and rare species prioritized for protection;
- Having special scientific and educational values;

d) Landscape Conservation Areas: These must meet the following major criteria:

- Having a particular ecosystem of importance;

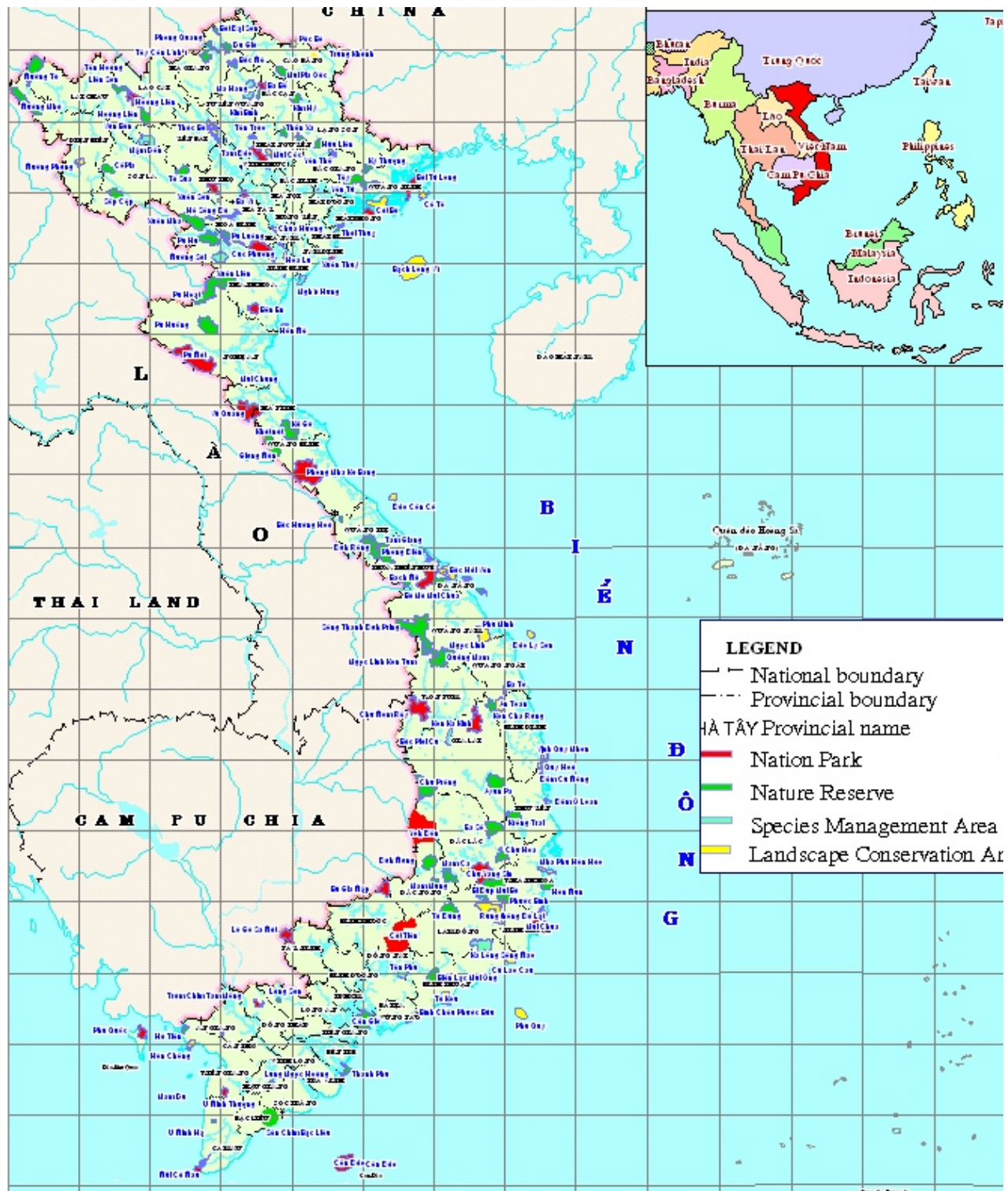
- Having landscape and unique natural beauty;
- Having scientific, educational, ecotourism and recreational values.

22. All types of protected area have the following functional zones:

- A strictly protected section;
- An ecological restoration section;
- A service-administrative section.

23. A policy on buffer zone exists through Decision 192 and the Ministry of Forestry issued a Circular in 1993, which directed that each SUF should have a buffer zone defined as areas: *“contiguous to but outside of Special Use Forests. Generally, they comprise the communes included within the SUF and those adjacent to it”*. Buffer zones are essentially administrative, rather than geographic or ecological zones. Despite the official establishment of buffer zones around many SUFs, the Prime Minister’s decision 192/2003 highlighted the buffer zone issue as one requiring urgent and systematic attention. Government was directed to *“clarify the relationship between buffer zones and PAs by developing regulations governing operations based on the principles of collaboration; regulate the benefits and obligations of each party involved in managing buffer zones, especially ethnic communities located close to or in PAs; and develop long term investment plans for buffer zones”*. Further, government was required to *“define the specific role of PA management boards in socio-economic development in buffer zones”* and to *“supplement and complete procedures and policies for development in buffer zones.”* However, uncertainty remains about:

- How buffer zones should be delineated
- Whether people living inside and outside the boundaries of the buffer zones should be treated differently
- The role of State Forest Enterprises in buffer zone management.
- How to manage buffer zones to reduce the pressure on the resources in PAs.
- How to improve the socio-economic condition of local people without degrading PA resources.



Map 1: Viet Nam's SUF System

Institutional context:

24. The Viet Nam State and society are under the leadership of the Communist Party of Vietnam. The Party leads the State through resolutions, defining overall directions and policies. The State expresses those policies through a system of legal regulations. The highest leadership body is the Party Congress, which meets every five years to assess the implementation of the resolutions of the previous term and to decide directions and policies of the Party during the coming term, to elect the Central Party Committee, and to supplement and modify the political programme and rules of the Party (if needed). The Central Committee is the Party leadership body during the period between Party Congresses. The Central Committee elects the Politburo and selects the General Secretary from the Politburo members.

25. The State system of governance has four levels: national, provincial, district and commune. Viet Nam currently has 63 provinces and cities (under the central government) with approximately 565 districts and 10,000 communes. The system of state agencies includes:

- State organizations: The National Assembly is the legislative organization and People's Councils have state authority at local level;
- State administrative organizations include the Government, ministries, ministerial-level departments, and specialized departments under the People's Committees;
- Judicial organizations; and
- Organizations of investigation.

26. The National Assembly is the highest representative organ of the people and the highest organ of State power of the Socialist Republic of Vietnam. The National Assembly is the only organ with constitutional and legislative powers. The National Assembly meets twice a year and issues laws. The Standing Committee of the National Assembly is its permanent committee. The duties and powers of the Standing Committee of the National Assembly include the enactment of decrees on matters entrusted to it by the National Assembly. The Government is headed by the Prime Minister, who may issue Decisions which provide directions in implementing laws and decrees. Ministers may also issue Decisions related to those issues for which their Ministry has a mandate.

27. People's Committees are executive organizations of People's Councils and are the state administrative organs with responsibility for steering socio-economic development (including conservation) and administrative processes at local levels under the overall leadership of the Government.

28. At the provincial and district levels, national line ministries usually have specialized departments. Examples include the Department of Planning and Investment, Department of Agriculture and Rural Development, and Department of Natural Resources and Environment. These departments receive technical instructions from their national line ministries, but are accountable to the Provincial People's Committees.

29. The Prime Minister defined the following principle responsibilities for PAs and implementation of the strategy - "*MARD is responsible for managing PAs of the Special Use Forest (SUF) system; MOFI (now merged into MARD as the new Dept. of Fisheries Resources Exploitation and Protection within MARD) is responsible for the organisation and management of marine protected areas (MPAs) and MONRE is responsible for organising and managing wetlands*". Subsequently, the development of an "inland wetland" PA (IPA) system was approved by the PM in Decision No. 1479/QĐ-TTg dated 13th October 2008 and is in the early phase of its implementation. Actions to be taken under this decision, from now till year 2010 are (i) planning for an IPA system; and (ii) establishment of 5 IPAs that are representative of the Red River and the Mekong River basins and the Central highlands. A marine PA (MPA) system has not yet been approved by the PM and hence, while various proposals have been made

for a MPA system, and although some existing SUFs include substantial areas of marine ecosystems, in practice, the only existing MPAs are those established and managed by provinces and established largely through funding from international donors. Table 4 (below) summarizes the current institutional arrangements.

Table 4: Institutional responsibility for administration of protected areas covering different ecosystem-types in Viet Nam

Ecosystem	Responsible Agency	Legal document establishing responsibility and mandate	Outline of mandates
Terrestrial	MARD/FPD	<i>Decision No. 22 /2008/QĐ-BNN</i>	The Ministry of Agriculture and Rural Development (MARD) has overall responsibility for managing the system of Special-use Forests, reviews budget allocations for Special-use Forest management boards, oversees implementation of the 5 Million Hectares Reforestation Programme (661 Programme), which supports Special-use Forest management through protection contracts and reforestation activities. It carries out surveys, plans and develops investment projects for establishing Special-use Forests. Recently, the former Ministry of Fisheries was merged into MARD. It was previously responsible for developing a national system of marine protected areas (MPAs). This mandate has now been assumed by the Department of Fisheries Resources Exploitation and Protection within MARD.
Inland Water Surfaces	MARD/DOFREP	<i>Decision No. 23/2008/QĐ-BNN</i>	
Marine	MARD/DOFREP	<i>Decision No. 23/2008/QĐ-BNN</i>	
Wetland	MONRE/BCD	Decree 109/2003 and Circular 18/2004 guiding the implementation of Decree 109	The Ministry of Natural Resources and Environment (MONRE) is responsible for the Ramsar Convention, the Convention on Biological Diversity and co-ordinating the implementation of Vietnam’s Biodiversity Action Plan.

30. That main division of responsibility according to three protected area or ecosystem types has been further elaborated through, for example, Decree 43 on the functions of MOFI and the Fisheries Law (2003), Decree 109/2003/ND-CP on Wetlands, and the Law on Forest Protection and Development (2004). The division is one of the most fundamental challenges facing government in defining integrated and consistent arrangements for the development and management of a single national system of protected areas. The three way division is reflected in the failure of government to facilitate a unified and systematic implementation of MASPAS and the Prime Minister’s directives. However, as mentioned previously, the new Law on Biodiversity seems to offer a new vision of inter-agency coordination.

31. In addition to MARD and MONRE, the **Ministry of Planning and Investment (MPI)**, and Ministry of Culture, Sports and Tourism, and the Provincial People’s Committees play important roles in PA management. **The MPI**, through the annual budgeting process, is responsible for setting funding levels and negotiating budget allocations with sectoral ministries and the provinces, including budget for protected areas. **The Ministry of Culture, Sport and Tourism (MOCST)** together with MARD has the responsibility for managing “cultural-historic-environmental sites”, one of Vietnam’s categories of Special-use Forests. **The Viet Nam National Administration of Tourism (VNAT) within MOCST** is responsible for developing the country’s tourism strategy and promoting tourism in national parks and cultural-historic-environmental sites.

32. One of the principles of Vietnam's national reform process (*Đổi mới*), which emphasizes developing a socialist-oriented market economy, is the decentralization of authority to the lowest appropriate level. According to this, **Provincial People's Committees** are responsible for managing a number of national parks and all other forms of protected areas, including nature reserves, wildlife reserves, etc. Responsibility for the decentralization of management for Special-use Forests lies with MARD, as mandated under Decision 186/2006 (except 6 SUFs that are under national management). Management responsibility for individual PAs lies with the Protected Area Management Board (PAMB). Management boards are the basic institutional building blocks for the PA system. They are formally identified as the on-site managers of protected areas, whether SUFs, MPAs or wetlands. Both PA Ministries and all provincial governments have embraced the concept of management boards as the key to safeguarding the national protected areas estate. The national PA system will be as strong or as weak as its management boards. When a PA is established, there is a decision, either by MARD or the PPC assigning functions, tasks and organisation of the PA through a PA management board, but little attention has been given to ensuring consistent definitions or mandates of management board, thus some boards may consist of all PA staff, others of only the director and deputy.

33. The institutional arrangements for management of protected areas in Viet Nam will soon be changed as per the new Law on Biodiversity (No. 20/2008/QH12), which comes into force on 1st July, 2009. The Law states under Article 6 that "*The Ministry of Natural Resources and Environment shall take responsibility to the Government for performing the state management of biodiversity*" ... and ... "*Ministries and ministerial-level agencies shall, within the ambit of their tasks and powers, perform the state management of biodiversity as assigned by the Government*". This appears to offer an opportunity to exert greater coordination over PA policy and administration in the future that this project seeks to further strengthen.

Policy context:

34. The GoV has reaffirmed its commitment to environmental protection in general and sustainable financing for PAs in particular. At the beginning of 2005, the GoV made a commitment to allocate 1% of the state budget to the environment. This project is consistent with the *Management Strategy for a Protected Area System in Vietnam to 2010* (FPD 2003), that identifies the need "*to reform the PA management mechanism, particularly investment and financial management in PAs*" as a strategic priority. Sustainable conservation financing has been identified as a key issue in the draft National Forest Strategy for 2005-2010. The project is also consistent with Vietnam's National Action Plan on Biodiversity up to 2010, which has identified a number of "major solutions" to the problems affecting biodiversity in Vietnam, including:

- i. To consolidate and strengthen the capacity of the system of state management agencies
- ii. Review, compile, amend and complete the systems of mechanisms, policies and legal documents
- iii. To apply financial instruments to biodiversity management such as taxes and fees on the exploitation and use of natural resources, environmental service fees and conservation funds
- iv. To decentralize and assist localities in biodiversity management
- v. To diversify models of community-based management
- vi. To establish interregional mechanisms to coordinate localities' activities in biodiversity management

35. A key policy document governing administration of the protected area system in Viet Nam is the Decision of the Prime Minister No.: 192/2003/QĐ-TTg, dated 17th September 2003, entitled "*The Management Strategy for a Protected Area System in Viet Nam to 2010*". The primary objective of the Management Strategy (MASPAS) is to establish, organize and manage effectively an integrated protected area system covering terrestrial, wetland and marine ecosystems. MASPAS highlights five fields where urgent action is required to develop and safeguard Vietnam's protected areas system: (1) landscape

management, (2) local community participation, (3) development control, (4) financial innovation and (5) institutional reform.

36. The Prime Minister's decision (192/2003) identified four strategic priorities:

- i) To develop “*an essential legal framework*” for PA management;
- ii) Establish “*a national focal agency to manage PAs*”;
- iii) Establish “*formal links between PA management boards and agencies responsible for development of buffer zones*” and
- iv) Develop “*plans and regulations to manage PAs*”.

37. Currently, the management of the SUF system is in compliance with the Law on Forest Protection and Development 2004; Decree No. 23/2006/NĐ-CP dated 3rd March 2006 of the Government on the implementation of the Law on Forest Protection and Development; and Decision No. 186/2006/QĐ-TTg dated 14th August 2006 on issuing forest management regulations. Decree No. 109/2003/NĐ-CP dated 23rd September 2003 on wetland conservation and sustainable development can be used for managing SUF in wetlands as mentioned in Decision 186.

38. The management of wetlands and inland areas is in compliance with the Fisheries Law 2003, Decree No. 27/NĐ-CP dated 8th March 2005 regulating details and guiding the implementation of articles in the Fisheries Law; the above mentioned Decree 109/2003; and Decision No. 1479/QĐ-TTg dated 13th October 2008, approving Planning of the IPA system to 2020. In reality, the WPA system has not been approved yet by the PM and therefore, the WPAs located within the SUF system are managed by legal documents relating to both SUF and wetlands (according to Decision 186/2006).

39. MPAs are managed in compliance with the Fisheries Law 2003, Decree 27/2005 and Decree No. 57/2008/NĐ-CP dated 2nd May 2008, issuing management regulations for MPAs of national and international importance. Again, due to the absence of an approved MPA system, PAs located within SUFs with marine areas are managed under the guidelines for forest management in Decision 186/2006, although they may have a larger area of marine ecosystems than of forest ecosystems.

40. Other laws related to management of PAs include the Law on the Government Organization, Land Law, Law on the Environmental Protection, and the Law on Water Resources.

41. All national parks (NPs)/nature reserves (NRs) are state agencies which receive 100%, or at least more than 90% of their budget from the state (as defined by Circular No. 71/2006/TT-BTC dated 9th August 2006, guiding the implementation of Decree No. 43/2006/NĐ-CP dated 25th April 2006, regulating self-reliance rights, responsibility for task fulfillment, organization, staffing and finance of state agencies. Hence, all financial matters of PAs are regulated by the Budget Law and Circulars of the Ministry of Finance (MOF) guiding the preparation, management, use and financial accounts of the state budget for the implementation of National Action Plans, programs, tasks, projects, etc. of natural resources and the environment, agriculture and rural development sectors and localities.

42. The new Law on Biodiversity (No. 20/2008/QH12), which will come into effect on July 1, 2009, will likely form the basis for some major changes in PA policy. Clearly, the new Law on Biodiversity will be the dominant legal instrument when it comes into force on 1st July, 2009. In relation to financing of protected areas, several articles are of relevance:

- Article 4 states that “*Organizations and individuals that benefit from biodiversity exploitation and use shall share their benefits with concerned parties; ensuring harmony between the interests of the State, organizations and individuals*”.

- Article 5 (State policies on the conservation and sustainable development of biodiversity) commits the state to “*Ensuring funds for basic survey, observation, inventory and building of databases on biodiversity and planning of biodiversity conservation; investing material- technical foundations for conservation zones and biodiversity conservation facilities set up by the State; and ensuring local people’s participation in the process of formulating and implementing biodiversity conservation plannings*” and “*Developing ecotourism in association with hunger eradication and poverty alleviation, ensuring stable livelihood for households and individuals lawfully living in conservation zones; developing in a sustainable manner buffer zones of conservation zones*”.
- Under Article 29, a conservation zone management unit, while being responsible for conserving biodiversity, also has the right “*To do business or enter into joint ventures in ecotourism, scientific research, resort and other services in the conservation zone according to law*”.
- Article 73, on Finances for biodiversity conservation and sustainable development, states that funds for biodiversity conservation come from: (i) The state budget; (ii) Investments and contributions of domestic and foreign organizations and individuals; and (iii) Proceeds from environmental services related to biodiversity and other sources in accordance with law. It also states that the Government shall specify environmental services related to biodiversity.

43. The Law on Biodiversity clarifies the role of the state in biodiversity planning and reporting. It establishes (Chapter 2) that a national master plan on biodiversity conservation should be prepared, for which “*The Ministry of Natural Resources and Environment shall assume the prime responsibility for, and coordinate with ministries and ministerial-level agencies in, organizing the formulation of a national master plan on biodiversity conservation and submission thereof to the Government for approval*” and “*On the basis of the national master plan on biodiversity conservation, ministries and ministerial-level agencies shall organize the formulation, approval and adjustment of plannings on biodiversity conservation under their management*”. Also “*The Ministry of Natural Resources and Environment shall assume the prime responsibility for, and coordinate with concerned ministries and ministerial-level agencies, in guiding the implementation of the national master plan on biodiversity conservation*”.

44. Article 33 establishes that every three years, conservation zone management units must report on the current status of their conservation zones’ biodiversity including:

- The actual status and the restoration situation of, and plan to restore the conservation zone’s natural ecosystems;
- The actual status of and plan on conservation of the conservation zone’s species on the list of endangered precious and rare species prioritized for protection;
- Requirements for conservation of the conservation zone’s biodiversity;
- Current situation of land use in the conservation zone.

45. Furthermore, Article 72 requires that biodiversity reports must be included in the national environmental report, and include (among other issues):

- The current status and change of major natural ecosystems;
- The current status, distribution region, estimated number of individuals and characteristics of species on the list of endangered precious and rare species prioritized for protection

1.2. Threats, causes and impacts

46. In common with the situation in many developing countries, threats to biodiversity in Viet Nam can be ascribed to two basic processes: loss of natural ecosystems; and degradation of natural ecosystems.

i) **Loss of natural ecosystems:** The major causes of loss of natural ecosystems are:

47. *Land Clearing for Agriculture and Aquaculture:* Expansion of arable land by encroaching into forest lands is one of the most important causes leading to biodiversity loss. In the northern mountains of Vietnam, the converted land is mainly used for annual crops. In the central highlands and the south-eastern regions, perennial crops are planted such as coffee, cashew and rubber. In coastal areas, mangroves are cleared and land is drained for aquaculture. This expansion of arable land and aquaculture areas occurs under government policy guidelines to meet food demands for the growing population and to promote the necessary economic development of the country by increasing highly valuable agricultural produce and seafood exports. However, much of the converted land is of limited productivity and is often abandoned; this is especially true of shrimp farms in mangrove areas. Primary agents of conversion to agriculture are poor farmers who have migrated from the delta provinces and from the northern mountainous regions to the southern provinces, especially the Central highlands.

48. *Infrastructure Construction:* Associated with the rapid with the socio-economic development of the country is the expansion of infrastructure, including roads, bridges, harbours, right-of-ways for electricity power-lines, sewage and water supply systems. For example, the Hồ Chí Minh Highway construction has resulted in conversion of some areas in National Parks such as Cúc Phương and Phong Nha. Other examples are roads through the Plain of Reeds (Đồng Tháp Mười); roads connecting Hà Tiên Province with Cà Mau Province; and the 500 KV trans-Viet Nam electricity power-line, etc. Reservoirs are another significant cause of ecosystem loss affecting important protected areas such as Na Hang NR.

ii) **Degradation of natural ecosystems:** The major causes of degradation in natural ecosystems are:

49. *Logging:* Illegal logging and unsustainable legal logging pose a great threat to biodiversity. They not only deplete natural timber resources but also dramatically change forest quality. Between the years 1986-1991 an average annual volume of 3.5 million m³ of timber was logged legally. In the period 1992 – 1996 the average annual volume harvested more than halved to about 1.5 million m³. Since 1997 the volume has reduced further, to about 0.35 million m³ per year from natural forests. Illegal logging occurs everywhere, even in Protection and Special-use Forests. The main reasons leading to serious and uncontrollable illegal logging are the demands for timber for domestic uses and for export, the low risks of being caught and the high financial rewards. Timber harvesting generates large profits and the forest protection force has not been strong and effective enough to regulate the industry. Prosecution of violations of timber exploitation and trafficking has been limited and insufficient to deter forest degradation.

50. *Firewood Needs:* Wood collection for fuel also occurs at a large scale and is difficult to control. Demand for energy from firewood accounts for 75% of total energy demands of the whole country. It is estimated that about 22 -23 million tons of fuel have been harvested annually from natural forests. Before 1995, about 21 million tons of firewood was collected per year to meet living needs for households. This was as much as six times the export timber volume each year. Additionally, firewood is collected mainly in areas near villages, leading to higher levels of harvesting locally than can be accommodated sustainably, and rapid dwindling and degradation of those forest areas.

51. *Use of Non-timber Forest Products (including wildlife):* In Vietnam's forests, there are more than 5,000 species used for non-timber forest products (NTFPs) such as rattan, palm leaves, bamboo, fungi and herbal plants, which are collected for food, construction materials, handicrafts, herbal medicine and export. There are also more than 100 species of birds, mammals and reptiles being exploited frequently for food or medicinal purposes and for export. These activities pose great threats to the survival of species such as dugong, turtles, many species of snakes, gaur, tiger, rhino, sun bears (*Helarctos malayanus*),

snub-nosed monkey, golden-headed langur, black gibbon, Edwards and imperial pheasants (*Lophura edwardsi* and *L. imperialis*, respectively), Ngoc Linh ginseng (*Panax vietnamensis*) and red shoe-shaped orchid (*Bulbophyllum albociliatum*), etc. The effects on many species are unknown. Wildlife trading, especially in species such as snakes, bears, tortoises, turtles, chameleons, pangolins, etc. for food, medicinal or illegal export purposes is on the increase. Trading activities are spreading to areas in different regions of the country and are difficult to control. Many endangered and vulnerable species have been seen for sale in various markets, even in the larger cities.

52. *Fishing*: Destructive methods such as dynamite, poisons (cyanide) and electric-shocking are often used for fishing. The results of over-fishing can be seen clearly in declines in total catch volume, fish sizes and catch-for-effort statistics, especially for marine fisheries. In addition, some seafood specialties such as lobster (*Panulirus*), abalone (*Haliotes*), shell fish (*Chalamys*) and squid (*Loligo*) have experienced significant decline. The exploitation of these species has continued, even though five spotted herring species, four lobster species and two abalone species are listed as vulnerable. Mother-of-pearl has disappeared in the northern sea in Vietnam.

53. *Introduced Faunal and Floral Species*: Deliberate and accidental introduction of exotic species most directly threatens important biodiversity, especially agro-biodiversity. However, some introduced species also become invasive, leading to degradation of natural ecosystems. Examples include the freshwater golden snail (*Pomacea canaliculata*) and marsh mimosa (*Mimosa pigra*).

54. *Forest Fires*: Although forest fire is a natural process in some ecosystems, the frequency and extent of fires throughout forested ecosystems in Viet Nam is a cause of degradation. Regions that often have forest fires are the Mekong Delta, Southeastern, Central Highlands and Northwestern regions. Shifting cultivation is largely obsolete, though it is still used as a traditional agricultural production system by some ethnic minority groups in mountainous areas. Consequently, shifting cultivation typically does not lead to ecosystem loss, as the total area under cultivation is declining. However, the use of fire to clear fallow land, if not carefully controlled, can lead to fire spreading into natural forests. Other sources of fire include cooking, hunting and honey collection.

55. *Pollution*: Many activities such as industry and urban development, mineral ore extraction, rural and traditional handicraft village development, and industrial and domestic waste treatment can cause pollution of water, air, land and marine environments. Many industrial entities in the country are small scale and use out-of-date technology. Consequently, large volumes of untreated wastes find their way into rivers and streams and underground water sources and frequently contaminate land. These rivers and streams carry pollutants and wastes into wetlands and the coastal and marine environments. The rural environment is also polluted by inappropriate use of agricultural chemicals.

Underlying Causes of Biodiversity Loss

56. Again, underlying causes of threats to biodiversity in Viet Nam differ little from causes in many other countries. However, the most important underlying causes are:

57. *Population Growth and Migration*: Population challenges in Viet Nam are serious in terms of resource availability, environment capacity and health. In the ten years 1989 to 1999, the population growth rate was 1.7% per year on average. The population is still increasing at a high rate while the availability of land, water and other resources remains static. Rapid population growth near protected areas, including in-migration, is one of main causes leading to biodiversity loss in Vietnam. Population growth results in increases in living and other essential demands while resources are limited especially land resources for agricultural production. Consequently, arable land expansion is on the rise affecting forest land encroachment and biodiversity degradation.

58. Both controlled and free migration policies impact on biodiversity conservation. From the 1960s onwards, the government encouraged about people to move from the lowland plains areas to live in and develop mountainous regions. This mobilization changed the ethnic structure of the central and northern mountainous regions in particular. In the period following the unification of the country (1975-1989), all migrations were supported by the State, and it is estimated that about 2.4 million people migrated in this period, of which 75% were provincial internal migrants and 25% were provincial external migrants. Most external migrants moved from the Red River Delta to the Central Highlands. These days migration is spontaneous, and driven by economic factors. Migrants are often the poor who lack production experience. Arriving in new lands, they usually cut down trees for housing, destroy forested areas for residential purposes and cultivate the land.

59. *Poverty*: Nearly 80% of the population lives in rural areas and, especially in remote areas, the people are among the poorest in the country. According to 2001 figures, poor households make up 17% of the population; most of them are in rural, mountainous, and remote and border areas. The poor often do not have land or are pushed to live in impoverished, steep and infertile lands. Economic activities are mostly limited to agriculture, forestry and fishing, as they lack long-term capital to invest in the development of other livelihood options. Poverty thus leads to unsustainable resource utilization and resource degradation. In the past ten years, significant achievements have been made in poverty reduction, improving greatly the living standards of a major portion of the population. Over two million poor households have been raised above the poverty line.

60. *Economic Policy*: Due to a long period of war, economic policies for much of the second half of the 20th century focused on meeting essential requirements for the war, including the exploitation of natural resources. After 1975, the economy continued to face many difficulties, leading to (for example) timber being logged very heavily for construction and export to fund economic development. Policies in the “*Đổi mới*” (renovation) period, since 1986, have helped on one hand to boost the economy but on the other hand they had negative impacts on biodiversity. For instance, the promotion of agricultural and fishery product exports has encouraged mangrove destruction for fish and shrimp farming and investments in forest clearance in order to have more land for such crops as coffee, rubber and cashews.

61. *Legislation Enforcement*: Since the 1960s many legal documents, guidelines and policies have been issued and some action programmes related to biodiversity conservation have been implemented. Nevertheless, implementation has not been thorough and people’s perception of biodiversity protection, particularly among ethnic people in mountainous areas has been poor. In regard to state management, the forest protection force has not been strong enough, welfare and benefit policies for them have been limited, they generally have poor technical equipment, and sanctions and legislation have not been specific. Sometimes these constraints discourage forest rangers and communities from taking part in forest conservation efforts.

1.3. Long-term solution and barriers to achieving the solution

62. The proposed long-term solution for biodiversity conservation in Viet Nam’s system of protected areas is strengthened systemic, institutional and individual capacities, supported by sustainable financing. A key difference in approach from previous support to protected areas in Viet Nam is the focus on a system-wide approach. Although Viet Nam has benefitted from a substantial number of project aimed at improving protected areas management, including a number of GEF-funded projects¹ (), an inadvertent consequence of past support focusing on individual protected areas has been the development of a protected areas system that is highly fragmented. The decentralization process for PA management

¹ Project IDs 209: Ba Bể NP, Na Hang NR and Yok Don NP; 4: Hon Mun MPA; 1477: Cúc Phương NP; 1943: Chu Yang Sin NP; 1030: Kon Ka King and Kon Cha Rang NRs; and 1031: Côn Đảo NP

mentioned in an earlier section of this document has accentuated this fragmentation, such as there is essentially no coordination or cooperation among protected areas, resulting in cost inefficiencies and even competition for scarce resources, for example, from tourism revenue.

63. In order to identify the key barriers achieving the long term solution, a number of analyses, stakeholder discussions and site visits were undertaken. In addition two key tools were applied during the period of the PPG. These were:

UNDP's Financial Scorecard: This is a tool developed by UNDP specifically to assess the strengths and weaknesses of financial management of protected area systems² (). The scorecard was completed during two multi-stakeholder expert consultations (13th May and 9th June, 2008), and detailed results are provided in Annex 2.

UNDP's Capacity Scorecard: This is a tool developed by UNDP to assess the broader capacity strengths and weaknesses of protected area systems. The scorecard was completed during a single multi-stakeholder expert consultation (10th June, 2008), and detailed results are provided in Annex 3.

The Management Effectiveness Tracking Tool (METT) in project pilot sites: This is a standard tool used for all GEF-funded protected area projects, consisting of a questionnaire with scores assigned to alternative text answers. Managers are asked to complete the tracking tool, ideally with a team of staff and other stakeholders. METT tables for the PAs included in the project pilot sites are given in Annex 4 (see also Annex 5, which describes the rationale and process of pilot site selection).

64. Barriers to the implementation of the identified long-term solution can be grouped under four headings: (i) policy; (ii) institutional mandates and individual capacities; (iii) practical experiences with diversified revenue streams; and (iv) monitoring and reporting, as follows:

(i) The lack of a comprehensive and harmonized legal and policy framework for PA financing

65. Legal, policy and regulatory support for issues such as tenure rights, revenue retention and sharing within the PA system are currently very weak in Vietnam. Currently there is no national PA financing policy and strategies at the national level.

(ii) The lack of clear and harmonized institutional mandates and processes for PA financing mechanisms

66. As multiple institutions are responsible for PA management, there is lack of clarity on roles and responsibilities on effective PA management and financing. Furthermore, this lack of clarity leads to institutional inertia, and institutions that cannot respond effectively to change.

67. These institutional constraints are exacerbated by limited individual capacity on development and management of revenue generation mechanisms, PA planning/management, business planning, marketing and communication strategies. Incentive systems are currently ineffective in motivating individuals to perform effectively, and these results in adverse values, integrity and attitudes among PA staff.

(iii) Little knowledge or experience of sustainable financing options

68. Within the protected area system there is little operational experience with revenue generation mechanisms (PES; Operational concessions; effective fee collection systems; economic valuation), or with economic valuation of protected area systems. PA site-level business planning is largely absent, and there are no PA training programmes on revenue generation mechanisms. Past training and capacity

² <http://www.undp.org/gef/05/kmanagement/newpublication.html>

development on skills for PA planning/management have been ad hoc and not institutionalized, as a result of which the benefits were not sustainable.

(iv) Lack of information and information sharing on biodiversity and PA status

69. Information to develop and monitor strategies and action plans for the management of the protected area system is limited. In particular, monitoring of the state of protected areas by society does not occur because of lack of access to information and the absence of tools to disseminate such information even if it existed. Consequently, public support for protected areas is limited.

1.4. Stakeholder analysis

70. The Viet Nam Environmental Agency (VEA) will be the main partner for project implementation and will work in close cooperation with the Forest Protection Department and Department of Fisheries Resources Exploitation and Protection of MARD, Ministries of Planning and Investment and Finance, the Viet Nam National Administration of Tourism, Provincial People’s Committees, Provincial Departments of Agriculture and Rural Development, District and Commune People’s Committees, Universities and Research Institutes, and representatives of the local people. Table 5 below describes the major categories of stakeholders and their involvement in the project.

Table 5: Key stakeholders and roles and responsibilities

Stakeholder	Roles and Responsibilities
Viet Nam Environmental Agency (VEA) / MONRE	VEA will be responsible for the overall coordination of the project. It will also be a primary beneficiary of project activities. VEA was recently created by the up-grading of the previous Viet Nam Environmental Protection Agency
Forest Protection Department (FPD)/MARD	FPD will work in close cooperation with VEA. It will contribute to the project through administration and management of SUFs.
Dept. of Fisheries Resources Exploitation and Protection / MARD	DOFREP will work in close cooperation with VEA. It will contribute to the project through administration and management of MPAs and IPAs.
Ministry of Planning and Investment (MPI)	MPI will support the project through its work on an evolving investment and investment allocation mechanism for SUFs (and potentially other forms of PAs). The project will generate information to support MPI in its work.
Ministry of Finance (MoF)	The MoF is a key partner in reviewing and approving budgets; it will assist the project in reviewing and, where necessary, revising financial regulations and procedures to support improved and diversified financial management of PAs
The Viet Nam National Administration of Tourism (VNAT)	VNAT will cooperate with the project in developing tourism plans for pilot sites and reviewing policy on generation and allocation of tourism revenues.
Provincial People’s Committees (PPCs)	As a major administrator of PAs throughout the country, PPCs will be critical to implementation of project activities in the pilot sites.
Provincial Departments of Agriculture and Rural Development (DARDs)	DARDs are the main technical agency at the local level. DARDs report to PPCs, but take policy guidance from MARD. As such, they will be important in implementing project activities at pilot sites, especially in building capacity of local stakeholders
District and Commune People’s Committees	District and Commune PCs are important in supporting local socio-economic development. While many are supportive of PA

Stakeholder	Roles and Responsibilities
	management, they may also be ambivalent since PA land may be viewed as having valuable alternative uses. District and Commune PCs will therefore be targets of awareness raising activities,
Viet Nam Conservation Fund (VCF)	As a component of the Forest Sector Development Programme, the VCF offers small grants to selected SUFs to improve management. As such, this project can establish close cooperation with the VCF to help capture lessons from the VCF for up-scaling; the VCF can help extend field testing of diversified revenue generation
Universities	Universities having conservation-related departments will contribute through scientific surveys and educational activities. One representative of the universities will be a member of the Steering Committee.
Research Institutes	Relevant regional research institutes such as CRES will contribute project in scientific surveys and educational activities.
National press and media	The project will cooperate with national press and media on public awareness issues.
Local press and media	The project will cooperate with local press and media at selected pilot areas on public awareness issues.
Representatives of local communities (villages)	Inhabitants of the villages within the selected pilot project areas will be made aware of the issues and invited to take part in the decision making process. Their cooperation will be sought in implementing project activities including protection and alternative income development (ecotourism, sustainable harvesting of natural resources), awareness raising, etc.
UNDP-Viet Nam	The roles and responsibilities of UNDP-Viet Nam will include: Ensuring professional and timely implementation of the activities and delivery of the reports and other outputs identified in the project document; Coordination and supervision of the activities, including ensuring alignment of the programme with the UN's One-Plan for Viet Nam; Assisting and supporting VEA for organizing coordinating and where necessary hosting all project meetings; Contracting of and contract administration for qualified project team members; Manage and be responsible of all financial administration to realize the targets envisioned in consultation with VEA; Establishing an effective networking between project stakeholders, specialized international organizations and the donor community.

1.5. Baseline analysis

71. Baseline programmes and initiatives may be divided into four main areas, corresponding with the four project groups of barriers identified previously. These baseline activities are described below.

72. Baseline assessment using the UNDP Capacity Scorecard identified a number of key issues that need to be addressed to catalyze sustainable PA management in Vietnam. The issues for which the assigned

score was less than 40% of the maximum are listed below, including one issue which had a score less than 10% of the maximum (shown in bold text):

Society monitors the state of protected areas

There are adequate skills for PA planning/management

PA institutions are transparent and accountable

PAs are effectively protected

Individuals are highly motivated

Protected areas have the public support they require

Individuals carry appropriate values, integrity and attitudes

Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system

Institutions are highly adaptive, responding effectively and immediately to change

Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning

Individuals are adaptive and continue to learn

73. Baseline assessment using the PA Financing Scorecard in 2008 has identified a number of weaknesses, some of which reiterate the Capacity Scorecard assessment findings. Key weaknesses that had scores less than 40% of the maximum included the following, with those with the lowest scores (less than 10% of the maximum) shown in bold text:

- ❖ **National PA financing strategies**
- ❖ **Training and support networks enable PA managers to operate more cost-effectively**
- ❖ Legal, policy and regulatory support for revenue retention and sharing within the PA system
- ❖ Economic valuation of protected area systems
- ❖ PA site-level business planning
- ❖ Operational, transparent and useful accounting and auditing systems
- ❖ Number and variety of revenue sources used across the PA system
- ❖ Setting/establishment of user fees across PA system
- ❖ Effective fee collection systems
- ❖ Marketing and communication strategies for revenue generation mechanisms
- ❖ Operational PES schemes for PAs
- ❖ Operational concessions within PAs
- ❖ Training programs on revenue generation

74. More details are provided on the baseline situation on these key issues below.

1. Legal and policy framework

The baseline situation on the institutional, legal and policy frameworks has already been described above, under the situation analysis. As already noted, PA policy in Viet Nam has evolved over the past several decades, resulting in a multitude of legal and policy documents which are overlapping, inconsistent and often contradictory. This has contributed to a score of 33 (out of a possible total of 94) for the “Legal, regulatory and institutional frameworks” component of the UNDP Financial Scorecard.

75. For example, concepts of wetlands and inland PAs have been confused. The inland PA system approved in Decision No.1479/QDD-TTg dated 13 October 2008 of the PM actually refers to wetlands; and according to Article 5 of Decree No. 27/2005/NĐ-CP, dated 8 March 2005, guiding the implementation of some articles of the Fisheries Law, inland PAs will be managed by Decree 109/2003 on the conservation and sustainable development of wetlands. However, the wetland PA system has never been officially approved so, under Decision 1479/2008, it may be that a wetland PA system can now be developed under the guise of an “inland” PA system.

76. In practice, PA staff have to apply legal documents relevant to forests, wetlands and marine areas for PA management. For example, in relation to zoning, according to the Law on Forest protection and development, SUFs must be divided into a strictly protected zone (core zone), rehabilitation zone, service-administration zone and buffer zone. In contrast, Decree 57 stipulates that each MPA is divided into at least three zones: strictly protected zone, rehabilitation zone and development zone; a MPA also has a protection belt with the same function as the SUF buffer zone. When a decision is issued to establish a new PA which contains several ecosystems, the decision typically does not specify the zones to be applied. As a result, PA staff do not know which legal documents would be applied to treat violations.

77. The Law on Biodiversity seems to offer a solution as it specifies a single zoning system that will apply to all protected areas. Also, when dealing with issues covered by earlier laws and regulations, the Law on Biodiversity, being the most recent, takes supremacy. In practice, however, application of the Law on Biodiversity requires the development of new regulations which, if not crafted carefully, could result in new problems emerging.

Emerging policy on PA financing

78. In 2008, MPI carried out a study to research and develop investment and financial support policies for the development and protection of SUFs and protection forests. The policies included (i) management mechanism, responsibilities, mandates and operational budget for forest management boards; (ii) investment mechanism, investment rate and investment sources for forest protection and development projects; (iii) responsibilities of management agencies at national level and local level. The final output of the project is a draft Decision of the Prime Minister regarding “*An investment and investment allocation mechanism for Special use forest system.*” Weaknesses identified in this report, and in other similar initiatives, contribute to a current score of only 5.5 (out of a possible total of 9) for the “Capacity to conceptualize and formulate policies, legislations, strategies and programmes” component of the UNDP Capacity Scorecard. The unofficial, preliminary conclusions of the MPI report were:

- ❖ PAMBs are allowed to cooperate with individuals, economic entities to do and manage business/economic activities within SUFs to generate revenues that will gradually replace the state budget currently allocated for SUFs
- ❖ Administration/management expenditures are recurrent expenditures that are stably guaranteed by the state budget at the level of one salary portion per 500ha
- ❖ The area set aside for business activities should not account for more than 20% of a zone. All business activities should be under joint-stock SUF development companies.
- ❖ All current business entities inside SUFs should be shifted into joint-stock companies for SUF development. PAMBs should own 51% stock of the joint-stock companies for SUF development.
- ❖ PAMBs are allowed to rent out the forests (environmental services) to individuals and organizations for doing business (except collection of entrance fees).
- ❖ Preferential treatments for investment and development inside SUFs: Phasing out of income tax during the first 10 years; etc. etc.
- ❖ Support from PAMBs to communities living in the buffer zone should be increased from 50 million VND/village/year. This investment support to villages should be clearly linked to protection and management of SUFs.

These conclusions highlight the need to ensure that emerging national policies and guidelines on sustainable financing allow PAMBs to benefit from PES and other revenue generation options, and that the system as a whole can pursue off-site revenue generation.

2. Institutional mandates and processes

Institutional management of a unified PA system

79. As noted earlier, the current situation of PA administration in Viet Nam is very complex, with four different systems recognized according to ecosystem, and three different agencies from two ministries responsible for developing and administering policy for specific ecosystem types (Table 3). Furthermore, management of PAs is assigned to a multitude of agencies from central government to various forms of local government (Table 2). Even the legal basis of the land in many protected areas is unclear. For example, in Bai Tu Long NP, there are significant areas under private land ownership, dating from prior to the establishment of the NP, while frequently the PA management board itself does not have land tenure certificates (“red books”). The inevitable result is unclear, overlapping and contradictory mandates resulting in ineffective PA management. These factors have led to a score of 21 (out of a possible total of 57) for the “Business planning and tools for cost-effective management” component of the UNDP Financial Scorecard, and a score of 21.4 (out of a possible total of 48) for the “Capacity to implement policies, legislation, strategies and programmes” component of the UNDP Capacity Scorecard.

80. The decentralization process has been complicated by additions and modifications to the SUF system. In general, provincial authorities manage nature conservation areas, cultural-historic-environmental sites and a growing number of national parks. Currently, only six national parks that are of “special importance” and/or that extend across more than one province are the responsibility of MARD. Table 2 shows the current breakdown of management responsibility for SUFs:

Table 2: Status of SUF management responsibility

MARD	6
PPC (in full please for all)	24
DPC	2
Provincial FPD	43
District FPD	4
DARD	19
Dept. of Culture, Sports and Tourism	4
Forest Development Department	1
State Forest Enterprise	3
No MB or unclear MB	22
TOTAL	128

**Source: Report of Nguyễn Mạnh Hiệp, FPD/MARD, 6/2008*

81. The Law on Biodiversity attempts to address these problems through various Articles, including Article 6, which assigns the Ministry of Natural Resources and Environment with responsibility for performing the state management of biodiversity, and Article 25 that establishes the right of PA management boards to *land* tenure certificates. Consequently, there is clearly a need for a coordination mechanism to ensure coordinated institutional management of a unified PA system.

82. The Forest Sector Development Project is an initiative of MARD with support from the World Bank, the Royal Netherlands Government and other donors. The goal of the project is the sustainable management of forests and the conservation of biodiversity, to achieve environmental protection, improved livelihoods of people in forest-dependent areas and enhanced contribution of forestry to the national economy. The project has four components, one of which is Special-use Forest conservation. Under this component seeks the Vietnam Conservation Fund has been established on a pilot basis to provide small grants to improve management of up to 50 SUFs and to mobilize international and local

technical assistance to build the capacity of SUF management boards and local communities to plan and implement priority conservation activities. The VCF has been operational since 2008, and will run initially to 2011.

83. While it is clear that a management board is identified as the “owner” of the protected area, it is not clear what that means in practice. Consequently, while management boards have been given ultimate responsibility for the maintenance and enhancement of protected areas, in practice they have little of the authority needed to achieve this goal. This has led to poor morale and frustration, low performance and uncertainty about how best to carry out their duties. The Prime Minister’s Decision 192/2003 identified as a priority strategic action the need to “*define clearly the duties and mandates of PA management boards*” and to “*direct the improvement in organisation of PA management boards*”. That direction is stressed in the MASPAS itself. It calls for “*Reform of the organisation and management mechanisms for PA management boards*” and to “*stipulate specific duties of PA management boards*”.

- *Boards are not always established:* When PAs are established, whether at central or provincial level, a Management Board must be set up, yet more than 40% of PAs do not have management boards.
- *Board tenure is not well defined:* When a province or central government does establish a board they become the “owners” but they are not issued with tenure certificates (commonly referred to as “red books”) which stipulate their rights and authorities as is normal practice for other land holders. It should be noted, however, that the new Law on Biodiversity states (Article 25) that “*Based on decisions on establishment of conservation zones, competent land allocation agencies under the Land Law shall allocate land to conservation zone management units or other organizations assigned to manage conservation zones*”. This appears to establish the principle that conservation management units (= PA management boards) do have the right to tenure certificates.
- *No guidance on board structure:* There is no common model to follow for organisational structure. Each province takes its own initiative on the basis of past experience and practices. In some provinces the “board” is the entire management unit of Director and his staff organised in different ways (for example, functional departments, forest protection unit, and forest protection and management stations). In other provinces, the “board” is made up only of the Director and his Deputy. In still other areas, it is viewed in a corporate sense as a “Board of Directors” in which the Director and various other government officials meet regularly to decide and oversee key PA management issues. Even in this latter model, the concept of a board allowing stakeholders from outside government as members is not understood or accepted.
- *Multiple institutions operating in PAs:* For example, Xuân Thủy National Park has a forest protection unit which is accountable to the Park Board but which has limited enforcement power. Besides this unit there is a forest ranger unit which has more enforcement power but is under the provincial FPD. The issue whether or not SUFs should have forest rangers remains unresolved. Current management of individual PAs is sometimes based on earlier institutional and tenure arrangements for the same forest area. For example, many were once production forest and some, such as Tâm Quý Nature Reserve, remain under SFE management. SFE’s come under DARD in the provinces, so PAs resulting from reformed SFEs often remained under DARD management. This situation applies to 19 SUFs, some in Hà Tĩnh and Kiên Giang Provinces.
- *One PA but different regulations:* One implication for having many institutions operating within a PA is that they bring with them their own regulations. Uncertainty arises when determining whose regulations should apply in any given management situation. For example, there may be a PA management board, tourist company and mining company all operating in a PA under different sets of

regulations. Such a situation often results from PAs having been established without consultation with other stakeholders.

84. *PA staff at all levels trained on business management, tourism management, monitoring and participatory management*

85. Individual capacities are affected by a number of factors, including overall PA budgets (described above), staffing levels, training, and motivation.

86. Regarding staffing levels, the Prime-Minister’s Decision No 186/2006/QĐ-TTg establishes that for every 500ha of PA there should be one ranger/officer. However, most PAs do not currently reach this level. For example, Bidoup-Nui Ba NP, with a total area of 64,700ha, should have a staffing level of 129, but there are currently only 96 staff, 70 of whom are rangers, while 41 have a university education (2 having post-graduate education). These figures are fairly typical - a recent survey of 50 SUFs revealed that 33% have undergraduate or graduate degrees and the rest have almost no professional training, while 60% of staff are assigned to law enforcement only. The “Capacity Building for Biodiversity Conservation Project” (CBBC) has undertaken extensive training needs assessments, and developed a number of training modules, supported by textbooks and other materials for Basic Ranger, Technical Ranger, and Middle Management courses. These modules and materials are currently being piloted in three northern provinces.

87. Some protected areas have no staff at all. For example, Tien Hai nature reserve was established in 1996, but no management board has been established and no funding has been assigned to the PA. At neighbouring Xuan Thuy NP, there are only 15 staff, which is less than 50% of the staff approved under the national park’s 2003 investment plan (which called for 32 staff). Figures 3 and 4 reflect the range of staffing levels and staff education for SUFs and highlight the need for enhanced and systematic staff training.

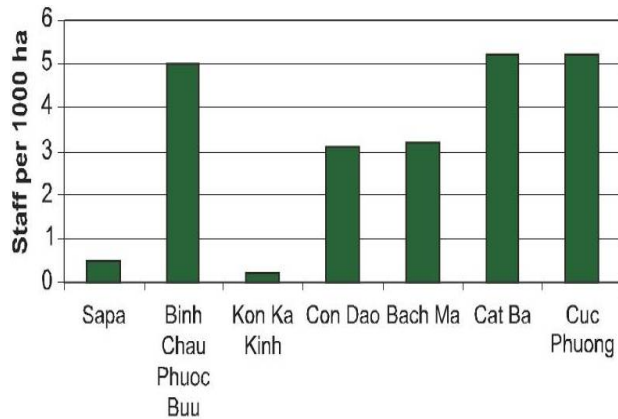


Figure 3: Staff per 1000ha for a number of SUF

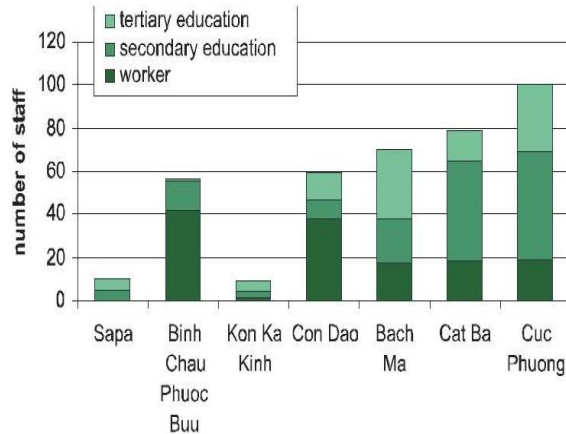


Figure 4: Education levels for staff at a number of SUF

Source for both Figures: Vietnam Environment Monitor 2005. World Bank, Hanoi

The Viet Nam Conservation Fund (VCF) undertook a study on financial status across the SUF system, which included a survey of 50 SUFs. The study concluded that basic weaknesses included:

- ❖ The total number of staff of the 50 SUFs included in the study exceeds 2800, 69% of whom are permanent staff.
- ❖ PAs staff cannot adequately address conservation needs, especially for PAs under provincial management. Most staff have been trained only in forest protection and management, but not in conservation.
- ❖ Capacities of PAs management boards are very limited in business and financial planning.
- ❖ However, some PAs are very active in mobilizing investment for conservation activities.
- ❖ All PAs management boards aim to support socio-economic development in buffer zones in order to reduce pressures to biodiversity conservation.
- ❖ Budget allocation for national parks under PPC management is predominantly for infrastructure development; 60% of them have higher infrastructure than operational budgets.
- ❖ Financial management is unnecessarily complex; for example, regular budgets are often managed by the provincial FPD, but Programme 661 belong is managed by the provincial DARD.
- ❖ National parks under provincial authority management face more financial difficulties compared to national parks under MARD management; especially with low budgets for biodiversity conservation.
- ❖ Liaison and cooperation among national parks is rare; there are few opportunities to share experiences on biodiversity conservation management and other activities.
- ❖ All PAs lack capacity to conduct business and to generate revenues for conservation activities.

Source: VCF

System-wide incentive measures for performance improvement

88. During the PPG, a survey was made of rangers working in protected areas in the pilot sites (see Annex 7 for details). Almost all had a university education, and about one-third had working for the PA for 5-15 years. The main motivation is the relationship to their training and their preferences for jobs in biodiversity/nature conservation. However, typically morale tends to be low due to difficulties in PA management, such as lack of equipment/ facilities, low salary, low awareness of higher authorities towards nature conservation, and poor community awareness. This indicates the need for a revised and enhanced system of incentives.

89. Most rangers identified encroachment for agriculture, hunting, and illegal logging as major threats; few rangers thought forest fire is a serious threat, while none of them thought that construction of hydropower dams or roads; mining; and invasive species can cause negative impacts for the park. When rangers were asked to make a list of park stakeholders few of them named local communities as important stakeholders. Similarly, a survey done by PanNature (2007) in Chu Yang Sin NP also found that park staff only recognize those with whom they usually work with for law enforcement, such as police and local authorities as stakeholders. Most rangers ignored local communities as key factors for their efforts to improve park protection.

90. There are only two activities/tasks that park staff believe they have done well: protecting forest resources, and raising community awareness on forest protection. Those activities for which performance was considered poor included mobilizing the local community to participate in forest protection; checking and fining violation cases; and collaborating with other organisations on law enforcement. However, according to PanNature (2007), park staff/rangers cannot assess their performance in frank and objective ways. For example, 90-95% of rangers in Chu Yang Sin NP said that they have done “very well” on tasks of forest protection and community mobilisation for forest protection; yet the park is under serious threat from illegal hunting and large-scale logging.

91. None of rangers can name over 5 legislative documents (title and code) which they usually use during daily practice for park management. Most rangers can name 2 of those documents, the Law on Forest

Protection and Development being the most commonly named. In Chu Yang Sin NP, 40% of its staff could not properly name any legislative document that they use. One reason for this is many of them have not yet been trained in those legislative documents.

92. The Capacity Building for Biodiversity Conservation project is currently designing a modified system of incentives for PA staff which will be piloted at a number of sites.

3: Knowledge and experience on sustainable financing from diversity sources

93. PAs in Viet Nam are largely funded from the state budget, with individual PAs also benefitting from overseas development assistance (see Table 6). State budget funds are channeled through the Vietnam Environment Fund, created in 2002, with a commitment of 1% of the annual state budget (the Fund also supports work on brown issues and other green issues unrelated to PAs). Decision No. 114/2008/QĐ-BNN of the Ministry of Agricultural and Rural Development established the Vietnam Forest Protection and Development Fund. The Fund is under the management of Ministry of Agricultural and Rural Development established to mobilize, receive and manage financial sources to protect and develop forests. PES payments will be channeled through the Fund, which also receives funds from the state budget (\$60M in 2008/9) and various other sources, for example, taxes paid by forest plantation production companies. In addition, SUF management boards can receive funding from government programmes, such as the national 661 Programme (“5-million hectare reforestation programme”), which supports both reforestation and forest protection activities. For example, funding for conservation contracts with local households comes from the 661 Programme.

94. SUF management boards receive two main sources of government funding: (i) recurrent budgets for staff salaries, fuel, repairs, maintenance and other running expenses; and (ii) investment budgets for equipment, infrastructure, and management activities (these are received via Vietnam Environment Fund).

95. Government funding to centrally managed SUFs is, in general, heavily skewed towards capital investment (infrastructure, vehicles, etc.), at the expense of operational conservation management. Nevertheless, investment funding is accounting for a steadily decreasing proportion of SUF costs. In 1997, investment budgets accounted for 72% of total government funding to centrally managed SUFs; by 2001, this proportion had fallen to 59% (IUCN 2002c). Of the VND 48.0 billion (US\$ 3.04 million) of government budget allocated to centrally managed SUFs between 1999 and 2001, VND 31.3 billion (US\$ 1.98 million) was in the form of investment budgets, while VND 16.7 billion (US\$ 1.06 million) was in the form of recurrent budgets.

96. The budgeting process for investment budgets is complex (see Figure 1). Investment budgets are allocated annually, according to Annual Budget Plans (whose annual budget plans), in line with funding priorities set out in the individual PA Investment Plans. Investment Plans are requests for investment funding, supported by detailed biological and socio-economic justifications. Investment Plans are typically prepared when an SUF is established, and then updated on a rolling basis, every 5 to 10 years. Investment Plans are generally not prepared by the SUF management board itself but by a government technical institute, usually FIPI (in full please). Dividing the responsibility for investment budget setting from the management board in this way is a major obstacle to linking investment budgets with conservation priorities.

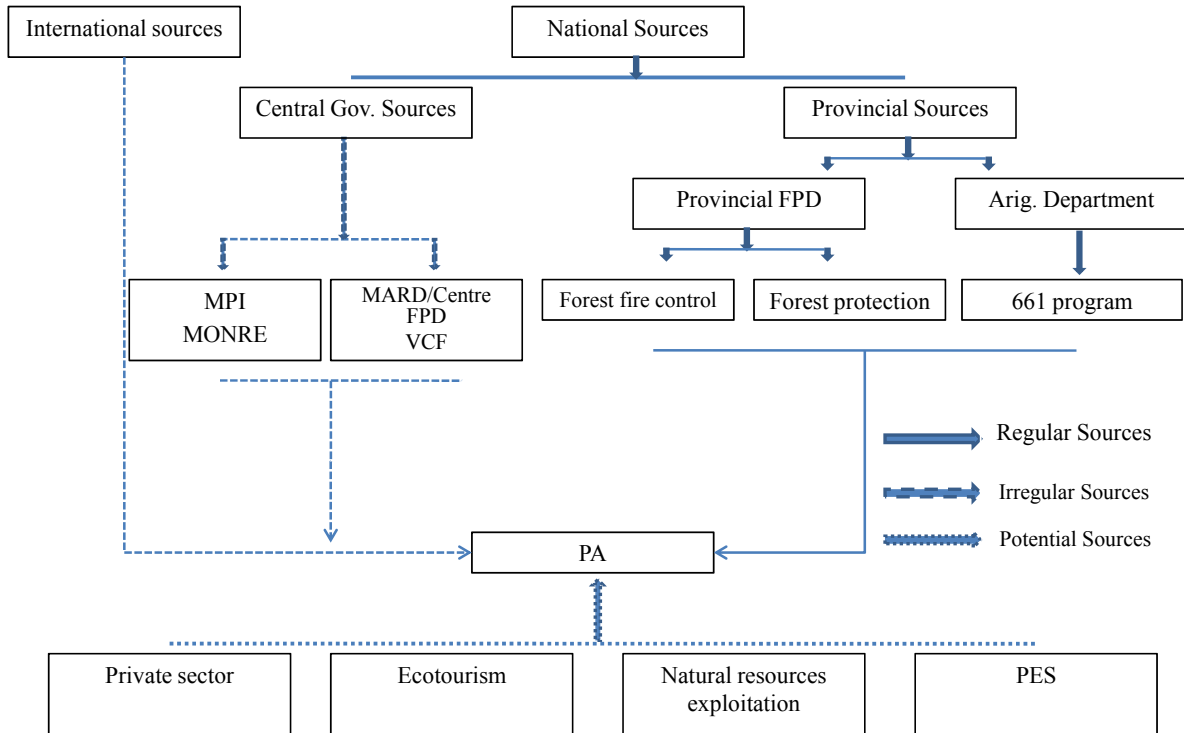


Figure 1A: Budget allocation decision making for provincially-managed PAs

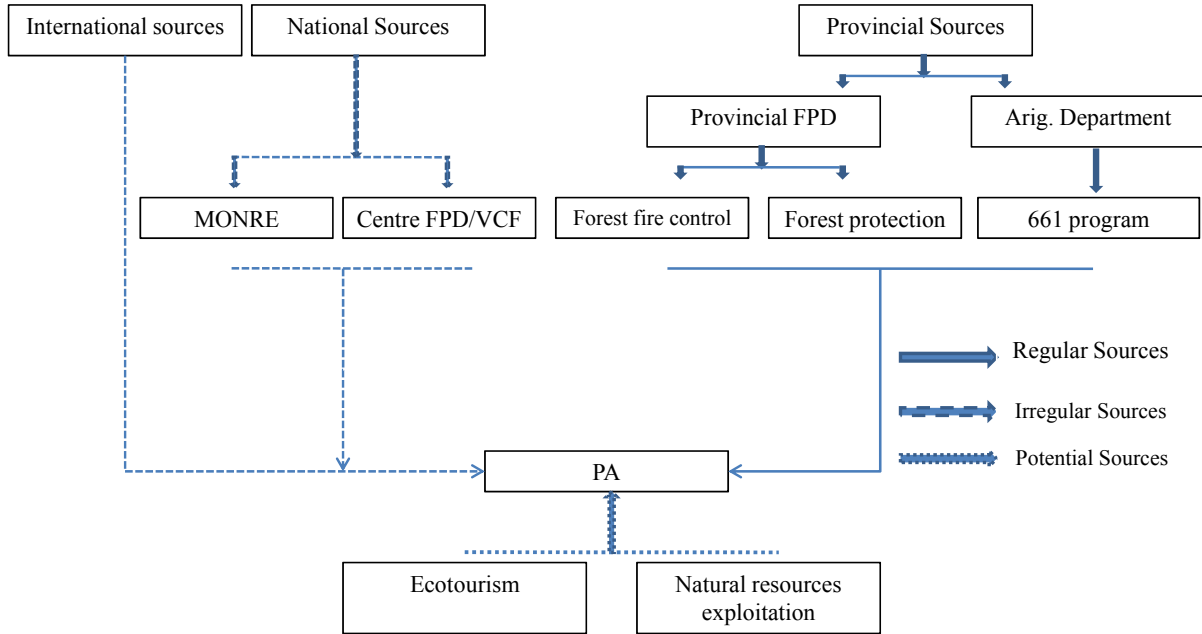


Figure 1B: Budget allocation decision making for centrally-managed PAs

97. Upon completion, Investment Plans are submitted to the relevant PPC for approval. They are then appraised by relevant line departments at the provincial level, such as the Department of Planning and Investment (DPI) and the FPD. After approval at the provincial level, Investment Plans are submitted to MARD for appraisal (Investment Plans for centrally managed SUFs are submitted directly to MARD, by-

passing the provincial-level approval process). After appraisal by MARD, Investment Plans with a budget in excess of VND 15 billion are submitted to MPI for assessment and then to the Prime Minister for final approval.

98. Although SUF management boards usually prepare and submit their Annual Budget Plans by October each year, they do not usually receive their investment budgets until mid-way through the following year, usually between March and May but sometimes as late as September or October.

99. In addition to government budget allocations and (limited) local revenue generation, ODA-funded biodiversity conservation projects have been estimated to contribute an average of US\$ 4 million per year towards centrally managed SUFs (IUCN 2002c); a smaller amount is provided to provincially managed SUFs. Table 3 shows the relative contribution of state, ODA and other funding for a sample of protected areas.

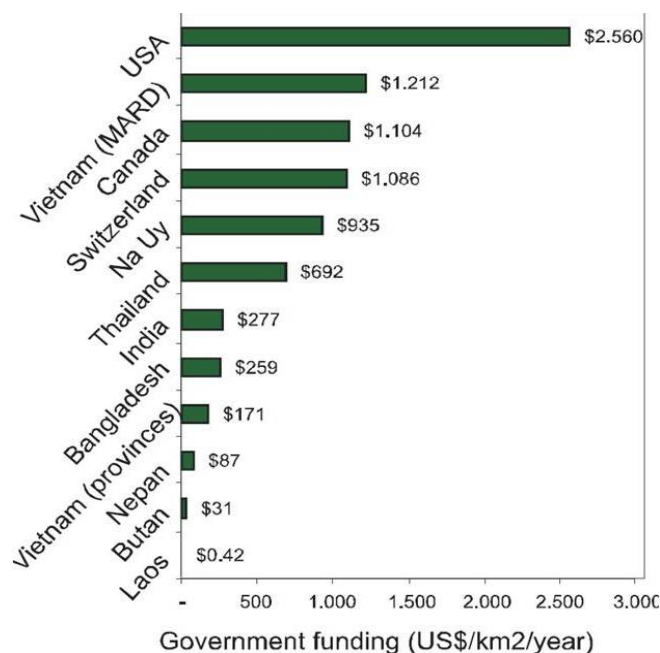
Table 3: Investment sources of National Park in the period from 2001 to 2006

(Unit: Percentage)

No	NP name	State budget	Other revenues	ODA	Total
1	Bến En	99.37	-	0.63	100.00
2	Cát Tiên	94.69	3.72	1.60	100.00
3	Bạch Mã	91.88	2.61	5.51	100.00
4	Yok Don	69.72	0.62	29.67	100.00
5	Cúc Phương	68.08	1.38	30.54	100.00
6	Tam Đảo	49.98	1.66	48.36	100.00
1	Xuân Thủy	100.00	-	-	100.00
2	Lò Gò-Xa Mát	100.00	-	-	100.00
3	Phú Quốc	100.00	-	-	100.00
4	Tràm Chim	100.00	-	-	100.00
5	U Minh Hạ	100.00	-	-	100.00
6	U Minh Thượng	100.00	-	-	100.00

(Source: VCF 2008)

100. During 1999-2001, over two-fifths of the total government budget allocation to the national SUF system was allocated to nine centrally managed SUFs, which received, on average, US\$ 340,000 per site per year. The remaining three-fifths were divided among 97 provincially managed SUFs, which each received, on average, only US\$ 40,000 per annum. Figure 2 shows the funding per unit area for a number of OECD and developing countries. Funding for centrally managed PAs in Viet Nam exceeds the figures for Canada, Switzerland and Norway, yet funding for other PAs is very low, falling below India and Bangladesh. Table 6 shows the range of values for some specific SUFs.



Source: Vietnam Environment Monitor 2005. World Bank, Hanoi

Figure 2: Funding per unit area for a number of OECD and developing countries

Table 6: Average investment from State Budget for PAs in recently years

No	PA's name	Level	Investment from state budget/ha/year ('000 VND)
1	Xuân Thủy	Very high	2,009
2	Ba Bể	Very high	1,292
3	Cúc Phương	High	333
4	Bến En	High	206
5	Tam Đảo	High	199
6	Bạch Mã	Medium	131
7	Cát Tiên	Medium	119
8	Yok Don	Low	98
9	Vũ Quang	Low	41
10	Chu Mom Rây	Low	27

Source: VCF, 2007

101. The shortcomings reflected in these various issues led to a score of only 13 (out of a possible total of 57) for the “Tools for revenue generation” component of the UNDP Financial Scorecard.

Current Models of effective collection and sharing of revenues to support sustainable PA financing

102. Experience with diversified revenue sources for protected areas in Viet Nam is extremely limited – as noted previously (Table x), many protected areas rely entirely on government budget allocations, others benefit from significant inputs of ODA, but none have significant other sources of revenue.

103. Currently PA managers lack the authority to explore the options for generating revenue locally that exist at all PAs, and thereby reduce their dependence on the state budget and ODA. There is a need, therefore, to confer greater authority on PA managers with regard to decision making on the raising and use of funding.

104. Beside, the funds from State Budget for the annual expenditures and projects allocated by relevant agencies, the PAs also operate as enterprises regulated by the Decree 43/2006, in which State enterprises may receive a part of their annual budget from the State Budget and part from their business activities. There several regulations regarding investment to PAs, as follows:

- Article 10 of the Forest Protection and Development Law, 2004, states that the Government is in charge of investing for special use forest protection activities and protection of endangered fauna and flora species
- Article 51 of Decree 23/2006/ND-CP, dated 3rd March 2006, on Implementing the Forest Protection and Development Law indicates that “*based on the forest protection and development plan, which is approved by authorities, the forest owners have to submit long term investment project for core zone and in cooperation with the local authority to establish the community development project for the buffer zone.*” This Article also calls for investment from private sector, social group, and other available resources.”
- Article 17 of Decision 186/2006/QD-TTg, dated 14th August 2006, of the Prime Minister on the regulations of forest management stipulates the sources invest to special use forest including the annual salary for the operation of PA’s Management Board; fund for the evaluation and monitoring of ecosystem and biodiversity; field survey, personnel training, raising awareness activities on forest protection and investment fund for infrastructure, enrich forest activities and this investment could come from different sources. Pursuant to the ten years planning, the Management Board designs the investment project for Authority approval.

PES

105. Since April 2008, Pilot Policy 380 (Decision 380 QD-TTg; the Pilot Policy on Payment for Forest Environmental Services) has applied to five provinces and Ho Chi Minh City (HCMC). In addition, GTZ is testing PES in Son La province. Under the scheme, hydro-electricity plants will pay VND 20 (0.125 US cents) per kilowatt; water companies VND 40 (0.25cents) per litre of water; and ecotourism companies between 0.5 and 2% of revenue. These payments will be channelled through the Vietnam Forest Protection and Development Fund to land owners responsible for generating the environmental services. In theory this includes PAMBs, but the unclear status of land ownership in many PAs means that the benefits of PES payments to PAs remain unclear.

106. One of the pilot sites for the pilot PES policy is the Dong Nai River Basin Project in Lam Dong province, where Winrock International and USAID are cooperating with local authorities to pilot payments for soil conservation in the catchment of a hydro-power reservoir and water conservation for domestic consumption. The Dong Nai River Basin is expected to supply 20% of Vietnam’s power needs through hydro-electricity, while demand for water in HCMC increases by 19 percent each year. One of this project’s pilot sites, Bidoup-Nui Ba NP, lies partly in the watershed of the Dong Nai River, while the UNDP/UNEP/FAO UN-REDD programme for Viet Nam is also expected to work in the same district. A detailed distribution system for revenues from PES still needs to be developed, so it is unclear what proportion, if any, of the revenues will go to the NP management board. However, even if the management board itself is not a direct beneficiary, it is certain that a large proportion of the revenues will be paid to those households which are contracted to protect the forests within the NP, so biodiversity conservation inside the NP will be strengthened through PES.

Tourism and concessions

107. The MOF has agreed in writing that Bạch Mã and Cúc Phương NPs are allowed to collect entrance fees. Many other PAs charge entrance fees, but this is, in effect, illegal – only Bạch Mã and Cúc Phương have thus far followed the formal approval process for entrance fees. The authority for regulating fees has been outlined in Decree 57/2002/NĐ-CP dated 3rd June 2002, regulating the implementation of the Ordinance on fees and charges as below:

- The Government stipulates important charges, those charges generating large income, and those related to many national socio-economic policies.
- People's Councils at the provincial level stipulate charges associated with land and natural resources management, associated with the state administrative management function of local governments.
- MOF stipulates the rest of fees to apply in the whole country.

108. The situation regarding collection of revenue from tourism fees and protected area entrance fees is uncoordinated, as noted previously, so there are no guidelines related to entrance fees or to the proportion of tourism revenue to be retained by the protected area management board.

109. In the case of Bidoup-Nui Ba NP, no entrance fee is currently charged, but there is a proposal to charge VND15.000 (\$0.90) per person. One problem at Bidoup-Nui Ba which is typical of many protected areas is that there is a public highway running through the park. As both the highway right-of-way and the park itself is considered to belong to the state, no charges can be levied on vehicles passing long the highway, and consequently control of entrance to the park itself is very difficult. Tourism use of the park is actually quite high – for example, every day significant numbers of mountain bikers cycle along the highway, some of them travelling all the way from BDNB to the coastal resort of Nha Trang. Clearly the cyclists are attracted by the physical beauty of the area, and the tourist service companies that are providing the experience are benefitting financially from this, but BDNB itself receives no benefits.

110. At Ba Be National Park, the management board generates a small amount of revenue from a guesthouse that it manages, plus a coffee shop and karaoke bar concessions. In 2001, the national park management board raised about VND 200 million (equivalent to US\$ 12,700) from these activities, of which 75% was retained by the management board for re-investment, after paying tax. An entrance fee (less than US\$ 1 per visitor) is charged at Ba Be National Park but the majority of this fee is retained by the provincial authorities, with only a small percentage being returned to the national park management board. By way of contrast, at Yok Don National Park, no entrance fee is charged but charges are made for use of the guesthouse, guides and rangers, camping and elephant hire. An average overnight visitor to the national park is estimated to spend US\$ 35 per night, of which 75% is paid to the national park authorities as various fees; for day visitors, the national park receives significantly less. Although a small number of SUFs (such as Cuc Phuong and Phong Nha-Ke Bang National Parks) generate significant tourism revenue, none could self-subsidise at current levels.

111. The only experience regarding charging fees at MPAs comes from Nha Trang Bay MPA, where a service fee for divers of US\$ 3 per head has been introduced on a trial basis. In order to become institutionalised, this fee needs to be included into the national fee system, which is determined by MoF.

112. Figures 5 and 6 show the overall situation in Viet Nam with regard to protected area entrance fees, compared with other countries in the region. As can be seen, typical entrance fees for Viet Nam (when they are charged at all) are among the lowest, at around \$0.50 for a citizen and \$1.00 for a foreign visitor.

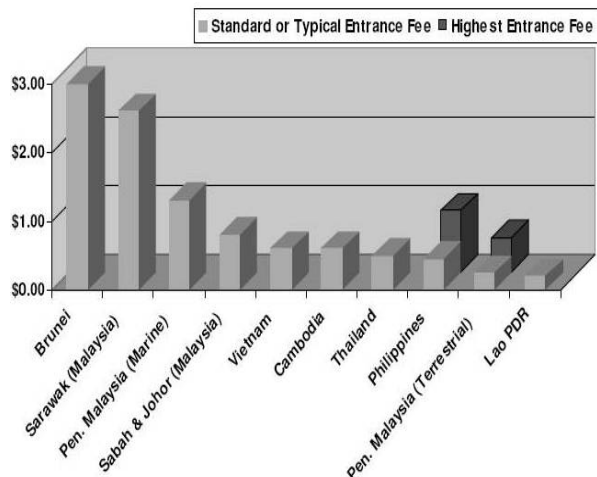


Figure 5: PA entrance fees for citizens, SE Asia

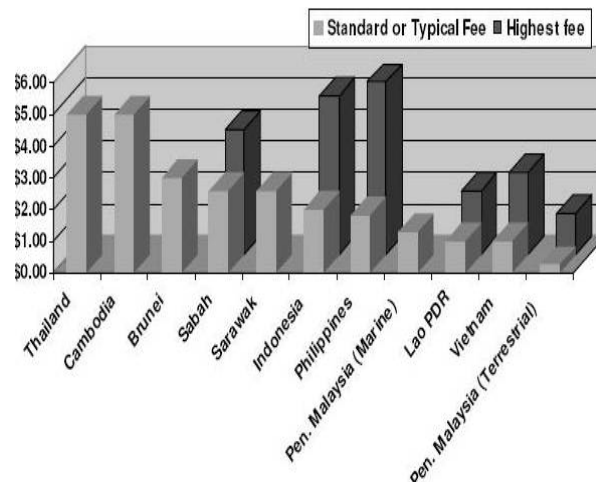


Figure 6: PA entrance fees for foreigners, SE Asia

Source for both Figures: Tarman, W., Laplante, B. and Lee, K.F. 2005. Conservation Financing: A Review of the Southeast Asian Experience

113. The Vietnam Conservation Fund (VCF) is one of the four components of the Forest Sector Development Project funded by the GEF and a number of partner donors. The VCF is run by the Forest Protection Department (FPD) under the Ministry of Agriculture and Rural Development. Total funding for VCF is about US\$ 17.5 million for the period from 2005 to 2011, through which grants are made to 53 SUFs.

During the project preparation phase detailed questionnaires were completed on financial status and prospects were undertaken for 6 protected areas (see Annex 6 for results from each site). Overall the following common issues were noted:

- The differences in terms of infrastructure and operational budgets are enormous. For example
- at Xuan Thuy N.P. the current annual budget for environment protection is 200 million VND and for infrastructure development is 7000 millions VND; whereas at Bai Tu Long N.P.
- the current annual budget for environment protection is 5000 million VND; and for infrastructure development is 200 million VND
- None of the studied parks have seriously undertaken revenue generation activities. In the case of Bai Tu Long N.P.
- the PAMB has been instructed by the PPC not to do so
- Nevertheless all parks have undertaken analyses or more formal studies of potential to generate revenues, in most cases from ecotourism, including the charging of entrance fees.

Overall, the scores indicate the following common weaknesses:

METT Issue	Sites with scores of 0 or 1
7. Management plan	Bai Tu Long, Bidoup Nui Ba, Cat Ba, Chu Yang Sing
9. Resource inventory	Bai Tu Long, Bidoup Nui Ba, Cat Ba,
14. Staff training	Bai Tu Long, Bidoup Nui Ba, Cat Ba,
15. Current budget	Bai Tu Long, Bidoup Nui Ba, Chu Yang Sing, Xuan Thuy
20. Education and awareness	Bai Tu Long, Bidoup Nui Ba, Cat Ba, Chu Yang Sing
27. Visitor facilities	Bai Tu Long, Bidoup Nui Ba, Xuan Thuy
28. Commercial tourism operators	Bai Tu Long, Bidoup Nui Ba, Xuan Thuy

Information on biodiversity and PA and public support for the PA system

Current approach to monitoring to support PA management decisions and budgeting

114. There is no unified approach to monitoring across the protected area system. Endangered and charismatic species are often monitored in individual protected areas, where their conservation is a high priority, but even then there are no guidelines to establish a common approach. More often it is left to NGOs who focus on individual species to undertake research and monitoring of those species. Protected area staff often lack the funds, equipment and training to undertake systematic monitoring, even though under the new Law on Biodiversity (Article 29) they are required to “*monitor and collect information and data on, and build a database and report on the current status of, the conservation zone’s biodiversity*”. Consequently, the score for the “Build consensus”, “Mobilize information”, and “Monitor, report and learn” components of the UNDP Capacity Scorecard was only 14, out of a possible total of 39. The VCF is currently developing a SUF biodiversity monitoring system which will be applied in all SUF’s applying for grants.

Approach to reporting on biodiversity status and trends

115. A similar situation applies to reporting on biodiversity, which currently lacks a systematic approach. However, under the Law on Biodiversity protected area management units are required to report on the current status of their conservation zones’ biodiversity every three years. Furthermore, under Article 72 of the law, the Ministry of Natural Resources and Environment is assigned responsibility for producing biodiversity reports and a component of the national environment report, and to coordinate with concerned ministries and ministerial-level agencies in this regard.

Public support for protected areas

116. During the PPG a gender-balanced survey of the urban public in three major cities, HCMC (south); Danang (central); and Hanoi (north) was undertaken (detailed results in Annex 7). All interviewees had at least an upper secondary education. Results indicated that the level of awareness of the protected area system in Viet Nam is low. For example:

- Only 4-12% were able to explain terms such as “*national park*” and “*nature reserve*”
- Only 25% were able to name at least one protected area in Viet Nam. This figure was 29% for HCMC, 24% for Danang, and 21% for Hanoi. In most cases where respondents were able to name a protected area it was in the surrounding area or nearby provinces. For instance, people in Hanoi could name Cuc Phuong and Ba Vi NPs; in Danang people can name Bach Ma NP; and people in HCMC can name Cat Tien and U Minh Thuong NPs. No NRs that were named.
- In contrast, residents of HCMC were least aware of the reason for establishing a PA, with only 51% able to explain, compared with 64% in Danang and 83% in Hanoi.
- Although more than 80% of the respondents identified hunting and illegal logging as threats to biodiversity, barely 30% considered mining a threat, and less than that number thought that road construction and hydropower development are serious threats
- However, when asked about “willingness to pay” for access to a protected area, 93% indicated a willingness in Hanoi; 78% in HCMC and 76% in Danang.

117. However, a recent survey by TRAFFIC (2007) revealed that wildlife consumption by Hanoi residents is becoming increasingly common in parallel with rising incomes.

118. Another interview was conducted of household representatives living in buffer zones of the three pilot sites. Most of interviewees are Kinh people (i.e., not ethnic minorities), aged ranging from 20 to 50, literate (with at least primary education); and have been living in the area for over 20 years, mainly dependent on agricultural and forestry. Results indicate that almost all interviewees (91%) are aware of the presence of the park in their area. More than half of them knew the year that the PA was established, the location of the park's headquarters, and the park boundaries (around 56%).

119. However, these results may not be typical, as another study by PanNature (2007) in the buffer zone of Chu Yang Sin NP in the Central Highland's Dac Lak province, 56% of interviewed villagers did not know about the NP, even though field-rangers attended their monthly village meetings and talked about forest protection. Part of the reason for the low figure could be that indigenous M'ngong people in Krong Bong district usually call Chu Yang Sin "forestry area" instead of "national park". Similarly, many villagers in Giao An and Giao Thien communes in Xuan Thuy NP's buffer zone usually call the NP "environmental area".

120. Most villagers do not know the purposes for establishing the park, even though 75% believed that they knew those reasons. Many villagers cannot name important/endangered species of mammals or birds of the park and/or being protected by the park.

121. Only 25% of interviewed villagers in Xuan Thuy NP and 35% in Bi Dup-Nui Ba NP knew those parks have conducted some community awareness and/or propaganda activities. Approximately 60% of interviewees said the park has done well in their tasks. More than half of the interviewees believe that the area of natural forests, quantity of animals, and quantity of big trees inside the park are increasing, while number of violation cases are decreasing. Nearly 44% of villagers said that the park generated no benefits for their income generation or economic improvement.

Part II: Strategy

2.1 Project Rationale and Policy Conformity

Fit with the GEF Focal Area Strategy and Strategic Programme

122. The project will contribute significantly to meeting the targets of GEF Focal Area Strategy and Strategic Objective 1 (SO-1), Catalyzing Sustainability of Protected Area Systems at national levels/ Strategic Programme 1: Sustainable Financing of Protected Area Systems at the National Level, but initiatives to improve financing will also result in improved management of terrestrial PAs and an expanded system of marine protected areas over the longer term. This project will contribute to the sustainability of Viet Nam's protected area system by supporting national policy development and institutional strengthening and through pilot site demonstrations to ensure that the national PA system has plans and actions for long term financial sustainability. In line with SP1, the project will ensure development of business plans that include diversified funding sources and cost effective use of resources. The project will also strengthen the partnerships between PA authorities and local communities, local government, NGOs and the private sector to achieve the long-term sustainability of PA financing.

Rationale and summary of GEF Alternative

123. Support to removing the above barriers constitutes the essential rationale for the present project and forms the basis for its three outcomes. In order to achieve these outcomes, GEF has joined in partnership with key protected area management agencies VEA, FPD, PPCs and other local PA management agencies, together with essential co-operating partners such as the Ministry for Planning and Investment, the Ministry of Finance, and relevant national and international NGOs.

2.2 Project Goal, Objective, Outcomes and Outputs/activities

124. As mentioned above, the proposed long-term solution for biodiversity conservation in Viet Nam's system of protected areas is strengthened systemic, institutional and individual capacities, supported by sustainable financing. Barriers to the implementation of the identified long-term solution can be grouped under four headings: (i) policy; (ii) institutional mandates and individual capacities; (iii) practical experiences with diversified revenue streams; and (iv) monitoring and reporting.

125. Given these barriers, the proposed **Objective** of the project is: *“To secure a sustainably financed PA system, to conserve globally significant biodiversity”*. This will contribute to the broader **Goal** of *“Biodiversity is effectively conserved in Viet Nam”*. In order to achieve the project Objective, a number of Outcomes and Outputs must be secured. These are described below.

Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing

126. As discussed above, PA policy in Viet Nam has evolved over the past several decades, resulting in a multitude of legal and policy documents which are inconsistent and often contradictory. The project will strengthen the legal and policy frameworks so that there is a comprehensive and harmonized legal and policy framework. The following outputs will be achieved through this project.

Output 1.1: Regulations under the Law on Biodiversity that ensure consistency in protected area administration in the context of national BD planning

127. A major contribution of the project will be to develop regulations required to support implementation of the Law on Biodiversity. This will be done in the context of a new approach to national BD planning, required under the law. Examples of international best practices will be mobilized to guide the formulation of regulations, with a key result being to ensure that all PAs in Viet Nam are administered under a common set of definitions and procedures.

128. The Law on Biodiversity also offers an opportunity to overcome some specific constraints to PA financing. Therefore the project will ensure that regulations permitting and encouraging site-based business planning are developed, and similarly that the basis for system-wide financial planning and management is established. The development of comprehensive regulations on PA financing will essentially serve to establish a national financing strategy.

129. The process of reporting and processing violations and crimes in PAs is currently uncoordinated and ineffectually applied. The project will, therefore, support the introduction of a common, system-wide approach to presorting on and processing violations and crimes. Regulations governing conditions for access to genetic resources in protected areas and procedures to ensure the equitable sharing of benefits arising from the use of those genetic resources will also be supported. Indicative activities under this output will include:

- Analysis of current practices and constraints
- Analysis of regulations required to make the Law on Biodiversity effective
- Mobilization of international best practice
- Review of ABS procedures in other countries
- Discussions with Ministry of Finance and MPI on consistency with other legal instruments

- Development of proposals for a uniform system-wide approach to reporting and processing violations and crimes
- Drafting of regulations
- Stakeholder consultations
- Revisions to, and support for approval of regulations
- Training and awareness raising on application of new regulations

Output 1.2: Policy on PA financing allows revenue generation and effective management of revenues for individual PAs and the system as a whole

130. The draft policy on PES (Decision 380) is currently being piloted in a few provinces, and will lead to a nation-wide policy that will apply to the whole country within the next few years. Several agencies are already supporting the local testing of approaches to PES, including Winrock International, GTZ, ICRAF, WWF and others. Consequently the project will supplement these on-going initiatives with measures to ensure that PAs are able to benefit from institutionalized payments through national and local Forest Protection Development Funds.

131. Off-site financing for Viet Nam's natural heritage is already enshrined in the 1994-2010 Tourism Development Master Plan, which envisaged 50% of all visa fees being used to preserve cultural and natural heritage, and this proposal was endorsed by the Prime Ministerial decision but has not been implemented. Currently, the Ministry of Culture, Sports and Tourism is preparing a new Strategy for Tourism Development for 2010-2020, and this will also generate a new Master Plan for the same period. The project will work with key tourism partners to analyze why the decision contained in the current Master Plan has not been implemented, and the processes required to ensure that the new Strategy and Master Plan are able to mobilize off-site funding.

132. The MPI and MARD (FPD) have undertaken analyses required to develop a Prime Ministerial decision on sustainable financing of SUFs. However, it is recognized that even though the PM's Decision is expected to be passed in 2009, further experiences with approaches to sustainable financing will be required, and that therefore there will need to be modifications to the Decision, as new lessons on sustainable financing become available through this project and others. The project will therefore work with MPI and MARD to ensure that both domestic and international best practices are incorporated into modifications of the PM's Decision, or to ministerial decisions required to implement the PM's Decision. Indicative activities under this output will include:

- Review of experiences with revenue generation and management initiatives
- Discussions with key partners on reasons for previous failure to operationalize off-site funding
- Review domestic and international best practices
- Stakeholder discussions on measures required to ensure benefits to PAs
- Assistance with drafting of new policy/regulations
- Awareness raising on the national policy
- Training and awareness raising on implementation of sustainable financing decisions
- Support to the preparation and implementation of nature conservation measures in the new Strategy and Master Plan

Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms

133. The current situation of PA administration in Viet Nam is very complex, with four different systems recognized according to ecosystem, and three different agencies from two ministries responsible for

developing and administering policy for specific ecosystem types. Furthermore, management of PAs is assigned to a multitude of agencies from central government to various forms of local government. Even the legal basis of the land in many protected areas is unclear. For example, in Bai Tu Long NP, there are significant areas under private land ownership, dating from prior to the establishment of the NP, while frequently the PA management board itself does not have land tenure certificates (“red books”). The inevitable result is unclear, overlapping and contradictory mandates resulting in ineffective PA management.

134. The Law on Biodiversity attempts to address these problems through various Articles, including Article 6, which assigns the Ministry of Natural Resources and Environment with responsibility for performing the state management of biodiversity, and Article 25 that establishes the right of PA management boards to *land* tenure certificates.

135. During 1999-2001, over two-fifths of the total government budget allocation to the national SUF system was allocated to nine centrally managed SUFs, which received, on average, US\$ 340,000 per site per year. The remaining three-fifths were divided among 97 provincially managed SUFs, which each received, on average, only US\$ 40,000 per annum.

136. SUF management boards receive two main sources of government funding: (i) operational budgets for staff salaries, fuel, repairs, maintenance and other running expenses; and (ii) investment budgets for equipment, infrastructure, and management activities. In addition, SUF management boards can receive funding from government programmes, such as the national 661 Programme, which supports reforestation and forest protection activities.

137. Although SUF management boards usually prepare and submit their Annual Budget Plans by October each year, they do not usually receive their investment budgets until mid-way through the following year, usually between March and May but sometimes as late as September or October. Moreover, PA managers lack the authority to explore the options for generating revenue locally that exist at all PAs, and thereby reduce their dependence on the state budget and ODA. There is a need, therefore, to confer greater authority on PA managers with regard to decision making on the raising and use of funding.

138. Regarding staffing levels, the Prime-Minister’s Decision No 186/2006/QĐ-TTg establishes that for every 500ha of PA there should be one ranger/officer. However, most PAs do not currently reach this level. For example, Bidoup-Nui Ba NP, with a total area of 64,700ha, should have a staffing level of 129, but there are currently only 96 staff, 70 of whom are rangers, while 41 have a university education (2 having post-graduate education). Some protected areas have no staff at all. For example, Tien Hai nature reserve was established in 1996, but no management board has been established and no funding has been assigned to the PA.

139. During the PPG, a survey was made of rangers working in protected areas in the pilot sites. There are only two activities/tasks that park staff believe they have done well: protecting forest resources, and raising community awareness on forest protection. Those activities for which performance was considered poor included mobilizing the local community to participate in forest protection; checking and fining violation cases; and collaborating with other organisations on law enforcement. None of rangers can name over 5 legislative documents (title and code) which they usually use during daily practice for park management. Most rangers can name 2 of those documents, the Law on Forest Protection and Development being the most commonly named.

Output 2.1: Clarified and coordinated institutional management of a unified PA system

140. Numerous constraints to effective management of the PA system result from the absence of an effective coordinating body for PA financing and budgeting. The process of decentralization that has taken place in Viet Nam has neutralized the role that FPD formerly played in this regard. Even though MARD, through FPD, still has an advisory role on PA financing, it is not always the case that the budgeting process responds appropriately to FPD advice. The process of decentralization will continue, but there need to be measures to ensure that the overall approach to PA financing and budgeting is consistently applied across the system, and is linked to PA needs. Furthermore, it is inevitable that by taking advantage of diverse funding sources, some protected areas will generate revenues that are surplus to their needs, so a system is required to permit transfer of surplus revenues to protected areas that are under-funded. Due to the diversity of agencies responsible for management of different PAs, there is little or no consistency in management philosophies or procedures. This is a major constraint to a unified and viable PA system in Viet Nam. While it is not feasible to envisage a single PA authority having management responsibility for all PAs, it is nevertheless necessary to ensure that an agency has the authority and mandate to ensure that PAs are managed consistently across the system. This is necessary, for example, to ensure that budgeting is linked to needs. For this to happen, needs must be assessed in a consistent manner, the interpretation of needs in terms of the resulting budget allocations needs to be consistently applied, and there needs to be a transparent system of PA accounting. Indicative activities under this output will include:

- Review of the legal basis for PA budgeting
- Identification of measures required to overcome legal and procedural constraints
- Analysis of options for possible mandates for a PA management authority
- Formulation of proposal for mandate of a new or modified legal entity to coordinate PA financing
- Discussions with PPCs and other key stakeholders
- Drafting of proposal for a PA management authority
- Stakeholder consultations
- Support to the process of establishing a modified or new PA financing entity
- Capacity building for new or modified entity
- Capture of lessons learned and feedback into modified mandates and procedures

Output 2.2: PA staff at all levels with necessary skills, including business management, tourism management, monitoring and participatory management

141. PA staff at all levels are not adequately trained for planning and managing a system of sustainably financed protected areas. The CBBC project has begun to address this shortcoming by developing a number of modules for education of rangers and PA middle managers, including textbooks and other materials. A number of training sessions have already taken place, and the training programme is currently being piloted in three northern provinces. However, there is a need for further development of training in a number of areas. Firstly, the resources available to the CBBC project are not sufficient either to complete the preparation of training modules or to scale-up training to a national level. Secondly, the training supported under the CBBC project does not include financial planning, revenue generation, or related topics required for sustainable financing of the PA system. Therefore, utilizing the best-qualified partners in terms of expertise and capacity, the project will further develop the work initiated by the CBBC project, in terms of completing training modules for rangers, and developing specialized courses for PA managers and decision makers. The project will also put in place conditions required for institutionalization of PA training, for example, through assigning a fixed amount of PA revenues for on-going training. Indicative activities under this output will include:

- Training needs assessments
- Design of training modules
- Training of trainers
- Support to the organization and conduct of training courses
- Identification of follow-up measures, including measure to institutionalize training

Output 2.3: Consistent system-wide incentive measures that promote improved performance

142. Not only is there not an effective system of incentives for PA workers, the systems in place often serve as disincentives to performance. For example, if the operational budget of Bai Tu Long NP is not fully spent, the remaining funds can be paid as a year-end salary bonus! This means that staff have incentives not to invest in proper PA management activities. Good PA management requires a consistent system of incentives that rewards good performance. Performance of rangers can be linked to changes in levels of threats to biodiversity, while performance of managers can be linked both the reduction of threats and to meeting targets with regard to revenue generation and financial sustainability. The CBBC project is already working on an improved system of incentives, especially for rangers. Utilizing the best-qualified partners in terms of expertise and capacity, the project will support and further develop this process through indicative activities such as:

- Mobilization of international best practice
- Stakeholder consultations on incentive proposals
- Pilot testing of proposals at demonstration sites under Outcome 3
- Workshops and other events to review lessons and improve on proposed incentive systems

Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations

143. Experience with diversified revenue sources for protected areas in Viet Nam is extremely limited – as noted previously, many protected areas rely entirely on government budget allocations, others benefit from significant inputs of ODA, but none have significant other sources of revenue.

144. Sustainable financing for Viet Nam’s protected areas will realistically depend on diversified sources of revenues, which will include PES and visitor entrance fees.

145. Outputs under this Outcome will demonstrate solutions to the most relevant PA financing problems, at three sites, selected during the PPG (see Annex 5). A mechanism for mobilizing funding to individual PAs has already been established by the VCF. Utilizing the best-qualified partners in terms of expertise and capacity, funding for demonstration activities under this Outcome will be mobilized to the pilot sites selected during the PPG process.

Output 3.1: Models of effective collection and sharing of revenues to support sustainable PA financing

146. The project will work primarily with Cat Ba NP and Bai Tu Long NP to increase revenues from tourism, ensure their appropriate use in PA operations, and demonstrate the potential for cooperation in maximizing tourism revenues between two national parks, which lie in different provinces. This might include, for example, cross-PA promotions and advertising, and a common approach to tourism management, including information dissemination.

147. The project will work at additional sites to increase revenues generated through commercial concessions, and ensure their appropriate use in PA operations. Such concessions might include facilities

for tourist accommodation, the provision of food and other services, and the provision of nature-based tourism activities (e.g. diving, cycling, trekking facilities and guides). Here, the project will work primarily at Bidoup Nui Ba NP with multiple partners, including Lam Dong DARD and Winrock International to ensure that the emerging PES regime reflects the role of the NP in provision of ecosystem services, and that benefits from payments for ecosystem services are used effectively to support PA operations. In particular, the project will focus on ensuring that lessons from pilot PES initiatives are adequately captured in the emerging national policy on PES.

148. The project will work primarily at Xuan Thuy NP in order to demonstrate an approach to sustainable management of harvesting of natural resources, specifically shell-fish, which are harvested and, in some cases, farmed by local residents. Indicative activities include re-zoning, and the negotiation of exemptions from existing regulations prohibiting harvesting of natural resources.

Indicative activities under this output will include:

- Assessment of opportunities for increased tourism revenue
- Formalization of a fee system
- Development of options for cooperation in tourism development
- Development of consistent information materials
- Improvement of tourism facilities
- Mainstreaming tourism revenue into a comprehensive financing strategy for the PA
- Generation of lessons for up-scaling to the PA system as a whole
- Comprehensive assessment of values of ecosystem services
- Engagement with purchasers and other stakeholders in developing a benefit-sharing mechanism
- Development of a monitoring system to satisfy purchasers that revenues are used in improving services
- Mainstreaming PES into a comprehensive financing strategy for the PA
- Generation of lessons for up-scaling to the PA system as a whole
- Analysis of sustainable harvesting levels
- Awareness raising among harvesters of the need to manage the resource sustainably
- Engagement with harvesters and other stakeholders in developing a participatory management approach to harvesting of natural resources
- Development of a participatory monitoring system
- Mainstreaming revenues from natural resource harvesting into a comprehensive financing strategy for the PA
- Generation of lessons for up-scaling to the PA system as a whole

Output 3.2: Models of operational cooperation and resource sharing among neighbouring PAs

149. The project will work at multiple sites (Bai Tu Long/Cat Ba; Xuan Thuy/Tien Hai; Bidoup Nui Ba/Chu Yang Sin) to explore opportunities for improved cooperation and coordination in order to reduce costs and improve overall PA management. Indicative activities under this output will include:

- Analysis of current costs, including the identification of duplicative or competitive activities
- Development of options for increased cost efficiencies
- Capacity development to support implementation of options
- Monitoring of costs and experiences
- Generation of lessons for up-scaling to the PA system as a whole

Output 3.3: Models of local and provincial BD planning

150. The project will work at a number of the selected demonstration sites to help develop provincial BD plans, as required under the Law on Biodiversity, thus providing a framework for management of PAs within the province. Indicative activities under this output will include:

- Engagement with provincial stakeholders in clarifying the status of BD in the province, identifying appropriate goals for BD conservation, and establishing a system for monitoring progress
- Formulation of a draft provincial BD plan, linked to the management plans of PAs within the province
- Stakeholder consultations
- Capacity building for monitoring
- Generation of lessons for up-scaling to the PA system as a whole

Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system

151. There is no unified approach to monitoring across the protected area system. Endangered and charismatic species are often monitored in individual protected areas, where their conservation is a high priority, but even then there are no guidelines to establish a common approach. More often it is left to NGOs who focus on individual species to undertake research and monitoring of those species. Protected area staff often lack the funds, equipment and training to undertake systematic monitoring, even though under the new Law on Biodiversity (Article 29) they are required to “*monitor and collect information and data on, and build a database and report on the current status of, the conservation zone’s biodiversity*”.

152. The VCF is currently developing a proposal for a monitoring system to be applied in those SUFs eligible for VCF funding. A framework has been prepared, under which each SUF must identify locally relevant indicators. The project will up-scale the monitoring approach to the national level.

153. A similar situation applies to reporting on biodiversity, which currently lacks a systematic approach. However, under the Law on Biodiversity protected area management units are required to report on the current status of their conservation zones’ biodiversity every three years. Furthermore, under Article 72 of the law, the Ministry of Natural Resources and Environment is assigned responsibility for producing biodiversity reports and a component of the national environment report, and to coordinate with concerned ministries and ministerial-level agencies in this regard.

154. During the PPG a gender-balanced survey of the urban public in three major cities, HCMC (south); Danang (central); and Hanoi (north) was undertaken. Results indicated a low level of awareness of the protected area system in Viet Nam. A recent survey by TRAFFIC (2007) revealed that people living in big cities like Hanoi are a critical threat to biodiversity of PAs. More than 47% of 2000 interviewees in Hanoi said that they have used wildlife products, mainly as special food or for health remedies. The survey found that wildlife consumption by Hanoi residents is becoming increasingly common in parallel with rising incomes.

155. Most villagers living nearby protected areas do not know the purposes for their establishment, even though 75% believed that they knew those reasons. Many villagers cannot name important/endangered species of mammals or birds of the park and/or being protected by the park. Nearly 44% of villagers said that the local protected area generated no benefits for their income or economic improvement. Therefore,

a number of project outputs are planned to improve biodiversity information systems and to increase awareness on biodiversity conservation issues.

Output 4.1: A system-wide approach to monitoring to support PA management decisions and budgeting in line with international standards

156. A system of BD monitoring is now being applied in VCF-eligible SUFs, in order to justify the small grants made to individual SUFs through the VCF. This project will support measures required to up-scale the system of BD monitoring to a national level. Indicative activities under this output will include:

- Capture of lessons in terms of development and deployment of the monitoring system
- Analysis of options for up-scaling
- Stakeholder consultations
- Implementation of up-scaling measures
- Review and revision to the up-scaling approach, as needed

Output 4.2: A system-wide approach to reporting on biodiversity status and trends in line with international standards

157. As required under the Law on Biodiversity, PA managers and MONRE are obliged to prepare and disseminate regular reports on the status of biodiversity at site and national levels. The project will support the development of capacity to do this through indicative activities such as:

- Mobilization of international best practice
- Design of pilot reporting system
- Testing of pilot system at demonstration sites under Outcome 3
- Design and implementation of a PA clearing house mechanism
- Review of lessons learnt and revision to proposed system
- Support to design and implementation of up-scaling measures

Output 4.3: Increased public awareness of the importance of, and threats to the protected area system

158. The project will design and implement a programme to increase public awareness of and support to the PA system, both among the urban population and those living in proximity to protected areas. Indicative activities under this output will include:

- Design of awareness raising campaigns
- Implementation of measures to raise awareness
- Assessment of impacts
- Design of follow-on measures to address weaknesses in original campaigns and/or to re-enforce successes of original campaigns

2.3 Project Indicators, Risks and Assumptions

159. The project indicators are detailed in the Logical Framework – which is attached in Section II, Annex A of this Project Document. Table 7 below summarizes key indicators.

Table 7: Indicators

Objective / Outcomes	Indicator:	Target
Objective: To secure an effectively constituted and financed PA system, to realize its function as an effective storehouse for threatened biodiversity	• Overall Financial scorecard scores	• By the end of the project the score is at least 85
	• Overall Capacity scorecard scores	• By the end of the project the score is at least 52
	• Average METT scores	• By the end of the project the score has increased by at least 30%
Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing	• “Legal, regulatory and institutional frameworks” component of the UNDP Financial Scorecard	• At the end of the project the score has increased to at least 50
	• “Capacity to conceptualize and formulate policies, legislations, strategies and programmes” component of the UNDP Capacity Scorecard	• At the end of the project the score has increased to at least 7.5
Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms	• Score for the “Business planning and tools for cost-effective management” component of the UNDP Financial Scorecard	• At the end of the project the score has increased to at least 45
	• Score for the “Capacity to implement policies, legislation, strategies and programmes” component of the UNDP Capacity Scorecard	• At the end of the project the score has increased to at least 32
Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations	• Score for the “Tools for revenue generation” component of the UNDP Financial Scorecard	• At the end of the project the score has increased to at least 35
Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system	• Score for components 3-5 of the UNDP Capacity Scorecard (“Build consensus”, “Mobilize information”, and “Monitor, report and learn”)	• At the end of the project the score has increased to at least 24

Table 8. Risks facing the project and the risk mitigation strategy

Risk	Risk rating	Risk mitigation strategy
Sustainable financing will be prevented by poor cooperation among government agencies	Low	A common interest amongst agencies on sustainable financing is expected to support better coordination between agencies. Outcome 2 seeks to improve institutional capacity, based on policy changes resulting from passage of the Biodiversity Law
Regulatory inertia limits potential for revenue generation	Low	The piloting of alternative financing sources in individual PAs will require the development of new regulations. Part of the problem under the business-as-usual scenario is that a fragmented PA system is unable to mobilize sufficient support to effect such changes; as a result of the project, support should be much stronger. Awareness raising of policy makers will also help to overcome this risk. The

Risk	Risk rating	Risk mitigation strategy
		project has selected sites with relatively high capacity and PAMB commitment to pilot demonstrations
Reduced levels of tourism affect revenue generation potential	Low	Both domestic and international tourism have been increasing strongly in Vietnam, in large part due to a stable political and policy environment promoting international travel to Vietnam. This is unlikely to change in the future. In working at Cat Ba and Bai Tu Long, the project will be working on the periphery of Halong Bay, one of Viet Nam’s most famous tourist sites, and therefore one that is most immune to global economic pressures
Conflicts between conservation and development in provincial planning	Medium	The project will explicitly address this risk by piloting innovative financing mechanisms in a number of Pas in the poorest provinces, demonstrating that conservation is a potential revenue-earning process rather than a drain on scarce resources. The capacity building component of the project will also help to overcome this risk. The overall project strategy is to demonstrate that conservation and development are not inherently conflicting
Climate change is likely to increase the occurrence pest and diseases, forest fires and floods that will negatively affect PAs. The incidence and scale of such events will be unpredictable.	Medium in the short term	The sustainable financing strategy developed under the project will ensure that coping strategies to these are incorporated within the PA operations framework.

2.4 Incremental reasoning and expected global, national and local benefits

160. The project addresses the main barriers that prevent Viet Nam from addressing threats to globally significant biodiversity within its protected area system. These barriers include: (i) an unclear, complex, and incomplete legal environment for PA management and financing; (ii) unclear and complex institutional arrangements and low individual capacities, that prevent budgeting being linked to PA needs; (iii) a lack of knowledge and experience with revenue generation and approaches to increasing the effectiveness and efficiency of limited financial resources; and (iv) inadequate information flow, including information on the status of and threats to biodiversity, and information needed to build public support for the PA system.

161. Under the “business-as-usual” scenario, Viet Nam’s biodiversity would remain under significant threat, with only minor advances in the effectiveness of individual PAs due to ineffective and inefficient use of financial resources, low individual capacities of PA staff, a lack of experience of approaches to revenue generation, limited information of relevance to PA management, and low public support for the PA system.

162. The global environmental objective of GEF support is conservation of globally significant biodiversity within Viet Nam’s protected area system.

163. Under the alternative scenario, Viet Nam’s PA system will be strengthened in a number of ways as compared with the baseline. First, the legal and policy environment will have been clarified, made more

comprehensive, and brought in line with modern approaches to PA management. Related to this, institutional arrangements will have been simplified and made more transparent, most significantly creating a linkage between PA needs, in terms of resources required to address threats to biodiversity, and PA budgeting. Capacities of PA staff at all levels will also have been improved. Models of various approaches to increased financial sustainability will have been piloted and the conditions established to up-scale the models to a system-wide basis. Information flow relevant to PA management and financing will have been established, and public support for the PA system increased.

164. System Boundary: In biological terms, the project is concerned with the conservation of biological diversity of national and international importance within Viet Nam's protected area system. Geographically, the project is concerned with all of Viet Nam's protected areas, but with a particular focus on the pilot sites, which consist of:

Terrestrial and marine ecosystem of the North Tonkin Archipelago, including Bai Tu Long N.P. and Cat Ba N.P.

Wetland and coastal ecosystems of the Red River Delta, including Xuan Thuy N.P. and Tien Hai N.R.

Forest and mountain ecosystems of the Central Highlands, including Bidoup Nui Ba N.P. and Chu Yang Sin N.R.

165. In terms of time, baseline and incremental costs have been assessed over the planned 5-year life-span of the project.

166. Summary of costs: The total cost of the project, including co-funding and GEF funds, amounts to US\$18,000,000. Of this total, co-funding constitutes nearly 80% or US\$14,465,000. GEF financing comprises the remaining 20% of the total, or US\$ 3,535,000. The incremental cost matrix in the Project Document provides a summary breakdown of baseline costs and co-funded and GEF-funded alternative costs

Expected global, national and local benefits

167. By the end of the project, efforts to conserve biodiversity within Viet Nam's protected areas will have been strengthened in a number of important ways. The country's system of PAs will enjoy diverse and sustainable sources of financing, and supported by the necessary information on biodiversity status and threats, this financing will be used effectively to overcome threats to nationally and globally significant biodiversity. Increased financial flows will not only benefit PAs, but also communities living in and around PAs due to increased opportunities for income from activities such as tourism and provision of ecosystem services. Well trained and motivated PA staff will also be better able to assist local communities in securing sustainable social and economic development.

168. The project is expected to have significant positive impacts on Viet Nam's biodiversity compared with the baseline scenario. The global biodiversity benefits are associated with more secure protection of globally significant biodiversity over nearly 200,000ha of demonstration sites, together with increased effectiveness of management of other PAs in the system. The globally significant biodiversity that will be more securely conserved includes a number of globally threatened species, such as the rarest primate in the world, the golden-headed langur, and numerous species of endangered migratory birds, such as the white-winged duck.

Country Ownership: Country Eligibility and Country Drivenness

169. Viet Nam ratified the Convention on Biological Diversity on 16th November 1994, and is eligible for technical assistance from UNDP.

170. The Prime Minister's decision 79/2007/QD-TTg (May 31, 2007) assigned MONRE the role of consolidating the system of state management agencies. In line with this decision, the project has been designed by MONRE to seek GEF support covering (a) consolidating the policy and legislative framework; (b) systematizing inter-agency cooperation; (c) establishing a financial sustainability mechanism, and (d) strengthening data and information management.

Sustainability

171. Environmental sustainability: Viet Nam's system of protected areas help to ensure environmental sustainability of social and economic development in the country. By establishing a secure financial basis for the protected area system, the project will thus be contributing to environmental sustainability. Reduced threats to globally significant biodiversity provides additional support to environmental sustainability.

172. Financial sustainability: As noted in the situation analysis and baseline description, the total volume of funding the Viet Nam's protected area system is substantial, exceeding the funding calculated on an area basis for several OECD countries. The project will directly address weaknesses identified through UNDP's Financial Scorecard assessment, particularly focussing on those issues for which the lowest scores were recorded. By increasing the overall score, and particularly scores for the weakest components, much greater financial sustainability will be secured. Specifically, Outcome 1 addresses the key policy shortcomings, for example, legal constraints on the ability of protected area managers to generate and retain revenues. Outcome 3 will pilot various approaches to increased financial sustainability.

173. Social sustainability: Social sustainability will be achieved through the contribution of increased revenues to the livelihoods of local communities, thus serving not only to increase average incomes, but reducing threats and building greater support for protected area management. Interventions to build national civil society support (for example, Output 4.3) will also contribute to social sustainability.

174. Institutional sustainability: Outcome 2 is entirely devoted to improving the current institutional arrangements in order to make them more transparent and simpler. Existing agencies will be used for implementation of institutional reforms, thus ensuring institutional sustainability.

Replicability

175. The GEF Alternative includes both piloting of measures to overcome barriers to sustainable financing and measures to up-scale pilot activities to the national level, and to feed lessons form the pilots into an improved legal and policy environment. Therefore, conditions to ensure replicability will be established.

PART III: Management Arrangements

176. The project will be managed by the National Execution modality (NEX), with the following arrangements:

- *Implementing Partner*: As the national focal point for the project, MONRE is accountable to the Government and UNDP for ensuring (a) the substantive quality of the project, (b) the effective use of both national and UNDP resources allocated to it, (c) the availability and timeliness of national contributions to support project implementation and (d) the proper coordination among all project stakeholders, particularly national parties.
- *Responsible Party*: As the day-to-day implementer(s) of project activities, VEA is responsible for mobilizing all national and international inputs to support project implementation, organizing project activities in accordance with the agreed work plan, and reporting to MONRE and UNDP on the progress as well as financial status of the project.

177. UNDP-CO will assist VEA in mobilization of international inputs, upon official request from the NPD.

The project implementation structure will be set up as below:

- The Project Executive Board (PEB)
- The Project Management Unit (PMU)

178. *Project Executive Board (PEB)*: The PEB will make all necessary decisions and provide guidance for implementation of project activities, including approval of the overall project work-plan, and budget revisions.

179. The PEB will be formed of members representing the National Assembly, MONRE, MARD, MOF and MPI together with a representative of UNDP-CO. The member representing the National Assembly will be the chairperson of the PEB. The PEB will meet every six-months, or more often on an *ad-hoc* basis, if deemed necessary.

180. *National Project Director (NPD)*: MONRE will appoint a senior official at directorial level of VEA to be the NPD. The NPD will be responsible to the PEB for overall management and implementation of the project.

181. *Project Management Unit (PMU)*: The PMU will be responsible for the overall organization and implementation of all project activities and will be accountable to the NPD. The Project office will be located in the main building of VEA and equipped as needed by the project. The PMU will consist of following positions:

- Project Manager (PM) (recruited, 60 months, full-time)
- Project Secretary/ Accountant (recruited, 60 months, full time)

182. **Public Information and Advocacy**: During its lifetime, the project may produce technical reports, education materials/publications, organize workshops and document experience/lessons learnt. UNDP will provide necessary support, upon official request from the NPD.

183. In order to accord proper acknowledgement to GEF and UNDP for providing funding and technical assistance, GEF and UNDP logos should appear on all relevant project publications, including among others, project hardware and vehicles purchased with the project funds. Any citation on publications should also accord proper acknowledgment to GEF and UNDP

184. **Country Office Support**: The UNDP CO will provide services for tendering of packages of activities, procurement of sub-contractors, recruitment of individual consultants, and contracting, upon the formal request of the NPD. UNDP prevailing cost recovery policies will apply to these services.

PART IV: Monitoring and Evaluation Plan and Budget

185. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/GEF Regional Coordination Unit in Bangkok. The Logical Framework Matrix in Annex 1 provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. The METT tool, Financial Scorecard and Capacity Assessment Scorecard will all be used as instruments to monitor progress in PA management effectiveness. Baseline METT scores attached in Annex E of the CEO Endorsement Document. The M&E plan includes: inception report, project implementation reviews, quarterly and annual review reports, a mid-term and final evaluation. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized in the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Monitoring and reporting³

Project Inception Phase

186. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/GEF Regional Coordination Unit in Bangkok. The Logical Framework Matrix in Annex A provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. The METT tool (see Annex 4), Financial Scorecard (Annex 2) and Capacity Assessment Scorecard (Annex 3) will all be used as instruments to monitor progress in PA management effectiveness. The M&E plan includes: inception report, project implementation reviews, quarterly and annual review reports, a mid-term and final evaluation. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized in the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Monitoring and reporting⁴

Project Inception Phase

187. A Project Inception Workshop will be conducted with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO and representation from the UNDP-GEF Regional Coordinating Unit, as well as UNDP-GEF (HQs) as appropriate. A fundamental objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goal and objective, as well as finalize preparation of the project's first annual work plan on the basis of the logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Annual Work Plan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project. Additionally, the purpose and objective of the Inception Workshop (IW) will be to: (i) introduce project staff with the UNDP-GEF team which will support the project during its implementation, namely the CO and responsible Regional Coordinating

³ As per GEF guidelines, the project will also be using the BD 1 Management Effectiveness Tracking Tool (METT). New or additional GEF monitoring requirements will be accommodated and adhered to once they are officially launched.

⁴ As per GEF guidelines, the project will also be using the BD 1 Management Effectiveness Tracking Tool (METT). New or additional GEF monitoring requirements will be accommodated and adhered to once they are officially launched.

Unit staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and RCU staff vis à vis the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Review Report (ARR), as well as mid-term and final evaluations. Equally, the IW will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and mandatory budget rephasings. The IW will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase.

Monitoring responsibilities and events

188. A detailed schedule of project review meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Project Board Meetings and (ii) project related Monitoring and Evaluation activities. Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual Work Plan and its indicators. The Project Manager will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The Project Manager will fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the Inception Workshop with support from UNDP-CO and assisted by the UNDP-GEF Regional Coordinating Unit. Specific targets for the first year implementation progress indicators together with their means of verification will be developed at this Workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the project team.

189. Measurement of impact indicators related to global biodiversity benefits will occur according to the schedules defined in the Inception Workshop, using METT scores. The measurement of these will be undertaken through subcontracts or retainers with relevant institutions. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the Implementing Partner, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

190. Annual Monitoring will occur through the Project Board Meetings (PBM). This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to PBMs two times a year. The first such meeting will be held within the first six months of the start of full implementation.

191. The Project Manager in consultations with UNDP-CO and UNDP-GEF RCU will prepare a UNDP/GEF PIR/ARR and submit it to PBM members at least two weeks prior to the PBM for review and comments. The PIR/ARR will be used as one of the basic documents for discussions in the PB meeting. The Project Manager will present the PIR/ARR to the Project Board, highlighting policy issues and recommendations for the decision of the PBM participants. The Project Manager also informs the participants of any agreement reached by stakeholders during the PIR/ARR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary. The Project Board has the authority to suspend disbursement if project performance benchmarks are not met.

192. Benchmarks will be developed at the Inception Workshop, based on delivery rates, and qualitative assessments of achievements of outputs.

193. The terminal PBM is held in the last month of project operations. The Project Manager is responsible for preparing the Terminal Report and submitting it to UNDP-CO and UNDP-GEF RCU. It shall be prepared in draft at least two months in advance of the terminal PBM in order to allow review, and will serve as the basis for discussions in the PBM. The terminal meeting considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learnt can be captured to feed into other projects under implementation of formulation.

194. UNDP Country Offices and UNDP-GEF RCU as appropriate, will conduct yearly visits to project sites based on an agreed upon schedule to be detailed in the project's Inception Report/Annual Work Plan to assess first hand project progress. Any other member of the Project Board can also accompany. A Field Visit Report/BTOR will be prepared by the CO and UNDP-GEF RCU and circulated no less than one month after the visit to the project team, all Project Board members, and UNDP-GEF.

Project Reporting

195. The Project Manager in conjunction with the UNDP-GEF extended team will be responsible for the preparation and submission of the following reports that form part of the monitoring process. The first six reports are mandatory and strictly related to monitoring, while the last two have a broader function and the frequency and nature is project specific to be defined throughout implementation.

196. A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan will include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may effect project implementation. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Country Office and UNDP-GEF's Regional Coordinating Unit will review the document.

197. An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board. As a self-assessment by the project management, it does not require a cumbersome preparatory process. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the Project Progress Report (PPR) covering the whole year with updated information for each element of the PPR as well as a summary of results achieved against pre-defined annual targets at the project level. As such, it can be readily used to spur dialogue with the Project Board and partners. An ARR will be prepared on an annual basis prior to the Project Board meeting to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The ARR should consist of the following sections: (i) project risks and issues; (ii) project progress against pre-defined indicators and targets and (iii) outcome performance.

198. The Project Implementation Review (PIR) is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. Once the project has been under implementation for a year, a Project Implementation Report must be completed by the CO together with the project team. The PIR should be participatorily prepared in July and discussed with the CO and the UNDP/GEF Regional Coordination Unit during August with the final submission to the UNDP/GEF Headquarters in the first week of September.

199. Quarterly progress reports: Short reports outlining main updates in project progress will be provided quarterly to the local UNDP Country Office and the UNDP-GEF RCU by the project team.

200. UNDP ATLAS Monitoring Reports: A Combined Delivery Report (CDR) summarizing all project expenditures, is mandatory and should be issued quarterly. The Project Manager should send it to the Project Board for review and the Implementing Partner should certify it. The following logs should be prepared: (i) The Issues Log is used to capture and track the status of all project issues throughout the implementation of the project. It will be the responsibility of the Project Manager to track, capture and assign issues, and to ensure that all project issues are appropriately addressed; (ii) the Risk Log is maintained throughout the project to capture potential risks to the project and associated measures to manage risks. It will be the responsibility of the Project Manager to maintain and update the Risk Log, using Atlas; and (iii) the Lessons Learned Log is maintained throughout the project to capture insights and lessons based on good and bad experiences and behaviours. It is the responsibility of the Project Manager to maintain and update the Lessons Learned Log.

201. Project Terminal Report: During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

202. Periodic Thematic Reports: As and when called for by UNDP, UNDP-GEF or the Implementing Partner, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNDP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNDP is requested to minimize its requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.

203. Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

204. Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities

and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team will determine if any of the Technical Reports merit formal publication, and will also (in consultation with UNDP, the government and other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

Independent evaluations

205. The project will be subjected to at least two independent external evaluations as follows: An independent Mid-Term Evaluation will be undertaken at exactly the mid-point of the project lifetime. The Mid-Term Evaluation will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit.

206. An independent Final Evaluation will take place three months prior to the terminal Project Board meeting, and will focus on the same issues as the mid-term evaluation. The final evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit.

Learning and knowledge sharing

207. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition, the project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics. UNDP/GEF Regional Unit has established an electronic platform for sharing lessons between the project coordinators. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analyzing lessons learned is an on- going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned.

Table 9. Project Monitoring and Evaluation Plan and Budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
Inception Workshop	Project Coordinator UNDP CO UNDP GEF	10,000	Within first two months of project start up
Inception Report	Project Team UNDP CO	None	Immediately following IW

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
Measurement of Means of Verification for Project Purpose Indicators	Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members	To be finalized in Inception Phase and Workshop. Indicative cost: 15,000.	Start, mid and end of project
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	Oversight by Project Manager Project team	To be determined as part of the Annual Work Plan's preparation. Indicative cost: 8,000 (annually); total: 32,000	Annually prior to ARR/PIR and to the definition of annual work plans
ARR and PIR	Project Team UNDP-CO UNDP-GEF	None	Annually
Quarterly progress reports	Project team	None	Quarterly
CDRs	Project Manager	None	Quarterly
Issues Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Risks Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Lessons Learned Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Mid-term Evaluation	Project team UNDP- CO UNDP-GEF Regional Coordinating Unit External Consultants (i.e. evaluation team)	40,000	At the mid-point of project implementation.
Final Evaluation	Project team, UNDP-CO UNDP-GEF Regional Coordinating Unit External Consultants (i.e. evaluation team)	40,000	At the end of project implementation
Terminal Report	Project team UNDP-CO local consultant	0	At least one month before the end of the project
Lessons learned	Project team UNDP-GEF Regional Coordinating Unit (suggested formats for documenting best practices, etc)	12,000 (average 3,000 per year)	Yearly
Audit	UNDP-CO Project team	12,000 (average 3,000 per year)	Yearly
Visits to field sites	UNDP Country Office UNDP-GEF Regional Coordinating Unit (as appropriate) Government representatives	Paid from IA fees and operational budget	Yearly

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
TOTAL INDICATIVE COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 161,000	

PART V: Legal Context

208. This project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Socialist Republic of Viet Nam and the United Nations Development Programme signed by the parties on 21 March 1978. The host country executing agency shall, for the purpose of this Agreement, refer to the Government Cooperating Agency described in that Agreement.

209. The UNDP Resident Representative in Viet Nam is authorized to effect in writing the following types of revision to this project document, provided that s/he has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories of the project document have no objection to the proposed changes:

- a) Revision of, or addition to, any of the annexes to the Project Document;
- b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document

210. *National Professional Project Personnel:* The Government agrees to the recruitment of nationally recruited project professional personnel (NPPP) required for the implementation of this project, in accordance with UNDP policies and procedures established within the United Nations system for this purpose. These services constitute an addition to the regular personnel resources to be provided by the Government and will be available for the duration of UNDP participation in the project. The remuneration of NPPP will be determined on a case-by-case basis in accordance with the policies and procedures of UNDP; it should exceed neither the prevailing compensation for comparable functions in the host country nor remuneration levels applicable within the United Nations system.

SECTION II: STRATEGIC RESULTS FRAMEWORK (SRF) AND GEF INCREMENT

Annex A: Project logical framework

RESULT	INDICATOR	BASELINE VALUE	TARGET	MEANS OF VERIFICATION	RISKS AND ASSUMPTIONS
Objective: To secure a sustainably financed PA system, to conserve globally significant biodiversity	Overall PA System's Financial scorecard scores	67	By the end of the project the score is at least 85	Scorecard assessment	<ul style="list-style-type: none"> • All PA management agencies responsive to new legal environment • Governance fundamentals support capacity improvements • Conservation remains government priority
	Overall Capacity scorecard scores	40.9	By the end of the project the score is at least 52	Scorecard assessment	
	Average METT scores (for all sites)	45%	By the end of the project the score is at least 59%%	METT assessment	
Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing	"Legal, regulatory and institutional frameworks" component of the UNDP Financial Scorecard	33	At the end of the project the score for has increased to at least 50	Score card assessment	<ul style="list-style-type: none"> • Processing of legal documents is not delayed • Inter-agency cooperation on legal environment is effective
	"Capacity to conceptualize and formulate policies, legislations, strategies and programmes" component of the UNDP Capacity Scorecard	5.5	At the end of the project the score has increased to at least 7.5	Score card assessment	
Output 1.1: Regulations under the Law on Biodiversity that ensure consistency in protected area administration in the context of national BD planning	Approval of regulations	No regulations approved	By the end of year 4 of project implementation regulations have been formally issued (these regulations incorporate specific measures related to populations living within PAs)	Project reports/ regulations	<ul style="list-style-type: none"> • Law on Biodiversity is not superceded by other legal instruments • Consensus can be reached on revised regulations
Output 1.2: Emerging policy on PA financing that allows revenue generation and effective	National PES policy identifies PES as one of the financing mechanisms for PAs	Draft policy under development	The text of the PM's Decision on PES incorporates unambiguous wording establishing the basis for PAs to receive a significant proportion of PES funding for	Project reports/ Decision	<ul style="list-style-type: none"> • Policy development processes effectively engage with project

management of revenues for individual PAs and the system as a whole			ecosystem services originating from land within the PA		• Issuance of new policy documents does not incur unreasonable delays
	Guidelines for operationlization of PM's Decision on PA financing	No guidelines prepared	Guidelines on implementation of the PM's Decision on Sustainable Financing issued during the first year of project implementation reflect international best practice	Project reports	
	Existence of off-site financing policy and strategy	New strategy under development	By the end of year 1 of project implementation a new Tourism Development Strategy incorporates off-site financing	Project reports/survey	
Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms	Score for the "Business planning and tools for cost-effective management" component of the UNDP Financial Scorecard	21	At the end of the project the score has increased to at least 45	Score card assessment	
	Score for the "Capacity to implement policies, legislation, strategies and programmes" component of the UNDP Capacity Scorecard	21.4	At the end of the project the score has increased to at least 32	Score card assessment	
Output 2.1: Clarified and coordinated institutional management of a unified PA system	Establishment of a mechanism to promote coordination between MONRE and MARD	No mechanism exists	By the end of year 2 of project implementation, a coordinating mechanism has been created by decree/decision	Project reports/decree	
	Mechanism is operational	As above	By the end of year 3 of the project the coordinating mechanism is promoting a coordinated approach to PA management	Project reports	

			(see also Output 4.1).		
Output 2.2: PA staff at all levels with necessary skills, including business management, tourism management, monitoring and participatory management	Proportion of PA managers and staff trained in essential skills	No PA managers trained in issues such as business planning	By the end of year 3 of project implementation, PA directors from at least 50% of PAs have been trained in key skills, such as business planning; by the end of the project this figure is 85%	Project reports/ training reports	
	Proportion of PA rangers trained in essential skills	Pilot programme for ranger training (CBBC)	By the end of year 3 of project implementation, rangers and other staff from at least 60% of PAs have been trained in key skills; by the end of the project this figure is 85%	Project reports/ training reports	
Output 2.3: Revised and consistent system-wide incentive measures that promote improved performance	Existence of system-wide system of incentives	Current incentive system ineffective and disjointed	By the end of year 2 of project implementation, a revised system of incentives designed to promote improve performance among PA staff has been drafted and endorsed by PA managers	Project reports	
	Evidence of incentive system in operation	As above	By the end of year 3 of project implementation the revised system is in operation	Project reports	
	Level of support for revised incentive system	Little awareness of benefits of effective system	By the end of the project, at least 60% of PA managers indicate that the revised incentives have improved PA management	Survey/interviews	
Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations	Score for the “Tools for revenue generation” component of the UNDP Financial Scorecard	13	At the end of the project the score has increased to at least 35	Score card assessment	<ul style="list-style-type: none"> • Demonstrations are an effective way of developing new policy and procedures • Local political support for demonstrations
Output 3.1: Models of effective collection and sharing of revenues to support sustainable PA financing	Existence of measures to increase tourism revenues	Tourism revenue generation low	By the end of year 1 of project implementation measures to increase tourism revenue (in parallel with improved tourism services) have been identified at one or more pilot sites	Project reports	<ul style="list-style-type: none"> • Pilot PES policy is up-scaled to national level • REDD is developed as a component of a post-Kyoto
	Existence of	Concession	By the end of year 1 of project	Project reports	

	measures to generate revenues from concessions	revenue generation low	implementation measures to increase revenue from commercial concession have been identified at one or more pilot sites		instrument
	Measures to generate PES	Pilot revenue generation yet to be tested	By the end of year 2 of project implementation, measures are in place to generate revenues from PES at one or more pilot sites	Project reports	
	Measures to generate revenues from sustainable harvesting	No revenue generation	By the end of year 2 of project implementation, measures are in place to generate revenues from sustainable harvesting of natural resources at one or more pilot sites	Project reports	
	Capture of lessons to improve the legal environment	Sustainable financing guidelines have no lessons on which they are based	By the end of year 3 of project implementation, lessons from increasing revenues have contributed to revised guidelines under Output 1.2	Project reports/ revised guidelines	
Output 3.2: Models of operational cooperation and resource sharing among neighbouring PAs	Analysis of opportunities for cost efficiencies	No analyses undertaken	By the end of year 1 of project implementation, opportunities for increased cost efficiencies by cross-PA cooperation and coordination have been identified at one or more pilot sites	Project reports	<ul style="list-style-type: none"> • Different PA management agencies are willing to cooperate
	Measures to promote cost efficiencies	No measures in place	By the end of year 2 of project implementation, measures are in place to increase cost efficiencies by cross-PA cooperation and coordination at one or more pilot sites	Project report	
	Capture of lessons to improve the legal environment	Sustainable financing guidelines have no lessons on which they are based	By the end of year 3 of project implementation, lessons from increasing cost efficiencies by cross-PA cooperation and coordination have contributed to revised guidelines under Output 1.3 and the decree/decision to create a PA authority under Output 1.5	Project reports/ revised guidelines/draft decree	
Output 3.3: Models of local and provincial BD planning	Existence of a pilot provincial BD plan	No such plans exist	By the end of year 2 of project implementation, a provincial BD plan has been developed at one or more pilot sites	Project reports	<ul style="list-style-type: none"> • Local planning will improve effectiveness of PA management

Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system	Score for components 3-5 of the UNDP Capacity Scorecard (“Build consensus”, “Mobilize information”, and “Monitor, report and learn”)	14	At the end of the project the score has increased to at least 24	Score card assessment	<ul style="list-style-type: none"> • There is willingness to support transparent information exchange • Staff turnover does not negate benefits of training
Output 4.1: A system-wide approach to monitoring to support PA management decisions and budgeting in line with international standards	Existence of endorsed system-wide approach	Draft system developed (VCF)	By the end of 6 months of project implementation a proposal for a system-wide approach to monitoring that meet international standards has been prepared and endorsed by key stakeholders, including PA managers	Project reports	<ul style="list-style-type: none"> • VCF project willing to cooperate • Framework approach to BD monitoring proves to be effective
	Application of system-wide monitoring	No system-wide application	By the end of year 4 of project implementation the system-wide monitoring programme is operational	Project reports	
	Linking of budgets to needs defined from monitoring	Budgets not linked to needs	By the end of the project PA budgeting is linked to monitoring results	Project reports	
Output 4.2: A system-wide approach to reporting on biodiversity status and trends in line with international standards	Existence of system-wide reporting approach	No system in place	By the end of year 2 of project implementation a reporting process has been designed and endorsed by key stakeholders, including PA managers	Project reports	<ul style="list-style-type: none"> • Reporting on BD contributes to effectiveness of PA management • No delays in establishment of clearing house • All agencies willing to cooperate
	CHM operational	No CHM design	By the end of year 2 of project implementation the Clearing House is operational	Project reports	
	PA-specific BD reports	No reports produced	By the end of year 4 of project implementation reports are produced for at least 30% of all PAs; by the end of the project this figure is at least 60%	Project reports	
Output 4.3: Increased public awareness of the importance of, and threats to the protected area system	Existence of public awareness campaign design	No campaign designed	By the end of year 1 of project implementation a public awareness campaign has been designed and approved by MONRE	Project reports	<ul style="list-style-type: none"> • Increased public awareness translates into increased political support
	Public awareness campaign implemented	As above	By the end of year 2 of project implementation the public awareness campaign is operational	Project reports	
	Increase in public	See Annex 7	By the end of the project, measures of	Survey/interviews	

	awareness		public awareness and support for PAs have increased by at least 30% of their baseline values ⁵		
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⁵ Measures are described in the Baseline section of the project document; specific targets for each measure will be defined before submission of the project document

Annex B: Incremental Cost Analysis

Baseline scenario and key baseline programs

211. Baseline programmes and initiatives may be divided into four main areas, corresponding with the four project groups of barriers identified previously. These baseline activities are described below.

(i) Protected areas policy:

212. As discussed above, PA policy in Viet Nam has evolved over the past several decades, resulting in a multitude of legal and policy documents which are inconsistent and often contradictory. For example, concepts of wetlands and inland are confused. The inland PA system approved in Decision No.1479/QDD-TTg dated 13 October 2008 of the PM actually refers to wetlands; and according to Article 5 of Decree No. 27/2005/NĐ-CP, dated 8 March 2005, guiding the implementation of some articles of the Fisheries Law, inland PAs will be managed by Decree 109/2003 on the conservation and sustainable development of wetlands. However, the wetland PA system has never been officially approved so, under Decision 1479/2008, it may be that a wetland PA system can now be developed under the guise of an “inland” PA system.

213. In practice, PA staff have to apply legal documents relevant to forests, wetlands and marine areas. When those documents are inconsistent, it makes leaves staff confused and hampers PA management. Fore examples, in relation to zoning, according to the Law on Forest protection and development, SUFs must be divided into a strictly protected zone (core zone), rehabilitation zone, service-administration zone and buffer zone. In contrast, Decree 57 stipulates that each MPA is divided into at least three zones: strictly protected zone, rehabilitation zone and development zone; a MPA also has a protection belt with the same function as the SUF buffer zone. When a decision is issued to establish a new PA which contains several ecosystems, the decision typically does not specify the zones to be applied. As a result, PA staff do not know which legal documents would be applied to treat violations.

214. The Law on Biodiversity seems to offer a solution as it specifies a single zoning system that will apply to all protected areas. Also, when dealing with issues covered by earlier laws and regulations, the Law on Biodiversity, being the most recent, takes supremacy. In practice, however, application of the Law on Biodiversity requires the development of new regulations which, if not crafted carefully, could result in new problems emerging.

(ii) Institutional mandates and individual capacities:

Institutional mandates

215. As noted earlier, the current situation of PA administration in Viet Nam is very complex, with four different systems recognized according to ecosystem, and three different agencies from two ministries responsible for developing and administering policy for specific ecosystem types (Table 3). Furthermore, management of PAs is assigned to a multitude of agencies from central government to various forms of local government (Table 2). Even the legal basis of the land in many protected areas is unclear. For example, in Bai Tu Long NP, there are significant areas under private land ownership, dating from prior to the establishment of the NP, while frequently the PA management board itself does not have land tenure certificates (“red books”). The inevitable result is unclear, overlapping and contradictory mandates resulting in ineffective PA management.

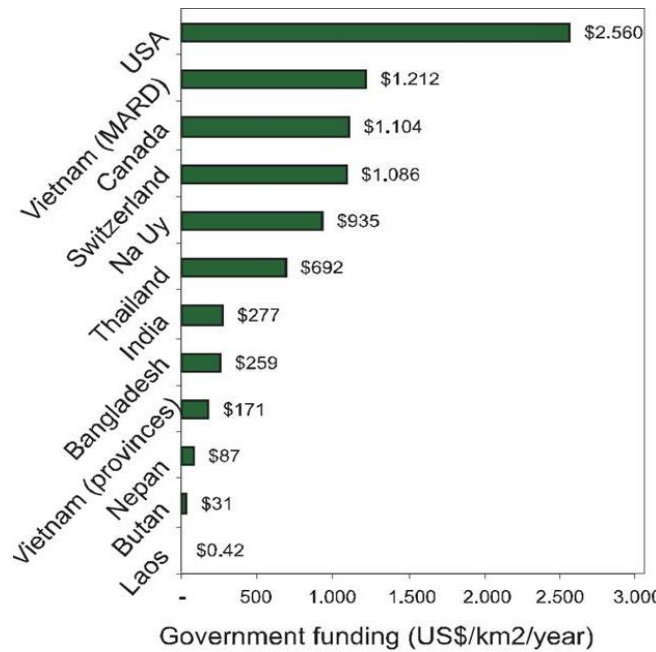
216. The Law on Biodiversity attempts to address these problems through various Articles, including Article 6, which assigns the Ministry of Natural Resources and Environment with responsibility for

performing the state management of biodiversity, and Article 25 that establishes the right of PA management boards to *land* tenure certificates.

217. The Forest Sector Development Project is an initiative of MARD with support from the World Bank, the Royal Netherlands Government and other donors. The goal of the project is the sustainable management of forests and the conservation of biodiversity, to achieve environmental protection, improved livelihoods of people in forest-dependent areas and enhanced contribution of forestry to the national economy. The project has four components, one of which is Special-use Forest conservation. Under this component seeks the Vietnam Conservation Fund has been established on a pilot basis to provide small grants to improve management of up to 50 SUFs and to mobilize international and local technical assistance to build the capacity of SUF management boards and local communities to plan and implement priority conservation activities. The VCF has been operational since 2008, and will run initially to 2011.

PA financing

218. During 1999-2001, over two-fifths of the total government budget allocation to the national SUF system was allocated to nine centrally managed SUFs, which received, on average, US\$ 340,000 per site per year. The remaining three-fifths were divided among 97 provincially managed SUFs, which each received, on average, only US\$ 40,000 per annum. Figure 2 shows the funding per unit area for a number of OECD and developing countries. Funding for centrally managed PAs in Viet Nam exceeds the figures for Canada, Switzerland and Norway, yet funding for other PAs is very low, falling below India and Bangladesh. Table 6 shows the range of values for some specific SUFs.



Source: Vietnam Environment Monitor 2005. World Bank, Hanoi

Figure 2: Funding per unit area for a number of OECD and developing countries

Table 6: Average investment from State Budget for PAs in recently years

No	PA's name	Level	Investment from state budget/ha/year ('000 VND)
1	Xuân Thủy	Very high	2,009
2	Ba Bể	Very high	1,292
3	Cúc Phương	High	333
4	Bến En	High	206
5	Tam Đảo	High	199
6	Bạch Mã	Medium	131
7	Cát Tiên	Medium	119
8	Yok Don	Low	98
9	Vũ Quang	Low	41
10	Chu Mom Rây	Low	27

Source: VCF, 2007

219. The Vietnam Conservation Fund (VCF) is one of the four components of the Forest Sector Development Project funded by the GEF and a number of partner donors. The VCF is run by the Forest Protection Department (FPD) under the Ministry of Agriculture and Rural Development. Total funding for VCF is about US\$ 17.5 million for the period from 2005 to 2011, through which grants are made to 53 SUFs.

Individual capacities

220. Individual capacities are affected by a number of factors, including overall PA budgets (described above), staffing levels, training, and motivation.

221. Regarding staffing levels, the Prime-Minister's Decision No 186/2006/QĐ-TTg establishes that for every 500ha of PA there should be one ranger/officer. However, most PAs do not currently reach this level. For example, Bidoup-Nui Ba NP, with a total area of 64,700ha, should have a staffing level of 129, but there are currently only 96 staff, 70 of whom are rangers, while 41 have a university education (2 having post-graduate education). These figures are fairly typical - a recent survey of 50 SUFs revealed that 33% have undergraduate or graduate degrees and the rest have almost no professional training, while 60% of staff are assigned to law enforcement only. The "Capacity Building for Biodiversity Conservation Project" (CBBC) has undertaken extensive training needs assessments, and developed a number of training modules, supported by textbooks and other materials for Basic Ranger, Technical Ranger, and Middle Management courses. These modules and materials are currently being piloted in three northern provinces.

222. Some protected areas have no staff at all. For example, Tien Hai nature reserve was established in 1996, but no management board has been established and no funding has been assigned to the PA. At neighbouring Xuan Thuy NP, there are only 15 staff, which is less than 50% of the staff approved under the national park's 2003 investment plan (which called for 32 staff). Figures 3 and 4 reflect the range of staffing levels and staff education for SUFs.

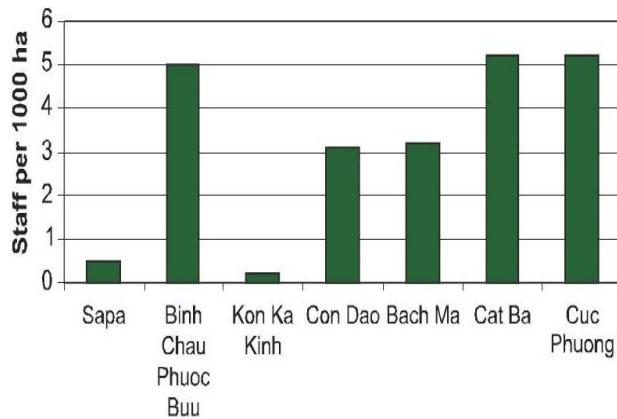


Figure 3: Staff per 1000ha for a number of SUF
(Note: “Sapa” is Hoang Lien N.P.)

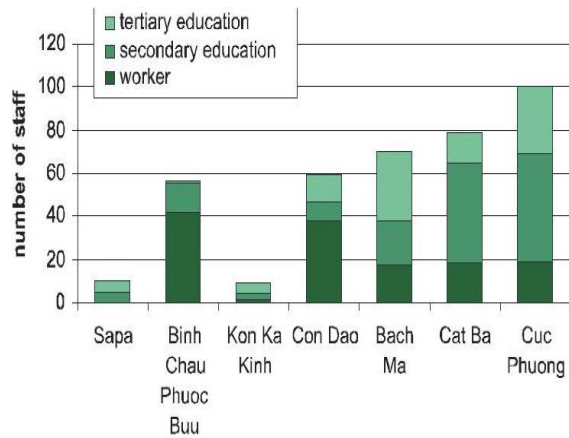


Figure 4: Education levels for staff at a number of SUF
(Note: “Sapa” is Hoang Lien N.P.)

Source for both Figures: Vietnam Environment Monitor 2005. World Bank, Hanoi

Staff motivation

223. During the PPG, a survey was made of rangers working in protected areas in the pilot sites (see Annex 7 for details). Almost all had a university education, and about one-third had working for the PA for 5-15 years. The main motivation is the relationship to their training and their preferences for jobs in biodiversity/nature conservation. However, typically morale tends to be low due to difficulties in PA management, such as lack of equipment/ facilities, low salary, low awareness of higher authorities towards nature conservation, and poor community awareness.

224. Most rangers identified encroachment for agriculture, hunting, and illegal logging as major threats; few rangers thought forest fire is a serious threat, while none of them thought that construction of hydropower dams or roads; mining; and invasive species can cause negative impacts for the park. When rangers were asked to make a list of park stakeholders few of them named local communities as important stakeholders. Similarly, a survey done by PanNature (2007) in Chu Yang Sin NP also found that park staff only recognize those with whom they usually work with for law enforcement, such as police and local authorities as stakeholders. Most rangers ignored local communities as key factors for their efforts to improve park protection.

225. There are only two activities/tasks that park staff believe they have done well: protecting forest resources, and raising community awareness on forest protection. Those activities for which performance was considered poor included mobilizing the local community to participate in forest protection; checking and fining violation cases; and collaborating with other organisations on law enforcement. However, according to PanNature (2007), park staff/rangers cannot assess their performance in frank and objective ways. For example, 90-95% of rangers in Chu Yang Sin NP said that they have done “very well” on tasks of forest protection and community mobilisation for forest protection; yet the park is under serious threat from illegal hunting and large-scale logging.

226. None of rangers can name over 5 legislative documents (title and code) which they usually use during daily practice for park management. Most rangers can name 2 of those documents, the Law on Forest Protection and Development being the most commonly named. In Chu Yang Sin NP, 40% of its staff could not properly name any legislative document that they use. One reason for this is many of them have not yet been trained in those legislative documents.

(iii) Experiences with diversified revenue streams:

227. Experience with diversified revenue sources for protected areas in Viet Nam is extremely limited – as noted previously (Table x), many protected areas rely entirely on government budget allocations, others benefit from significant inputs of ODA, but none have significant other sources of revenue.

PES

228. One of the pilot sites for the pilot PES policy is the Dong Nai River Basin Project in Lam Dong province, where Winrock International and USAID are cooperating with local authorities to pilot payments for soil conservation in the catchment of a hydro-power reservoir and water conservation for domestic consumption. The Dong Nai River Basin is expected to supply 20% of Vietnam's power needs through hydro-electricity, while demand for water in HCMC increases by 19 percent each year. One of this project's pilot sites, Bidoup-Nui Ba NP, lies partly in the watershed of the Dong Nai River, while the UNDP/UNEP/FAO UN-REDD programme for Viet Nam is also expected to work in the same district. A detailed distribution system for revenues from PES still needs to be developed, so it is unclear what proportion, if any, of the revenues will go to the NP management board. However, even if the management board itself is not a direct beneficiary, it is certain that a large proportion of the revenues will be paid to those households which are contracted to protect the forests within the NP, so biodiversity conservation inside the NP will be strengthened through PES.

Tourism and concessions

229. The situation regarding collection of revenue from tourism fees and protected area entrance fees is uncoordinated, as noted previously, so there are no guidelines related to entrance fees or to the proportion of tourism revenue to be retained by the protected area management board.

230. In the case of Bidoup-Nui Ba NP, no entrance fee is currently charged, but there is a proposal to charge VND15.000 (\$0.90) per person. One problem at Bidoup-Nui Ba which is typical of many protected areas is that there is a public highway running through the park. As both the highway right-of-way and the park itself is considered to belong to the state, no charges can be levied on vehicles passing long the highway, and consequently control of entrance to the park itself is very difficult. Tourism use of the park is actually quite high – for example, every day significant numbers of mountain bikers cycle along the highway, some of them travelling all the way from BDNB to the coastal resort of Nha Trang. Clearly the cyclists are attracted by the physical beauty of the area, and the tourist service companies that are providing the experience are benefitting financially from this, but BDNB itself receives no benefits.

231. At Ba Be National Park, the management board generates a small amount of revenue from a guesthouse that it manages, plus a coffee shop and karaoke bar concessions. In 2001, the national park management board raised about VND 200 million (equivalent to US\$ 12,700) from these activities, of which 75% was retained by the management board for re-investment, after paying tax. An entrance fee (less than US\$ 1 per visitor) is charged at Ba Be National Park but the majority of this fee is retained by the provincial authorities, with only a small percentage being returned to the national park management board. By way of contrast, at Yok Don National Park, no entrance fee is charged but charges are made for use of the guesthouse, guides and rangers, camping and elephant hire. An average overnight visitor to the national park is estimated to spend US\$ 35 per night, of which 75% is paid to the national park authorities as various fees; for day visitors, the national park receives significantly less. Although a small number of SUFs (such as Cuc Phuong and Phong Nha-Ke Bang National Parks) generate significant tourism revenue, none could self-subsidise at current levels.

232. The only experience regarding charging fees at MPAs comes from Nha Trang Bay MPA, where a service fee for divers of US\$ 3 per head has been introduced on a trial basis. In order to become institutionalised, this fee needs to be included into the national fee system, which is determined by MoF.

Figures 5 and 6 show the overall situation in Viet Nam with regard to protected area entrance fees, compared with other countries in the region. As can be seen, typical entrance fees for Viet Nam (when they are charged at all) are among the lowest, at around \$0.50 for a citizen and \$1.00 for a foreign visitor.

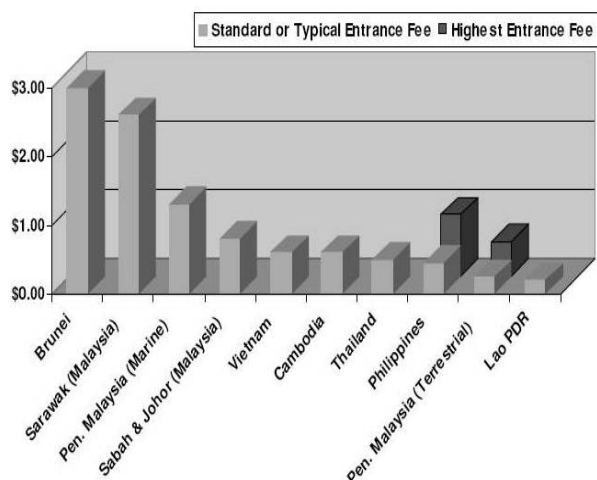


Figure 5: PA entrance fees for citizens, SE Asia

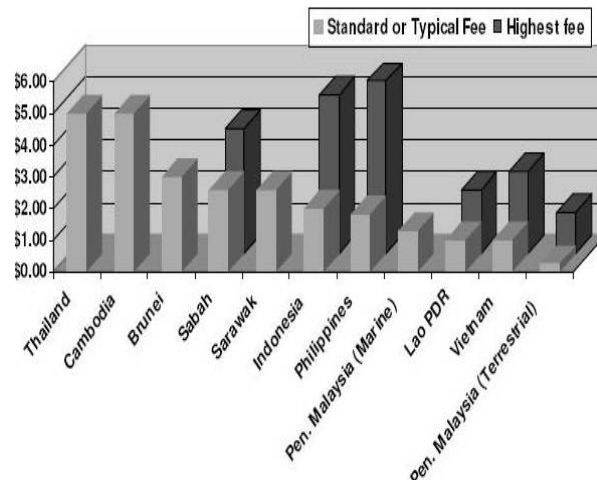


Figure 6: PA entrance fees for foreigners, SE Asia

Source for both Figures: Tarman, W., Laplante, B. and Lee, K.F. 2005. Conservation Financing: A Review of the Southeast Asian Experience

(iv) Monitoring and reporting:

233. There is no unified approach to monitoring across the protected area system. Endangered and charismatic species are often monitored in individual protected areas, where their conservation is a high priority, but even then there are no guidelines to establish a common approach. More often it is left to NGOs who focus on individual species to undertake research and monitoring of those species. Protected area staff often lack the funds, equipment and training to undertake systematic monitoring, even though under the new Law on Biodiversity (Article 29) they are required to “*monitor and collect information and data on, and build a database and report on the current status of, the conservation zone’s biodiversity*”. The VCF is currently developing a SUF biodiversity monitoring system which will be applied in all VCF-eligible SUF’s applying for grants.

234. A similar situation applies to reporting on biodiversity, which currently lacks a systematic approach. However, under the Law on Biodiversity protected area management units are required to report on the current status of their conservation zones’ biodiversity every three years. Furthermore, under Article 72 of the law, the Ministry of Natural Resources and Environment is assigned responsibility for producing biodiversity reports and a component of the national environment report, and to coordinate with concerned ministries and ministerial-level agencies in this regard.

Public support for protected areas

235. During the PPG a gender-balanced survey of the urban public in three major cities, HCMC (south); Danang (central); and Hanoi (north) was undertaken (detailed results in Annex 7). All interviewees had at least an upper secondary education. Results indicated that the level of awareness of the protected area system in Viet Nam is low. For example:

- Only 4-12% were able to explain terms such as “*national park*” and “*nature reserve*”

- Only 25% were able to name at least one protected area in Viet Nam. This figure was 29% for HCMC, 24% for Danang, and 21% for Hanoi. In most cases where respondents were able to name a protected area it was in the surrounding area or nearby provinces. For instance, people in Hanoi could name Cuc Phuong and Ba Vi NPs; in Danang people can name Bach Ma NP; and people in HCMC can name Cat Tien and U Minh Thuong NPs. No NRs that were named.
- In contrast, residents of HCMC were least aware of the reason for establishing a PA, with only 51% able to explain, compared with 64% in Danang and 83% in Hanoi.
- Although more than 80% of the respondents identified hunting and illegal logging as threats to biodiversity, barely 30% considered mining a threat, and less than that number thought that road construction and hydropower development are serious threats
- However, when asked about “willingness to pay” for access to a protected area, 93% indicated a willingness in Hanoi; 78% in HCMC and 76% in Danang.

236. However, a recent survey by TRAFFIC (2007) revealed that wildlife consumption by Hanoi residents is becoming increasingly common in parallel with rising incomes.

237. Another interview was conducted of household representatives living in buffer zones of the three pilot sites. Most of interviewees are Kinh people (i.e., not ethnic minorities), aged ranging from 20 to 50, literate (with at least primary education); and have been living in the area for over 20 years, mainly dependent on agricultural and forestry. Results indicate that almost all interviewees (91%) are aware of the presence of the park in their area. More than half of them knew the year that the PA was established, the location of the park’s headquarters, and the park boundaries (around 56%).

238. However, these results may not be typical, as another study by PanNature (2007) in the buffer zone of Chu Yang Sin NP in the Central Highland’s Dac Lak province, 56% of interviewed villagers did not know about the NP, even though field-rangers attended their monthly village meetings and talked about forest protection. Part of the reason for the low figure could be that indigenous M’ong people in Krong Bong district usually call Chu Yang Sin “forestry area” instead of “national park”. Similarly, many villagers in Giao An and Giao Thien communes in Xuan Thuy NP’s buffer zone usually call the NP “environmental area”.

239. Most villagers do not know the purposes for establishing the park, even though 75% believed that they knew those reasons. Many villagers cannot name important/endangered species of mammals or birds of the park and/or being protected by the park.

240. Only 25% of interviewed villagers in Xuan Thuy NP and 35% in Bi Dup-Nui Ba NP knew those parks have conducted some community awareness and/or propaganda activities. Approximately 60% of interviewees said the park has done well in their tasks. More than half of the interviewees believe that the area of natural forests, quantity of animals, and quantity of big trees inside the park are increasing, while number of violation cases are decreasing. Nearly 44% of villagers said that the park generated no benefits for their income generation or economic improvement.

Under the “business-as-usual” scenario, Viet Nam’s biodiversity would remain under significant threat, with only minor advances in the effectiveness of individual PAs due to ineffective and inefficient use of financial resources, low individual capacities of PA staff, a lack of experience of approaches to revenue generation, limited information of relevance to PA management, and low public support for the PA system.

Global Environmental Objective

241. The global environmental objective of GEF support is conservation of globally significant biodiversity within Viet Nam's protected area system.

Alternative

242. Under the alternative scenario, Viet Nam's PA system will be strengthened in a number of ways as compared with the baseline. First, the legal and policy environment will have been clarified, made more comprehensive, and brought in line with modern approaches to PA management. Related to this, institutional arrangements will have been simplified and made more transparent, most significantly creating a linkage between PA needs, in terms of resources required to address threats to biodiversity, and PA budgeting. Capacities of PA staff at all levels will also have been improved. Models of various approaches to increased financial sustainability will have been piloted and the conditions established to up-scale the models to a system-wide basis. Information flow relevant to PA management and financing will have been established, and public support for the PA system increased.

System Boundary

243. System Boundary: In biological terms, the project is concerned with the conservation of biological diversity of national and international importance within Viet Nam's protected area system. Geographically, the project is concerned with all of Viet Nam's protected areas, but with a particular focus on the pilot sites, which consist of:

Terrestrial and marine ecosystem of the North Tonkin Archipelago, including Bai Tu Long N.P. and Cat Ba N.P.

Wetland and coastal ecosystems of the Red River Delta, including Xuan Thuy N.P. and Tien Hai N.R.

Forest and mountain ecosystems of the Central Highlands, including Bidoup Nui Ba N.P. and Chu Yang Sin N.R.

244. In terms of time, baseline and incremental costs have been assessed over the planned 5-year life-span of the project.

Summary of Costs

245. The total cost of the project, including co-funding and GEF funds, amounts to US\$ 27,311,360. Of this total, co-funding constitutes nearly 87% or US\$ 23,775,000. GEF financing comprises the remaining 13% of the total, or US\$ 3,536,360.

Table 1. Incremental Cost Matrix

Benefits and Costs	Baseline (US\$)	Alternative	Increment (US\$)
Global benefits	Continued reduction in populations of threatened, near threatened and vulnerable species. Degradation of key terrestrial and marine ecosystems.	The alternative scenario will ensure global biodiversity benefits associated with more secure protection of globally significant biodiversity over nearly 200,000ha of demonstration sites, together with increased effectiveness of management of other PAs in the system. The globally significant biodiversity that will be more securely conserved includes a number of globally threatened species, such as the rarest primate in the world, the golden-headed langur, and numerous species of endangered migratory birds, such as the white-winged duck	Barriers to PA financial sustainability and inter-agency co-ordination have been removed
National and local benefits	Reduced ecosystem services due to habitat damage, forest clearance, and ineffective management of ecosystems	Under the alternative scenario, Viet Nam will benefit from medium-long term increases in ecosystem services and other economic benefits, for example, from tourism; and increased ecosystem resiliency.	Enhanced management capacities of PA authorities, including financial management; Revised and expanded system- and site-level financing and business plans; New revenue generating mechanisms; Agreed institutional responsibilities for PA expenditure and revenue generation; Integration of economic principles into planning practices for cost-effective management; Increased public awareness and support for PAs
Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing	GOV: 250,000	GEF: 373,360 Others: 4,550,000, including: GOV: 1,250,000 UNDP: 3,000,000 IUCN: 300,000	GEF: 373,360 Others: 4,300,000, including GOV*: 1,000,000 UNDP: 3,000,000 IUCN: 300,000

Benefits and Costs	Baseline (US\$)	Alternative	Increment (US\$)
Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms	GOV: 800,000	GEF: 1,025,000 Others: 5,750,000, including: GOV: 1,700,000 UNDP: 4,050,000	GEF: 1,025,000 Others: 4,950,000, including GOV*: 900,000 UNDP: 4,050,000
Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations	GOV:2,146,360	GEF: 1,450,000 Others: 8,812,403 including GOV: 8,112,403 IUCN: 700,000	GEF: 1,450,000 Others: 6,666,043, including GOV*: 5,966,043 IUCN: 700,000
Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system	GOV: 340,000	GEF: 340,000 Others: 1,065,000 (GOV*)	GEF: 340,000 Others: 725,000 (GOV*)
Project management	0	GEF: 348,000 Others: 1,900,000 (GOV*)	GEF: 348,000 Others: 1,900,000 (GOV*)
TOTAL	TOTAL BASELINE: GoV: \$3,536,360	Total GEF: 3,536,360 Total Others; 22,077,403 including GOV*: 14,027,403 UNDP; 7,050,000 IUCN: 1,000,000	GEF: 3,536,360 Others: 18,541,043, including GOV*: 10,491,043 UNDP: 7,050,000 IUCN: 1,000,000

SECTION III: TOTAL BUDGET AND WORKPLAN

Part I: Total Budget and Work Plan

Award ID:	00050399									
Award Title:	PIMS 3965 Sustainable Financing of Protected Area Management in Viet Nam									
Project ID:	00062233									
Project Title:	PIMS 3965 Sustainable Financing of Protected Area Management in Viet Nam									
Executing Agency:	Viet Nam Environment Agency (VEA), Ministry of Natural Resources and the Environment (MONRE), Government of Viet Nam									
	Fund code	Atlas code	Atlas description	Yr1	Yr2	Yr3	Yr4	Yr5	Total	
Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing	62000	71200	International Consultants	90,000	60,000	0	0	0	150,000	a
	62000	71300	Local Consultants	40,000	30,000	6,000	5,000	4,000	85,000	b
	62000	72100	Contractual services - companies	34,000	45,000	7,000	0	0	86,000	c
	62000	71600	Travel	10,000	18,000	6,000	4,000	3,000	41,000	d
	62000	74500	Miscellaneous	3,000	3,000	2,360	2,000	1,000	11,360	
			sub-total GEF	177,000	156,000	21,360	11,000	8,000	373,360	
			Total Outcome 1	177,000	156,000	21,360	11,000	8,000	373,360	
Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms	62000	71200	International Consultants	80,000	150,000	120,000	60,000	30,000	440,000	e
	62000	71300	Local Consultants	35,000	60,000	55,000	25,000	20,000	195,000	f
	62000	72100	Contractual services - companies	65,000	80,000	65,000	50,000	15,000	275,000	g
	62000	71600	Travel	15,000	25,000	15,000	15,000	20,000	90,000	h
	62000	74500	Miscellaneous	5,000	5,000	5,000	5,000	5,000	25,000	
			sub-total GEF	200,000	320,000	260,000	155,000	90,000	1,025,000	
			Total Outcome 2	200,000	320,000	260,000	155,000	90,000	1,025,000	

Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations	62000	71200	International Consultants	70,000	50,000	39,000	20,000	10,000	189,000
	62000	71300	Local Consultants	30,000	35,000	28,000	23,000	20,000	136,000
	62000	71600	Travel	15,000	15,000	15,000	10,000	10,000	65,000
	62000	72600	NGO Grant for Demonstration and Piloting	200,000	200,000	200,000	200,000	200,000	1,000,000
	62000	74200	Printing and publication	10,000	15,000	10,000	10,000	10,000	55,000
	62000	74500	Miscellaneous	1,000	1,000	1,000	1,000	1,000	5,000
			sub-total GEF	326,000	316,000	293,000	264,000	251,000	1,450,000
			Total Outcome 3	326,000	316,000	293,000	264,000	251,000	1,450,000
Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system	62000	71200	International Consultants	60,000	25,000	15,000	0	0	100,000
	62000	71300	Local Consultants	30,000	20,000	8,000	8,000	8,000	74,000
	62000	72100	Contractual services - companies	15,000	35,000	7,000	5,000	5,000	67,000
	62000	71600	Travel	11,000	19,000	7,000	5,000	4,000	46,000
	62000	72200	Equipment	25,000	15,000	8,000	0	0	48,000
	62000	74500	Miscellaneous	1,000	1,000	1,000	1,000	1,000	5,000
			sub-total GEF	142,000	115,000	46,000	19,000	18,000	340,000
			Total Outcome 4	142,000	115,000	46,000	19,000	18,000	340,000
Project management and evaluation	62000	71200	International Consultants	40,000	30,000	30,000	0	0	100,000
	62000	71300	Local Consultants	36,400	36,800	37,200	37,600	38,000	186,000
	62000	71600	Travel	7,000	7,000	7,000	7,000	7,000	35,000
	62000	72200	Equipment	20,000	0	5,000	2,000	0	27,000
			sub-total	103,400	73,800	79,200	46,600	45,000	348,000
			Total Management and Evaluations	103,400	73,800	79,200	46,600	45,000	348,000

GEF	948,400	980,800	699,560	495,600	412,000	3,536,360
MONRE	975,000	770,000	680,000	650,000	650,000	3,725,000
UNDP	1,900,000	1,780,000	1,480,000	960,000	930,000	7,050,000
PAs	1,600,000	1,600,000	1,600,000	1,600,000	1,600,000	8,000,000
Winrock	400,000	600,000	0	0	0	1,000,000
MARD/DoF	300,000	450,000	0	0	0	750,000
MARD/FPD	650,000	660,000	650,000	650,000	640,000	3,250,000
TOTAL	6,773,400	6,840,800	5,109,560	4,355,600	4,232,000	27,311,360

Part II: Budget Notes

Outcome 1: A comprehensive and harmonized legal and policy framework supports sustainable PA financing

- a. An international specialist in Environmental Law will be recruited for 8 months during year 1, @\$11,540/month and 5 months in year 2 (rate periodically adjusted for cost-of-living).
- b. National environmental policy and law experts will be hired for a total of 36 months @\$2000/month initially, this amount rising in relation to cost-of-living
- c. Contracting services to organize dialogues and seminars on the development of legal regulations, and to provide training to staff of MONRE and MARD, including field staff
- d. Travel costs include travel by stakeholders to dialogues and seminars in Hanoi and elsewhere, and travel of consultants to such events outside Hanoi; average cost \$250 per travel event; planned 40 travel events in year 1; 72 in year 2; 24 in year 3, 16 in year 4, and 12 in year 5

Outcome 2: Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms

- e. International consultants for the development of curricula and training materials for PA staff training. Based on budget of CBBC project, calculated to require a total of 40 person months @\$10,000/month (rate periodically adjusted for cost-of-living)
- f. National consultants for training of PA staff. Based on CBBC project budget, calculated to require 90 person-months @\$2,000/month initially, this amount rising in relation to cost-of-living
- g. Contracting services to produce training materials: calculated @\$90,000; and to organize training sessions: calculated 25 sessions @\$7,400/session
- h. Travel costs include travel by PA staff to training session and project consultants to training session outside Hanoi; calculated as 180 travelers @\$500/traveler

Outcome 3: Knowledge and experience of sustainable financing options developed through demonstrations

- i. International consultants in tourism development and business planning; the former for 11 months, and the latter for 7 months @\$10,000/month (rate periodically adjusted for cost-of-living)
- j. National consultants will include three site coordinators, hired for a total of 17 months each, and a biodiversity planning specialist, hired for a total of 9 months; each individual costed at \$2,000/month initially, this amount rising in relation to cost-of-living (4 consultants)
- k. Travel costs include travel by PA staff and project consultants to demonstration sites; calculated as 130 travelers @\$500/traveler
- l. Grants to pilot PAs to support costs associated with demonstration activities, calculated as 5 grants per year of \$40,000 each. (one PA per grant)
- m. Printing and publication of lessons learned materials for dissemination through the PA system – calculated as 22 products @\$2,500 each

Outcome 4: Information on biodiversity and PA status supports PA management and builds public support for the PA system

- o. International consultant in biodiversity monitoring for a total of 9 months @\$10,000/month (rate periodically adjusted for cost-of-living)
- p. National consultants in public awareness for a total of 34 months @\$2000/month initially, this amount rising in relation to cost-of-living
- q. Contractual services for (a) data input for monitoring system; and (b) publication of public awareness materials

- r. Travel costs include travel by PA staff and project consultants to demonstration sites in relation to development of monitoring system, and travel associated with public awareness raising; calculated as 92 travelers @\$500/traveler
- s. Equipment is field equipment for collection of monitoring information

Project management and evaluation

- t. A part-time CTA will be hired for a total of 9 months over the first 3 years of the project @\$11,110/month (rate periodically adjusted for cost-of-living); it is anticipated that the CTA will be one of the technical consultants hired for other purposes
- u. Local consultants consist of a Project Manager (\$2000/month), Administrative and Finance Assistant (\$600/month), and Secretary/Translator (\$500/month) (all rates periodically adjusted for cost of living), each working full-time
- v. Travel is the cost of the Project Manager and CTA visiting each project site twice a year, total of 14 travelers/year @400/trip
- w. Office supplies include computers, printers, communications equipment, etc.; initial investment in year 1, with maintenance and replacement costs in years 3 and 4.

List of Annexes

Annex 1: List of relevant legal and policy documents

Annex 2: Financial scorecard results

Annex 3: Capacity scorecard results

Annex 4: METT tables for the PAs included in the project pilot sites

Annex 5: Rationale and process of pilot site selection

Annex 6: Results of detailed questionnaires on financial status and prospects for pilot sites

Annex 7: Results of surveys on awareness of PA issues

SIGNATURE PAGE

Country: Viet Nam

One-Plan Outcome(s)/Indicator(s):

OUTCOME 3: Viet Nam has adequate policies and capacities for environmental protection and the rational management of natural resources and cultural heritage for poverty reduction, economic growth, and improving the quality of life.

Relevant thematic clusters:

i) Sustainable Development Policies and Institutional Development:

- support to develop strategies, policies, plans and regulations and improvement of capacities for their implementation and monitoring in line with international environmental and cultural conventions ratified by Viet Nam;
- promote enhanced protection and management of both cultural and natural heritage, including heritage conservation linked with sustainable tourism development.

ii) Natural Resource Management:

- promotion of sustainable use of natural resources, protected area management; enhancement of traditional agro-biodiversity;
- develop participatory, needs-based, national resource management approaches with a focus on local knowledge, non timber forest products and indigenous species;

Implementing partner:

UNDP

Programme Period: 2006-2010 Programme Component: Biodiversity Project Title: Removing barriers hindering PA management effectiveness in Vietnam Project ID: PIMS # 3603 Atlas Award: 00050399 Atlas Project 00062233 Project Duration: 5 years Management Arrangement: NEX	Total budget: US\$ 22,077,403 Allocated resources: <ul style="list-style-type: none">• GEF US\$ 3,536,360• UNDP (in kind) US\$ 7,050,000• Government (in kind) US\$ 10,491,043• IUCN US\$ 1,000,000 (Grant and in kind)
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United Nations Development Program _____ Date

Ministry of Planning and Investment _____ Date

Ministry of Environment and Natural Resources _____ Date

Annex 1: List of relevant legal and policy documents

A. General:

1. *Government Organization Law passed by the National Assembly on 25 December 2001.*
2. *Environmental Protection Law passed by NA on 29 November 2005.*
3. *Law on Biodiversity passed by NA on 13 November 2008.*
4. *Resolution No. 41 - NQ/TW dated 15 November 2004 of the Party Political Bureau on the environmental protection in period of industrialisation and modernisation.*
5. *Decision No. 34/2005/QĐ-TTg dated 22 February 2005 of the Prime Minister issuing the Government action plan to implement resolution No. 41-NQ/TW dated 15 November 2004 of the Polibureau.*
6. *Orientation of Vietnam Sustainable Development Strategy (Vietnam's Agenda 21) issued together with Decision 153/2004/QĐ-TTg dated 17 August 2004.*
7. *Decision No. 256/2003/QĐ-TTg dated 02 December 2003 approved National Strategy on Environmental Protection towards 2010 and orientation towards 2020.*
8. *Decree No. 140/2006/NĐ-CP dated 22 November 2006 of the Government: Regulation on environmental protection of developing, appraising, approving and implementing strategies, planning, plans, development programs and projects.*
9. *Circular No. 06/2007/TT-BKH of MPI: Guidelines for implementation of Decree 140/2006/NĐ-CP.*
10. *Decision No. 281/2007/QĐ-BKH of MPI dated 26 March 2007 on issuing cost norms for developing, appraising planning and revising master plans of socio-economic development, sectoral plans and plans of major products.*
11. *Decree No. 57/2002/NĐ-CP dated 03 June 2002 of the Government regulating the implementation of Ordinance on fees and charges.*
12. *Decree No. 24/2006/NĐ-CP dated 06 March 2006 of the Government revising, supplementing certain of articles of Decree No. 57/2002/NĐ-CP.*
13. *Inter-ministerial circular No. 114/2006 /TTLT-BTC-TNMT of MOF and MONRE dated 29 December 2006 guiding the management of state budget for the environmental tasks.*
14. *Decree No. 43/2006/NĐ-CP dated 25 April 2006 regulating self-reliance rights, responsibility for task fulfillment, organization, staffing and finance of state agencies.*
15. *Circular No. 71/2006/TT-BTC dated 9 August 2006 guiding the implementation of Decree No. 43/2006/NĐ-CP.*
16. *Circular No. 113/2007/TT-BTC dated 24 September 2007 of MOF amending and supplementing Circular No. 71/2006/TT-BTC.*
17. *Circular 01/2008/TT-BTC dated 03 January 2008 guiding the preparation, management and preparation of final account of state budget for the implementation of National action plan on biodiversity to 2010 and orientation to 2020 following CBD and Cartagena protocol on biological safety.*

a. Documents relating to terrestrial PAs (SUF)

18. *Law on Forest protection and development passed by the NA on 03 December 2004.*
19. *Decree No. 23/2006/NĐ-CP dated 03 March 2006 of the Government on the implementation of the Law on Forest protection and development.*
20. *Decision 178/2001/QĐ-TTg dated 12 November 2001 of the PM on beneficiary rights and obligations of households, individuals who are allocated, leased, contracted forest and forest land.*
21. *Inter-ministerial circular No. 80/2003/TTLT-BNN-BTC dated 03 September 2003 guiding the implementation of Decision 178/2001/QĐ-TTg.*
22. *Directive No. 12/2003/CT-TTg dated 16 May 2003 of the PM on strengthening urgent measures for forest protection and development.*
23. *Decision No. 192/2003/QĐ-TTg dated 17 September 2003 approving Management strategy for a PA system in Vietnam to 2010.*

24. *Decision No. 186/2006/QĐ-TTg dated 14 August 2006 of the PM issuing forest management regulation.*
25. *Circular 99/2006 dated 6 November 2006 of MARD guiding the implementation of some articles of the forest management regulation attached to the Decision 186/2006.*
26. *Decree 193/2006/QĐ-TTg dated 24 August 2006 on approving the Program on population arrangement of natural disaster area, hardship area, borders and islands, uncontrolled population immigration, critical and very critical areas of forest protection, core zones of SUF during period 2006 - 2010 and orientation to 2015.*
27. *Decision No. 18/2007/TTg dated 05 February 2007 of the PM approving Vietnam forest development strategy in period 2006-2020.*
28. *Decree 159/2007/NĐ-CP dated 30 October 2007 of the Government on penalties for administrative violations in forest management and protection and forest products management.*
29. *Decree No. 01/2008 dated 3 January 2008 of the Government stipulating tasks, functions, authority, and organizational structure of MARD.*
30. *Decision No. 22 /2008/QĐ-BNN dated 28 January 2008 of MARD stipulating tasks, functions, authority and organizational structure of the Forest Protection Department.*
31. *Decision No. 03/2008/QĐ-BTC dated 15 January 2008 of the PM on stipulating level, regulation of collection and pay, management and use of entrance charges to Bạch Mã and Cúc Phương NPs.*

a. Document relating to MPAs and inland PAs

32. *Fisheries Law 2003.*
33. *Decree No. 27/NĐ-CP dated 8 March 2005 regulating details and guiding the implementation of articles in Fisheries Law.*
34. *Decree No. 57/2008/NĐ-CP dated 02 May 2008 of the Government issuing management regulation on Vietnam's MPAs of national and international importance.*
35. *Decision No. 1479/QĐ-TTg dated 13 October 2008 of the PM approving Planning of an inland PA system to 2020.*
36. *Decision No. 23/2008/QĐ-BNN dated 28 January 2008 of MARD stipulating tasks, functions, authority and organizational structure of Department of Fisheries Resources Exploitation and Protection.*

a. Documents relating to wetlands

37. *Decree No. 109/2003/NĐ-CP dated 23 September 2003 on the conservation and sustainable development of wetlands.*
38. *Circular No. 18/2004/TT-BTNMT of MONRE guiding implementation of Decree 109/2003/NĐ – CP dated 23 September 2003 of the Government on wetland conservation and development.*
39. *Law on Water resources, May 1998.*
40. *Decree No. 179/1999/NĐ-CP dated 30 December 1999 of the Government stipulating implementation of the Law on Water resources.*
41. *Decision No. 81/2006/QĐ-TTg dated 14 April 06 of PM approving National strategy on water resources towards 2020.*
42. *Decision No. 04/2004/QĐ-BTNMT dated 05 April 2004 of MONRE on approving action plan of wetland conservation and sustainable development in period 2004 – 2010.*

Annex 2: Financial scorecard results

Scorecard completed by participants in a multi-stakeholder workshop undertaken during implementation of the PPG, in May and June 2008

Basic Protected Area System Information				
Describe the PA system and what it includes:				
Protected Areas System	Number of sites	Proposed	Total hectares	Comments
National protected areas a) managed at central level	6 SUF, 0 MPA, 0 Wetland	0 SUF, 24 Wetlands*		1 SUF is Ramsar site,
b) managed at provincial level	120 SUF, 0 MPA, 0 Wetland, 6 BRs	7 non SUF MPAs		1 SUF is Ramsar site 8 other proposed MPAs are in SUFs
National protected areas co-managed by NGOs				
Provincial protected areas	0 SUF, 3 MPA, 0 Wetland			
Others (define) Sectoral PAs	0			68 high BD wetland sites but many do not meet minimum size criteria for PAs
Experimental forests	Approx. 30			

* Which wetlands are to be managed at central and provincial level has to be determined

Financial Analysis of the National Protected Area System	Baseline year ⁶ (US\$) ⁷	Year X ⁸ (US\$) ⁹	Year X+5 ¹⁰ (forecasting) (US\$) ¹¹	Comments ¹²
Available Finances				
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated (4) and retained within the PA system)	\$21,256,000*			
- national protected areas **	\$2,222,700			
- national areas co-managed by NGOs	N/A			
- state/municipal protected areas ***	\$19,033,000			
- others				
(2) Total annual government budget provided for PA management (including donor funds, loans, debt-for nature swaps)	\$26,626,000*			
- national protected areas **	\$3,071,400			
- national areas co-managed by NGOs	N/A			
- state/municipal protected areas ***	\$23,554,800			
- others				

* Extrapolated from a sample of 49 SUFs (out of a total of 126)

** SUFs managed by MARD (6)

*** SUFs managed by other authorities (extrapolated from a sample of 43, out of a total of 120)

⁶ The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year e.g. 2007.

⁷ Insert in footnote the local currency and exchange rate to US\$ and date of rate (e.g. US\$1=1000 colones, August 2007)

⁸ X refers to the year the Scorecard is completed and should be inserted (e.g. 2008). For the first time the Scorecard is completed X will be the same as the baseline year. For subsequent years insert an additional column to present the data for each year the Scorecard is completed.

⁹ Insert in footnote the local currency and exchange rate to US\$ and date of rate

¹⁰ Year X+5 refers to forecasting annual data for five years in the future from the year the Scorecard is being completed. The data should be for one year (e.g. is year X is 2008 then the data should be presented for year 2013). The data would be based on long-term financial plans. If no financial planning has been done then this column can be left blank.

¹¹ Insert in footnote the local currency and exchange rate to US\$ and date of rate

¹² Comment should be made on robustness of the financial data presented (low, medium, high)

(3) Total annual revenue generation from PAs, broken down by source				
a. Tourism - total	Negligible			Number of visitors to the protected areas in year X: Unknown
- Tourism taxes	Nil			
- Entrance fees	Negligible			
- Additional user fees	Virtually nil			
- Concessions	Virtually nil			
b. Payments for ecosystem services (PES)	Nil			
c. Other (specify each type of revenue generation mechanism)	Nil			
(4) Total annual revenues by PA type ¹³				
- national protected areas	Negligible			
- national areas co-managed by NGOs	N/A			
- state/municipal protected areas	Negligible			
- others				
(5) Percentage of PA generated revenues retained in the PA system for re-investment ¹⁴	Variable (typically around 80%)			
(6) Total finances available to the PA system [government budget plus donor support etc (2)] plus [total annual revenues (4) multiplied by percentage of PA generated revenues retained in the PA system for re-investment (5)]	Approx \$24,000,000			
Costs and Financing Needs	Estimated at about three times current			

¹³ This total will be the same as for (3) but broken down by PA type instead of by revenue type

¹⁴ This includes funds to be shared by PAs with local stakeholders

	total			
(7) Total annual expenditure for PAs (operating and investment costs) ¹⁵	Operating costs unclear			State any extraordinary levels of capital investment in a given year
- national protected areas				
- national protected areas co-managed by NGOs				
- state/municipal protected areas				
- others				
(8) Estimation of financing needs				
A. Estimated financing needs for <i>basic</i> management costs and investments to be covered	Unclear			
B. Estimated financing needs for <i>optimal</i> management costs and investments to be covered	Unclear			
(9) Annual financing gap (financial needs – available finances) ¹⁶				
A. Net actual annual surplus/deficit ¹⁷				
B. Annual financing gap for basic expenditure scenarios	Unclear			
C. Annual financing gap for optimal expenditure scenarios	Unclear			

¹⁵ In some countries actual expenditure differs from planned expenditure due to disbursement difficulties. In this case actual expenditure should be presented and a note on disbursement rates and planned expenditures can be made in the Comments column.

¹⁶ Financing needs as calculated in (8) minus available financing total in (6)

¹⁷ This will be more relevant to parastatals and PA agencies with autonomous budgets

FINANCIAL SCORECARD – PART II – ASSESSING ELEMENTS OF THE FINANCING SYSTEM

Component 1 – Legal, regulatory and institutional frameworks					COMMENT
<i>Element 1 – Legal, policy and regulatory support for revenue generation by PAs</i>	None (0)	Some (1)	A few (2)	Fully (3)	
(i) Legal framework is in place that facilitates PA revenue mechanisms			X		e.g. cannot charge people driving through a PA Legal framework for PES only emerging 2 NPs are allowed to modify entrance fees; for others approval required from Min of Finance – very difficult
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing (for PAs but not necessarily at site level, e.g. departure tax)		X			Forest protection and development fund newly established; 50 billion VND from different sources; Gov't budget so far – will collect fees e.g. from PES; funding not exclusively for PAs
<i>Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system</i>	No (0)	Under development (1)	Yes, but needs improvement (2)	Yes, satisfactory (3)	
(i) Laws, policies and procedures are in place for PA revenues to be retained by the PA system (for entrance fees)	X				Apart from the funds that go back to the site (from entrance fees), none explicitly goes to support the PA system
(ii) Laws, policies and procedures are in place for PA revenues to be retained, in part, at the PA site level (for entrance fees)			X		Cuc Phuong proposes to retain 60% of entrance fee, also Bac Ma; others

					retain 30%; NPs can negotiate with Min. of Finance; provincial PC important; FPD tried to improve percentage at the system level, but failed, so it has to be done at the site level, at present no incentive for SUF directors to increase revenue generation (which currently is extremely low); FPD has sent questionnaire 1 month ago asking for actual needs – now getting returns; promoting financial autonomy for SUFs
(iii) Laws, policies and procedures are in place for revenue sharing at the PA site level with local stakeholders	X				General guidance exists, no authority to act in buffer zones; PA directors can request PPCs to invest in local communities
<i>Element 3 - Legal and regulatory conditions for establishing Funds (trust funds, sinking funds or revolving funds)</i> ¹⁸					
	No (0)	Established (1)	Established with limited capital (2)	Established with adequate capital (3)	
(i) A Fund has been established and capitalized to finance the PA system (Forest Protection Fund partially funds \$3M revolving; VCF - \$16M sinking; TFF - \$20M); try to diversify funds			X		TFF for national system planning, others for site level

¹⁸ Where a PA system does not require a Trust Fund due to robust financing within government, award full 9 points

	None (0)	Some (1)	Quite a few (2)	Fully (3)	
(ii) Funds have been created to finance specific PAs	X				No laws preventing this, but no examples
	No (0)	Partially (1)	Quite well (2)	Fully (3)	
(iii) Funds are integrated into the national PA financing systems			X		e.g. VCF specifically funds incremental costs to baseline government budget, but provides only small amounts
<i>Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government</i>	None (0)	Under development (1)	Yes, but needs improvement (2)	Yes, Satisfactory (3)	
(i) There are laws which allow and regulate delegation of PA management and associated financial management for concessions		X			Sometimes local government collects entrance fees, restaurants etc. can be established, tax from income goes to District
(ii) There are laws which allow and regulate delegation of PA management and associated financial management for co-management			X		e.g. patrolling at Na Hang
(iii) There are laws which allow and regulate delegation of PA management and associated financial management to local government				X	
(iv) There are laws which allow private reserves			X		
<i>Element 5 - National PA financing strategies</i>	Not begun (0)	In progress (1)	Completed (3)	Under implementation (5)	
(i) Degree of formulation, adoption and implementation of a national PA financing strategy	X				WB formulating regulation for fixed amount of money for minimum operation

(ii) The inclusion within the national PA financing strategy of key policies:	No (0)	Yes (2)			
- Revenue generation and fee levels across PAs					Specify the tariff levels for the PAs
- Criteria for allocation of PA budgets to PA sites (business plans, performance etc)					List the budget allocation criteria
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs					
- Requirements for PA management plans to include financial sections or associated business plans					
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)	None (0)	Partial (1)	Satisfactory (2)	Full (3)	
(i) Economic data on the contribution of protected areas to local and national development		<u>X</u>			A few examples exist – will provide names
(ii) PA economic values are recognized across government		<u>X</u>		(e.g. within Treasury)	Recognized by MPI in theory but not in practice because of limited budget; central government recognizes, but provincial governments less so; progressive policies, but reality less so!
Element 7 - Improved government budgeting for PA systems	No (0)	Yes (2)			
(i) Policy of the Treasury towards budgeting for the PA system provides for increased medium to long term financial resources in accordance with demonstrated needs of the system.	<u>X (for investment)</u>	<u>X (for staffing)</u>			5-10 year plan, but annual budgets
(ii) Policy promotes budgeting for PAs based on financial need as determined by PA management plans.		<u>X</u>			
(iii) There are policies that PA budgets should include funds for the livelihoods of communities living in and around the PA as part of threat reduction strategies		<u>X</u>			Investment plan for buffer zone (since about 2006); before policy existed but no guidelines for implementation
Element 8 - Clearly defined institutional responsibilities for PA management and financing	None (0)	Partial (1)	Improving (2)	Full (3)	

(i) Mandates of institutions regarding PA finances are clear and agreed			<u>X</u>		
<i>Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level</i>	None (0)	Partial (1)	Almost there (2)	Full (3)	
(i) There are sufficient number of positions for economists and financial planners and analysts in the PA authorities to properly manage the finances of the PA system		<u>X</u>			Need is recognized in principle, but rarely applied except where project funds make it possible
(ii) Terms of Reference (TORs) for PA staff include responsibilities for revenue generation, financial management and cost-effectiveness		<u>X</u>			
(iii) Laws and regulations motivate PA managers to promote site level financial sustainability (e.g. a portion of site generated revenues are allowed to be maintained for on-site re-investment and that such finances are additional to government budgets and not substitutional)			<u>X</u>		90% of what can be generated at site level can be retained; laws and regulations are in place but PA managers are too passive; other barriers exist
(iv) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation and cost-effective management	<u>X</u>				
(v) PA managers have the possibility to budget and plan for the long-term (e.g. over 5 years)				<u>X</u>	Budget not guaranteed for investment – see earlier questions
Total Score for Component 1					Actual score: Total possible score: 78 %:
Component 2 – Business planning and tools for cost-effective management					Comment
<i>Element 1 – PA site-level business planning</i>	Not begun (0)	Early stages	Near complete	Completed (3)	

		(1)	(2)		
(i) PA management plans showing objectives, needs and costs are prepared across the PA system		<u>X</u>	<u>X</u>		67% of SUFs and MPAs have management plans
(ii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed for pilot sites		<u>X</u>			About 10 PAs have business plans; e.g. Cat Tien (+/- 10 years), Cuc Phuong (longer) where potential exists; no standard format
(iii) Business plans are implemented at the pilot sites (degree of implementation measured by achievement of objectives)		<u>X</u>			
(iv) Business plans are developed for all appropriate PA sites (business plans will not be useful for PAs with no potential to generate revenues)		<u>X</u>			Decree 86 says you can conduct business; but in practice few take advantage of this; perception that you are not allowed to conduct business; MPI wants to promote business planning; no incentive
(v) Financing gaps identified by business plans for PAs contribute to system level planning and budgeting	<u>X</u>				In practice business plans are "unofficial"
(vi) Costs of implementing business plans are monitored and contributes to cost-effective guidance and financial performance reporting	<u>X</u>				
Element 2 - Operational, transparent and useful accounting and auditing systems	None (0)	Partial (1)	Near complete (2)	Fully completed (3)	
(i) Policy and regulations require comprehensive, coordinated cost accounting systems to be in place (for both input and activity based accounting)		<u>X</u>			
(ii) There is a transparent and coordinated cost and investment accounting system operational for the PA system		<u>X</u>			
(iii) Revenue tracking systems for each PA in place and operational		<u>X</u>			
(iv) There is a system so that the accounting data contributes to national reporting		<u>X</u>			

<i>Element 3 - Systems for monitoring and reporting on financial management performance</i>	None (0)	Partial (1)	Near completed (2)	Complete and operational (3)	
(i) All PA revenues and expenditures are fully and accurately reported by government and are made transparent		<u>X</u>			
(ii) Financial returns on investments from capital improvements measured and reported, where possible (e.g. track increase in visitor revenues before and after establishment of a visitor centre)					Need to seek inputs from managers of PAs
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority			<u>X</u>		Regulations exist outlining how budgetary allocations are to be made; there is a monitoring system but not an effective reporting system
(iv) Financial performance of PAs is evaluated and reported (linked to cost-effectiveness)		<u>X</u>			There is financial reporting, but no assessment of cost-effectiveness
<i>Element 4 - Methods for allocating funds across individual PA sites</i>	No (0)	Yes (2)			
(i) National PA budget is appropriately allocated to sites based on criteria agreed in national financing strategy		<u>X</u>			
(ii) Policy and criteria for allocating funds to co-managed PAs complement site based fundraising efforts		<u>X</u>			
<i>Element 5 - Training and support networks to enable PA managers to operate more cost-effectively</i>	Absent (0)	Partially done (1)	Almost done (2)	Fully (3)	
(i) Guidance on cost-effective management developed and being used by PA managers		<u>X</u>			Problem to interpret two elements in one question; guidelines exist, but are not widely used
(ii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	<u>X</u>				
(iii) Monitoring and learning systems of cost-effectiveness are in	<u>X</u>				Even donor-supported innovations

place and feed into management policy and planning					are not shared across system
(iv) PA site managers are trained in financial management and cost-effective management	<u>X</u>				Not sure – requires survey
(v) PA site managers share costs of common practices with each other and with PA headquarters ¹⁹	<u>X</u>				Question needs clarification of “share costs” – whether it means pooling budgets or exchanging information on costs; informally there is sharing of information, but no formal process
Total Score for Component 2					Actual score: Total possible score: 61 %:
Component 3 – Tools for revenue generation					Comment
<i>Element 1</i> - Number and variety of revenue sources used across the PA system	None (0)	Partially (1)	A fair amount (2)	Optimal (3)	
(i) An up-to-date analysis of all revenue options for the country complete and available including feasibility studies;	<u>X</u>				For system no, but for individual PAs there may be some
(ii) There is a diverse set of sources and mechanisms generating funds for the PA system			<u>X</u>		Gov’t budget, user fees, PES, TFs
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)		<u>X</u>			No analysis done; sometimes using infrastructure provided by gov’t so difficult to analyze
<i>Element 2</i> - Setting and establishment of user fees across the PA system	No (0)	Partially (1)	Satisfactor y (2)	Fully (3)	
(i) A system wide strategy and implementation plan for user fees is complete and adopted by government		<u>X</u>			Strategy exists but no implementation plan; further

¹⁹ This might include aerial surveys, marine pollution monitoring, economic valuations etc.

					research needed Need to interview
(ii) The national tourism industry and Ministry of Tourism are supportive and are partners in the PA user fee system and programmes					
(iii) Tourism related infrastructure investment is proposed and is made for PA sites across the network based on revenue potential, return on investment and level of entrance fees ²⁰		<u>X</u>			
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst still meeting PA conservation objectives		<u>X</u>			
(v) Non tourism user fees are applied and generate additional revenue	<u>X</u>				Almost never happens
Element 3 - Effective fee collection systems	None (0)	Partially (1)	Completed (2)	Operational (3)	
(i) A system wide strategy and implementation plan for fee collection is complete and adopted by PA authorities (including co-managers)		<u>X</u>			Policy exists, but extent of its application is unclear
Element 4 - Marketing and communication strategies for revenue generation mechanisms	None (0)	Partially (1)	Satisfactory (2)	Fully (3)	
(i) Communication campaigns and marketing for the public about the tourism fees, new conservation taxes etc are widespread and high profile		<u>X</u>			
Element 5 - Operational PES schemes for PAs²¹	None	Partially	Progressin	Fully	

²⁰ As tourism infrastructure increases within PAs and in turn increases visitor numbers and PA revenues the score for this item should be increased in proportion to its importance to funding the PA system.

	(0)	(1)	g (2)	(3)	
(i) A system wide strategy and implementation plan for PES is complete and adopted by government NB problem in interpreting this question because units for PES are watersheds, not PAs	<u>X</u>				Gov't decided to test the approach in a number of provinces; trial sites are watersheds, which may or may not include PAs
(ii) Pilot PES schemes at select sites developed		<u>X</u>			Ba Vi NP; Lam Dong NPs are within pilot watershed sites
(iii) Operational performance of pilots is evaluated and reported					Need more survey
(iv) Scale up of PES across the PA system is underway	<u>X</u>				
<i>Element 6 - Operational concessions within PAs</i>	None (0)	Partially (1)	Progressin g (2)	Fully (3)	
(i) A system wide strategy and implementation plan complete and adopted by government for concessions	<u>X</u>				Initial ideas being discussed
(ii) Concession opportunities are identified at appropriate PA sites across the PA system		<u>X</u>			Further survey is needed
(iii) Concession opportunities are operational at pilot sites		<u>X</u>			
(iv) Operational performance of pilots is evaluated, reported and acted upon	<u>X</u>				
<i>Element 7 - PA training programmes on revenue generation mechanisms</i>	None (0)	Limited (1)	Satisfactor y (2)	Extensive (3)	
(i) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration		<u>X</u>			Cf 2; 5; iv; no government activity; some INGOs or other organizations are involved (e.g. donor projects)

²¹ Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system

Total Score for Component 3					Actual score: Total possible score: 57%
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FINANCIAL SCORECARD – PART III – SCORING AND MEASURING PROGRESS

Total Score for PA System	
Total Possible Score	196
Actual score as a percentage of the total possible score	
Percentage scored in previous year²²	

Signature²³: _____

Director of Protected Areas System

Date: _____

²² Insert NA if this is first year of completing scorecard.

²³ In case a country does not have an official national Protected Areas system, the head of the authority with most responsibility for protected areas or the sub-system detailed in the Scorecard, should sign.

Annex 3: Capacity scorecard results

Prepared by participants in a multi-stakeholder scorecard workshop, June 2008

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	The protected area agenda is being effectively championed / driven forward	0 -- There is essentially no protected area agenda; 1 -- There are some persons or institutions actively pursuing a protected area agenda but they have little effect or influence; 2 -- There are a number of protected area champions that drive the protected area agenda, but more is needed; 3 -- There are an adequate number of able "champions" and "leaders" effectively driving forwards a protected area agenda	2	SPAM project formulated a strategy (2003), approved by Gov't decision but few people know about it! PAMB Directors know about it; decisions are based on Strategy; need authority to deal with all types of PAs
	There is a strong and clear legal mandate for the establishment and management of protected areas	0 -- There is no legal framework for protected areas; 1 -- There is a partial legal framework for protected areas but it has many inadequacies; 2 -- There is a reasonable legal framework for protected areas but it has a few weaknesses and gaps; 3 -- There is a strong and clear legal mandate for the establishment and management of protected areas	2	Focus on conservation and protection mostly
	There is an institution or institutions responsible for protected areas able to strategize and plan	0 -- Protected area institutions have no plans or strategies; 1 -- Protected area institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion; 2 -- Protected area institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation; 3 -- Protected area institutions have relevant, participatorially prepared, regularly updated strategies and plans	1.5	Only focus on SUF (terrestrial PAs); FPD deals with various different institutions to strategize and plan;

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
2. Capacity to implement policies, legislation, strategies and programmes	There are adequate skills for protected area planning and management	0 -- There is a general lack of planning and management skills; 1-- Some skills exist but in largely insufficient quantities to guarantee effective planning and management; 2 -- Necessary skills for effective protected area management and planning do exist but are stretched and not easily available; 3 -- Adequate quantities of the full range of skills necessary for effective protected area planning and management are easily available	1	
	There are protected area systems	0 -- No or very few protected area exist and they cover only a small portion of the habitats and ecosystems; 1 -- Protected area system is patchy both in number and geographical coverage and has many gaps in terms of representativeness; 2 -- Protected area system is covering a reasonably representative sample of the major habitats and ecosystems, but still presents some gaps and not all elements are of viable size; 3 -- The protected areas includes viable representative examples of all the major habitats and ecosystems of appropriate geographical scale	2	Wetlands and marine ecosystems are under-represented
	There is a fully transparent oversight authority (there are fully transparent oversight authorities) for the protected areas institutions	0 -- There is no oversight at all of protected area institutions; 1 -- There is some oversight, but only indirectly and in a non-transparent manner; 2 -- There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized) ; 3 -- There is a fully transparent oversight authority for the protected areas institutions	2	Never independent evaluation or monitoring of PA performance; needs further consideration; in reality management plan is not effective, only investment plan is implemented; not clear distinction between management and investment

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Protected area institutions are effectively led	0 -- Protected area institutions have a total lack of leadership; 1 -- Protected area institutions exist but leadership is weak and provides little guidance; 2 -- Some protected area institutions have reasonably strong leadership but there is still need for improvement; 3 -- Protected area institutions are effectively led	1.5	
	Protected areas have regularly updated, participatorially prepared, comprehensive management plans	0 -- Protected areas have no management plans; 1 -- Some protected areas have up-to-date management plans but they are typically not comprehensive and were not participatorially prepared; 2 -- Most Protected Areas have management plans though some are old, not participatorially prepared or are less than comprehensive; 3 -- Every protected area has a regularly updated, participatorially prepared, comprehensive management plan	1.5	
	Human resources are well qualified and motivated	0 -- Human resources are poorly qualified and unmotivated; 1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified; 3 -- Human resources are well qualified and motivated.	1.5	
	Management plans are implemented in a timely manner effectively achieving their objectives	0 -- There is very little implementation of management plans; 1 -- Management plans are poorly implemented and their objectives are rarely met; 2 -- Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met; 3 -- Management plans are implemented in a timely manner effectively achieving their objectives	1.5	Can achieve objectives but not efficiently or with effectiveness

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	<p>0 -- Protected area institutions typically are severely underfunded and have no capacity to mobilize sufficient resources;</p> <p>1 -- Protected area institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate;</p> <p>2 -- Protected area institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate;</p> <p>3 -- Protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate</p>		See Financial scorecard results
	Protected area institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	<p>0 -- While the protected area institution exists it has no management;</p> <p>1 -- Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal;</p> <p>2 -- The institution(s) is (are) reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way;</p> <p>3 -- The protected area institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect</p>	1.2!	
	Protected area institutions are highly transparent, fully audited, and publicly accountable	<p>0 -- Protected area institutions totally untransparent, not being held accountable and not audited;</p> <p>1 -- Protected area institutions are not transparent but are occasionally audited without being held publicly accountable;</p> <p>2 -- Protected area institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent;</p> <p>3 -- The Protected area institutions are highly transparent, fully audited, and publicly accountable</p>	1	PAMBs are occasionally audited, but these are not independent

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	There are legally designated protected area institutions with the authority to carry out their mandate	<p>0 -- There is no lead institution or agency with a clear mandate or responsibility for protected areas;</p> <p>1 -- There are one or more institutions or agencies dealing with protected areas but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements;</p> <p>2 -- There are one or more institutions or agencies dealing with protected areas, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps;</p> <p>3 -- Protected Area institutions have clear legal and institutional mandates and the necessary authority to carry this out</p>	1.5	Some overlaps exist; e.g. wetlands – can be part of SUF’s; wetlands also provide water for irrigation; many such overlaps exist; even police and provincial authorities, have responsibilities for SUFs
	Protected areas are effectively protected	<p>0 -- No enforcement of regulations is taking place;</p> <p>1 -- Some enforcement of regulations but largely ineffective and external threats remain active;</p> <p>2 -- Protected area regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated;</p> <p>3 -- Protected Area regulations are highly effectively enforced and all external threats are negated</p>	1	
	Individuals are able to advance and develop professionally	<p>0 -- No career tracks are developed and no training opportunities are provided;</p> <p>1 -- Career tracks are weak and training possibilities are few and not managed transparently;</p> <p>2 -- Clear career tracks developed and training available; HR management however has inadequate performance measurement system;</p> <p>3 -- Individuals are able to advance and develop professionally</p>	1.5	Policies are in place but implementation is weak
	Individuals are appropriately skilled for their jobs	<p>0 -- Skills of individuals do not match job requirements;</p> <p>1 -- Individuals have some or poor skills for their jobs;</p> <p>2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement;</p> <p>3 -- Individuals are appropriately skilled for their jobs</p>	1.2	People with tertiary education few; in forestry sector only a few PhDs

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Individuals are highly motivated	0 -- No motivation at all; 1 -- Motivation uneven, some are but most are not; 2 -- Many individuals are motivated but not all; 3 -- Individuals are highly motivated	1	
	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	0 -- No mechanisms exist; 1 -- Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 -- Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 -- There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	2	
3. Capacity to engage and build consensus among all stakeholders	Protected areas have the political commitment they require	0 -- There is no political will at all, or worse, the prevailing political will runs counter to the interests of protected areas; 1 -- Some political will exists, but is not strong enough to make a difference; 2 -- Reasonable political will exists, but is not always strong enough to fully support protected areas; 3 -- There are very high levels of political will to support protected areas	2	High level commitment at central level but lower level commitment at provincial level
	Protected areas have the public support they require	0 -- The public has little interest in protected areas and there is no significant lobby for protected areas; 1 -- There is limited support for protected areas; 2 -- There is general public support for protected areas and there are various lobby groups such as environmental NGO's strongly pushing them; 3 -- There is tremendous public support in the country for protected areas	1	
	Protected area institutions are mission oriented	0 -- Institutional mission not defined; 1 -- Institutional mission poorly defined and generally not known and internalized at all levels; 2 -- Institutional mission well defined and internalized but not fully embraced;	2	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
		3 – Institutional missions are fully internalized and embraced		
	Protected area institutions can establish the partnerships needed to achieve their objectives	0 -- Protected area institutions operate in isolation; 1 -- Some partnerships in place but significant gaps and existing partnerships achieve little; 2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3 -- Protected area institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner	1.5	
	Individuals carry appropriate values, integrity and attitudes	0 -- Individuals carry negative attitude; 1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 -- Many individuals carry appropriate values and integrity, but not all; 3 -- Individuals carry appropriate values, integrity and attitudes	1	
4. Capacity to mobilize information and knowledge	Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access; 2 -- Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 -- Protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system	1	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Protected area institutions have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for protected area planning, management and monitoring is widely and easily available	1.5	
	Individuals working with protected areas work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively and form functional teams		Difficult to answer – high number of individuals involved – survey required
5. Capacity to monitor, evaluate, report and learn	Protected area policy is continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually; 3 -- National protected areas policy is reviewed annually	2	
	Society monitors the state of protected areas	0 -- There is no dialogue at all; 1 -- There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 -- There is a reasonably open public dialogue going on but certain issues remain taboo; 3 -- There is an open and transparent public dialogue about the state of the protected areas	0	
	Institutions are highly adaptive, responding effectively and immediately to change	0 -- Institutions resist change; 1 -- Institutions do change but only very slowly; 2 -- Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 -- Institutions are highly adaptive, responding effectively and immediately to change	1	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	<p>0 -- There are no mechanisms for monitoring, evaluation, reporting or learning;</p> <p>1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak;</p> <p>2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be;</p> <p>3 -- Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning</p>	1	Mechanisms for reporting, but not all PAs follow – no punishment for failure
	Individuals are adaptive and continue to learn	<p>0 -- There is no measurement of performance or adaptive feedback;</p> <p>1 -- Performance is irregularly and poorly measured and there is little use of feedback;</p> <p>2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be;</p> <p>3 -- Performance is effectively measured and adaptive feedback utilized</p>	1	

Annex 4: METT tables for the PAs included in the project pilot sites

**Bai Tu Long Nation Park (11.11.2008)
METT Data Sheet**

Date of METT	Completed by	Score	Comments
			No previous METT
11.11.08	MB and NRTA	49	Most recent datasheets, included in this proposal

Summary sheet

Name, affiliation and contact details for person responsible for completing the METT (email etc.)		Ngo Vinh Dinh		
Date assessment carried out	11.11.08			
Name of protected area	Bai Tu Long NP			
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-			
Designations	National Park	IUCN Category II. National Park	International N/A	
Country	Vietnam			
Location of protected area (province and if possible map reference)	Quang Ninh province 20°55'05"-21°15'10 N, 107°30'10-107°46'20 E.			
Date of establishment	Gazetted (national level) 01 June 2001			
Ownership details (please tick)	State <input checked="" type="checkbox"/>	Private	Community	Other
Management Authority	Provincial People's Committee, Quang Ninh province			
Size of protected area (ha)	15,783 ha (including 6,125 ha terrestrial zone, 9,656 ha marine zone)			
Number of staff	Permanent ?		Temporary ?	
Annual budget (US\$) – excluding staff salary costs	Recurrent (operational) funds excluding staff costs, 2007: US\$		Project or other supplementary funds, 2008: US\$	
What are the main values for which the area is designated				
List the two primary protected area management objectives				
Management objective 1	Management and sustainable use of natural resources on the islands of Bai Tu Long NP			
Management objective 2	Improve livelihoods of the poorest communities inside and outside the NP to reduce impacts on the NP			
No. of people involved in completing assessment				
Including: (tick boxes)	PA manager <input checked="" type="checkbox"/>	PA staff <input checked="" type="checkbox"/>	Other PA agency staff <input type="checkbox"/>	NGO <input type="checkbox"/>
	Local community <input type="checkbox"/>	Donors <input type="checkbox"/>	External experts <input checked="" type="checkbox"/>	Other <input type="checkbox"/>
Please note if assessment was carried out in association with a particular project, on behalf of an organisation or donor.		For VCF		

Assessment Form
(Bai Tu Long NP, 11.11.08)

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
1. Legal status Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)? <i>Context</i>	The protected area is not gazetted/covenanted	0		The NP was gazetted in 2001 under Decision 85/2001/QD/TTg dated 01 June 2001.	
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun	1			
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete	2			
	The protected area has been formally gazetted/covenanted	3	x		
2. Protected area regulations Are appropriate regulations in place to control land use and activities (e.g. hunting)? <i>Planning</i>	There are no regulations for controlling land use and activities in the protected area	0		Some regulations on natural resources and the park's activities have been issued, but implementation has been limited due to several causes.	Improve all regulations of the NP and develop good implementation.
	Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses	1			
	Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps	2	x		
	Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	3			
3. Law enforcement Can staff enforce protected area rules well enough? <i>Input</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations	0		The NP's staff is able to implement all regulations, but their capacity is limited. There are not enough staff and they lack necessary conditions (such as equipment etc.).	Capacity building for staff is needed through training courses, and provision of more equipment.
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)	1			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2	x		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations	3			
4. Protected area objectives Is management undertaken according to agreed objectives? <i>Planning</i>	No firm objectives have been agreed for the protected area	0		The NP's objectives were identified, but there are limitations in implementing processes (as above).	Capacity building for MB managers and rangers is needed to implement the park's objectives.
	The protected area has agreed objectives, but is not managed according to these objectives	1			
	The protected area has agreed objectives, but is only partially managed according to these objectives	2	x		
	The protected area has agreed objectives and is managed to meet these objectives	3			
5. Protected area design	Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult	0		The park's design is good, but implementing of its objectives is	All the NP's staff must put more effort into

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
Is the protected area the right size and shape to protect species and habitats of key conservation concern? <i>Planning</i>	Inadequacies in protected area design mean that achievement of major objectives is very difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors)	1		still limited (as above)	implementing the park's objectives.
	Protected area design is not significantly constraining achievement of objectives, but could be improved	2	x		
	Protected area design helps aid achievement of objectives	3			
6. Protected area boundary demarcation Is the boundary known and demarcated? <i>Process</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users	0		In general, the NP's boundaries have been identified, but in some places there is still a lack of demarcation or demarcation does not meet Government criteria. The boundaries of all sub-zones are mapped but still lack of demarcation (land as well as marine areas).	The demarcation process needs to be completed. Boundary meetings need to be conducted to educate local people in order to stop all violations in the land and in the coastal wetland areas.
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users	1			
	The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated	2	x		
	The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated	3			
7. Management plan Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area	0	x	The Park only has an Investment Plan, no OMP.	The OMP needs to be developed under the VCF project.
	A management plan is being prepared or has been prepared but is not being implemented	1			
	A management plan exists but it is only being partially implemented because of funding constraints or other problems	2			
	A management plan exists and is being implemented	3			
Additional points: Planning					
7a. Planning process	The planning process allows adequate opportunity for key stakeholders to influence the management plan	+1			
7b. Planning process	There is an established schedule and process for periodic review and updating of the management plan	+1			
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning	+1			
8. Regular work plan Is there a regular work plan and is it being implemented? <i>Planning/Outputs</i>	No regular work plan exists	0		Daily, weekly, monthly and quarterly work plans of the NP are developed by the MB, but the MB is still limited in the implementing process.	There need to be an increase in capacity for all aspects of MB operations in order to implement the developed plans.
	A regular work plan exists but few of the activities are implemented	1	x		
	A regular work plan exists and many activities are implemented	2			
	A regular work plan exists and all activities are implemented	3			
9. Resource inventory Do you have enough	There is little or no information available on the critical habitats, species and cultural values of the protected area	0		There is only preliminary survey data on natural forest and marine	More surveys on forest and coastal biodiversity

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
information to manage the area? <i>Input</i>	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1	x	resources, but it is old (data from 2002-03) and there has been no chance to conduct re-surveys and update information.	are needed, especially the cave ecosystem and coastal wetland.
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2			
	Information on the critical habitats, species and cultural values of the protected area is sufficient to support all areas of planning and decision making	3			
10. Protection systems Are systems in place to control access/resource use in the protected area? <i>Process/Outcome</i>	Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use	0		The Park has 23 rangers, one forest protection section, one mobile unit and three guard stations. However, their capacity for conservation work and law enforcement activities is limited.	Capacity building is needed for the MB, especially the ranger force (through training programmes and providing needed equipments for forest and coastal wetland protection).
	Protection systems are only partially effective in controlling access/resource use	1			
	Protection systems are moderately effective in controlling access/resource use	2	x		
	Protection systems are largely or wholly effective in controlling access/resource use	3			
11. Research Is there a programme of management-orientated survey and research work? <i>Process</i>	There is no survey or research work taking place in the protected area	0		Only preliminary surveys and studies on natural resources of the park were conducted due to no funds. There has been no follow up research programme in order to update information since 2003.	More funds and capacity building for MB in research activities is needed, as well as more supporting projects from outside (such as a VCF grant). Development of a biodiversity M&E system is needed.
	There is a small amount of survey and research work but it is not directed towards the needs of protected area management	1	x		
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2			
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	3			
12. Resource management Is active resource management being undertaken? <i>Process</i>	Active resource management is not being undertaken	0		There are some activities in management of natural forest and coastal wetland resources, but still a limitation of capacity, numbers of staff and equipment.	There is a need for capacity building for effective management of natural forest and coastal wetland resources. Propaganda is needed to encourage participation in resource management of local communities (villages are living inside the NP as well as in the buffer zone).
	Very few of the requirements for active management of critical habitats, species and cultural values are being implemented	1			
	Many of the requirements for active management of critical habitats, species and cultural values are being implemented but some key issues are not being addressed	2	x		
	Requirements for active management of critical habitats, species and cultural values are being substantially or fully implemented	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
13. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff	0		The number of staff is 46, but in the NP's Investment Plan the suggested number is 75.	Request PPC to provide the number of staff as in the approved Investment Plan.
	Staff numbers are inadequate for critical management activities	1			
	Staff numbers are below optimum level for critical management activities	2	x		
	Staff numbers are adequate for the management needs of the protected area	3			
14. Staff training Are staff adequately trained to fulfil management objectives? <i>Inputs/Process</i>	Staff lack the skills needed for protected area management	0		There are a few staff who have passed training courses, but there are not often good chances to join the courses concerned in management and conservation of NPs, especially NPs including forest and coastal wetland areas.	More training courses need to be conducted at the NP (included management and conservation subjects of terrestrial forest and coastal wetland areas) as in the proposal for a VCF grant.
	Staff training and skills are low relative to the needs of the protected area	1	x		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	2			
	Staff training and skills are aligned with the management needs of the protected area	3			
15. Current budget Is the current budget sufficient? <i>Inputs</i>	There is no budget for management of the protected area	0		The NP's budget is now only enough for staff salaries, infrastructure building, and funds for planting native trees (e.g. the NP has planted 4 ha of <i>Lim Xanh</i> and 4 ha of <i>Podocarpus</i>). The budget for buying petrol for patrolling activities on the sea is only enough for 50% of the total planned patrols.	PPC will be requested to provide enough budget for needed activities and to ensure that it is provided in a timely manner during the year.
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1	x		
	The available budget is acceptable but could be further improved to fully achieve effective management	2			
	The available budget is sufficient and meets the full management needs of the protected area	3			
16. Security of budget Is the budget secure? <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding	0		The budget received is less than the amount in the accepted proposal, but it has been provided on time through the year.	There is a need to provide a budget of the same amount as in the proposal and on time through the year.
	There is very little secure budget and the protected area could not function adequately without outside funding	1			
	There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding	2	x		
	There is a secure budget for the protected area and its management needs	3			
17. Management of budget Is the budget managed to meet critical	Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)	0		The budget manager has passed a training course, but need more re-training in the future.	Continue to training the budget manager, including VCF budget management.
	Budget management is poor and constrains effectiveness	1			
	Budget management is adequate but could be improved	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
management needs? <i>Process</i>	Budget management is excellent and meets management needs	3			
18. Equipment Is equipment sufficient for management needs? <i>Input</i>	There are little or no equipment and facilities for management needs	0		There is some equipment (motorboats, computers, office furniture) but the MB needs more in the future.	More equipment will be requested, especially for conservation activities of the ranger force (see VCF project proposal)
	There are some equipment and facilities but these are inadequate for most management needs	1			
	There are equipment and facilities, but still some gaps that constrain management	2	x		
	There are adequate equipment and facilities	3			
19. Maintenance of equipment Is equipment adequately maintained? <i>Process</i>	There is little or no maintenance of equipment and facilities	0		The MB has paid attention to maintenance of existing equipment, but not in a timely manner due to budget limitations.	There is a need for regular budget to do this.
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1			
	There is basic maintenance of equipment and facilities	2	x		
	Equipment and facilities are well maintained	3			
20. Education and awareness Is there a planned education programme linked to the objectives and needs? <i>Process</i>	There is no education and awareness programme	0		Education and awareness activity have been started (2002-2003), but it still has limitations in several aspects (size of programme, target).	There is a need for more activities as in the VCF project proposal (package 2).
	There is a limited and <i>ad hoc</i> education and awareness programme	1	x		
	There is an education and awareness programme but it only partly meets needs and could be improved	2			
	There is an appropriate and fully implemented education and awareness programme	3			
21. Planning for land use Does land use planning recognise the protected area and aid the achievement of objectives? <i>Planning</i>	Adjacent land use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area	0		The identification of the NP's boundary and its buffer zone is considered as a land use planning activity, but there has been limited planning for coastal wetland areas.	There is a need to complete activities concerned land use planning in order to support conservation work of the park.
	Adjacent land use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area	1			
	Adjacent land use planning partially takes into account the long term needs of the protected area	2	x		
	Adjacent land use planning fully takes into account the long term needs of the protected area	3			
22. State and commercial neighbours Is there co-operation with adjacent land users? <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users	0		There is contact between the MB and neighbouring land users as well as local people. (There are no forest or fishery enterprises bordering onto the NP.)	There is a need to promote good collaboration relationship between the MB and neighbours.
	There is contact between managers and neighbouring official or corporate land users but little or no cooperation	1			
	There is contact between managers and neighbouring official or corporate land users, but only some co-operation	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management	3			
23. Indigenous people Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area	0		Indigenous peoples have had inputs into some activities relating to management proposals of NP (such as forest plantation/661, sustainable exploitation of coastal products).	More promotion of these activities is needed in the coming time, to mobilize participation of indigenous people in Park management.
	Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management	1			
	Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved	2	x		
	Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	3			
24. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area	0		As above.	As above.
	Local communities have some input into discussions relating to management but no direct role in management	1			
	Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved	2	x		
	Local communities directly participate in all relevant decisions relating to management, e.g. co-management	3			
Additional points <i>Local communities/indigenous people</i>					
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1			
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1	x	See point 25, below.	
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1			
25. Economic benefit Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services? <i>Outcomes</i>	The protected area does not deliver any economic benefits to local communities	0		More job provision; protection forest contracts under 661 Programme; planning and issue of permission for aquaculture, loans for livestock (in Minh Chau commune).	These activities will be promoted more in the future.
	Potential economic benefits are recognised and plans to realise these are being developed	1			
	There is some flow of economic benefits to local communities	2	x		
	There is a major flow of economic benefits to local communities from activities associated with the protected area	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
26. Monitoring and evaluation Are management activities monitored against performance? <i>Planning/Process</i>	There is no monitoring and evaluation in the protected area	0		There are some biodiversity monitoring activities, but these activities do not strictly follow monitoring processes.	There is a need for development of a biodiversity M&E system for the park (as in VCF project proposal, package 1).
	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1	x		
	There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	2			
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management	3			
27. Visitor facilities Are visitor facilities adequate? <i>Outputs</i>	There are no visitor facilities and services despite an identified need	0	x	There is no ecotourism programme at the park.	Firstly, an ecotourism programme could be developed in Minh Chau commune (see VCF project proposal).
	Visitor facilities and services are inappropriate for current levels of visitation	1			
	Visitor facilities and services are adequate for current levels of visitation but could be improved	2			
	Visitor facilities and services are excellent for current levels of visitation	3			
28. Commercial tourism operators Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area	0			
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1	x		
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	2			
	There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	3			
29. Fees If fees (i.e. entry fees or fines) are applied, do they help protected area management? <i>Inputs/Process</i>	Although fees are theoretically applied, they are not collected	0	x		
	Fees are collected, but make no contribution to the protected area or its environs	1			
	Fees are collected, and make some contribution to the protected area and its environs	2			
	Fees are collected and make a substantial contribution to the protected area and its environs	3			
30. Condition of values What is the condition of the important values of the protected area? <i>Outcomes</i>	Many important biodiversity, ecological or cultural values are being severely degraded	0		Some biodiversity values are being severely degraded in comparison with some years ago (for example biodiversity resources in Ba Mun island). The Bai Tu Long landscape has been well protected.	Protection of natural forest and coastal resources will be strengthened. More funds are needed for research and surveys in order to find good solutions for conservation, especially for key species and sensitive habitats.
	Some biodiversity, ecological or cultural values are being severely degraded	1			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2	x		
	Biodiversity, ecological and cultural values are predominantly intact	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
Additional Points: <i>Condition of values</i>					
30a: Condition of values	The assessment of the condition of values is based on research and/or monitoring	+1			
30b: Condition of values	Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	+1			
30c: Condition of values	Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	+1	x	All activities of the MB focus on maintenance and conservation of cultural values in the park.	These activities will be strengthened in the coming time, especially under the VCF project.
TOTAL SCORE			49		

**Bidoup Nui Ba NP
METT Data Sheet**

Name of protected area	Bi Doup – Nui Ba Nature Reserve	
Location of protected area (if possible, map reference)	Lac Duong District, Lam Dong Province, 12 km from Da Lat City Latitude: 12°00' – 12°19'N Longitude: 108°21' – 108°44'E	
Date of establishment (distinguish between “agreed” and “gazetted”)	Decreed as a nature reserve on 9 August 1986 by Decision no. 194/CT of the Chairman of the Council of Ministers. A Special-Use Forest management board was established by Decision no. 1496/QD-UBTC of the Lam Dong Provincial People's Committee, dated 20 October 1993. This Special-Use Forest management board was revised to a nature reserve management board on 26 December 2002 by Decision no. 183/QD-UB of the Lam Dong Provincial People's Committee.	
Ownership details (i.e. owner, tenure rights, etc.)	Management board of Bi Doup – Nui Ba Nature Reserve (state-owned)	
Management authority	Department of Agriculture and Rural Development of Lam Dong Province	
Size of protected area (ha)	Core zone: 64,366 ha Buffer zone: 32,283 ha	
Designations (IUCN category, World Heritage, Ramsar, etc.)	Nature Reserve (IUCN Category Ib (Wilderness Area))	
Reasons why protected area was designated	1. To protect and develop the fauna and flora of the Bi Doup – Nui Ba area. 2. To protect the upper Da Nhim and upper Srepok catchments.	
Brief details of World Bank-funded project or projects in PA	None	
Brief details of other international donor-funded projects in PA	None	
Brief details of government projects in PA	The national 661 Programme is funding forest protection contracts (c. VND 660 million per year). The provincial budget is covering staff salaries and agroforestry (c. VND 622 million per year).	
List of top two protected area objectives		
Objective 1	To conserve all plant and animal populations in the nature reserve, and rehabilitate degraded forest areas.	
Objective 2	To enhance the protection of the upper Da Nhim and upper Srepok catchments.	

List of top two most important threats to the PA (and indicate reasons why these were chosen)	
Threat 1	Over-exploitation of NTFPs (orchids, ornamental plants, medicinal plants, chestnuts, etc.) for both sale and domestic use.
Threat 2	Hunting of animals by both local people and outsiders, for sale and domestic use.

Dates assessment carried out:

4-10 October 2003

Names of SUF staff:

Do Manh Hung, Nguyen Thi Chi, Nguyen Trong Thu, Nguyen Ba Hoa

Stakeholders consulted:

Villagers of Klong Lanh Village, Da Chias Commune, and Lat Commune, Lac Duong District

Issue	Criteria	Score	Comments	Next steps
1. Legal status	The protected area is not gazetted		The site has been decreed as a nature reserve according to Decision no. 194/CT of the Chairman of the Council of Ministers dated 9 August 1986.	Upgrade the site to national park status.
Does the park have legal status?	The government has agreed that the protected area should be gazetted but has done nothing about it as yet			
	The protected area is in the process of being gazetted but the process is still incomplete			
<i>Context</i>	The protected area has been legally gazetted (or in the case of private reserves is owned by a trust or similar)	3		
2. Protected area regulations	Mechanisms for controlling inappropriate land use and activities in the protected area are not in place		The protected area is situated far from residential areas, and is generally well-managed. However, a number of problems remain, particularly: a shortage of staff; low staff capacities (most members of staff have only a basic knowledge of forestry, and lack understanding of conservation); unclear forestry and agricultural land-use plans regarding the protected area, and lack of clear demarcation on the ground; and part of Nui Ba Mountain is under the management of the provincial tourism company. The number of visitors to this area is too high, and inappropriate infrastructure has been constructed, placing increased pressures on the natural resources of the (contiguous) protected area.	<ul style="list-style-type: none"> • Increase the number of guard stations from six to 12, and increase the number of forest guards from one per station to four or five. This would result in a total number of nature reserve staff of 71, including 62 forest guards. • Provide essential equipment (radio and solar batteries, motorboats, cars, motorcycles, GPS units, binoculars, compasses, protective clothing, etc.). • Train nature reserve staff in protected areas regulations and law enforcement, biodiversity surveying and management, and GPS use. • Clarify forestry and agricultural land-use in the area, through the issuance of Red Books and clear demarcation of ownership on the ground. • Cooperate with the provincial tourism company to limit the impacts of tourism on key areas for biodiversity conservation. • Re-allocate profits from tourism to the nature reserve budget to support conservation activities.
Are inappropriate land uses and activities (e.g. poaching) controlled?	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them	2		
<i>Context</i>	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented			
3. Law enforcement	The staff have no effective capacity to enforce protected area legislation and regulations		<ul style="list-style-type: none"> • The capacity of the nature reserve staff is very low, the number of forest guard stations is insufficient, and local people still depend heavily on forest resources from within the nature reserve. • Most of the nature reserve staff are 	<ul style="list-style-type: none"> • Increase the number of guard stations from six to 12 stations, and increase the number of forest guards from one per station to four or five. This would result in a total number of nature reserve staff of 71, including 62 forest guards. • Establish an FPD sub-unit within the nature reserve (or national park in the future).
Can staff enforce protected area rules well enough?	There are major deficiencies in staff capacity to enforce protected area legislation and regulations (e.g. lack of skills, low patrol capacity)	1		
	The staff have acceptable capacity to enforce protected area legislation and regulations but some deficiencies remain			

Issue	Criteria	Score	Comments	Next steps
<i>Context</i>	The staff have excellent capacity to enforce protected area legislation and regulations		<p>not members of the FPD, and, therefore, have insufficient law enforcement powers.</p> <ul style="list-style-type: none"> Nature reserve staff lack basic ranger skills. Commune forest protection boards are still under development; therefore, collaboration with local communes is weak. 	<p>(a) Hold training courses on basic ranger skills.</p> <p>(b) Establish commune forest protection boards.</p> <p>(c) Enhance collaboration with relevant communes in forest and biodiversity conservation activities.</p>
4. Protected area objectives	No firm objectives have been agreed for the protected area		<ul style="list-style-type: none"> The objectives of the nature reserve are set out in the investment plan, which was prepared in consultation with, and agreed by, stakeholders at all levels. 	<ul style="list-style-type: none"> Disseminate the nature reserve's objectives among local authorities and communities. Strengthen the capacity of the nature reserve management board (in terms of funding, number of staff, knowledge, skills, etc.) to enable it to effectively implement the defined objectives. Increase support from authorities at all levels for the nature reserve's objectives. Collaborate with all stakeholders to meet the nature reserve's objectives.
Have objectives been agreed?	There are some objectives, but these are out-dated and bear little resemblance to the way that the site is managed			
<i>Planning</i>	There are clear objectives for the establishment and management of the protected area, but these were set by a few professionals			
	The protected area has clear objectives agreed by a wide range of stakeholders	3		
5. Protected area boundary design	Inadequacies in boundary design mean that achievement of major objectives of the protected area is impossible		<ul style="list-style-type: none"> The boundary is appropriate, and includes most key habitats in Lam Dong Province. Most areas of agricultural land are excluded from the nature reserve. Significant areas of natural habitat in Ninh Thuan and Khanh Hoa Provinces, contiguous with the nature reserve, are not currently under conservation management. The conservation of these areas will support the long-term maintenance of key elements of biodiversity within Bi Doup – Nui Ba. 	<ul style="list-style-type: none"> Improve coordination with the management board of the contiguous Chu Yang Sin National Park in Dak Lak Province Work with the relevant authorities in Ninh Thuan and Khanh Hoa Provinces to ensure the conservation of contiguous forest areas and, hence, the long-term maintenance of the biodiversity values of Bi Doup – Nui Ba.
Does the protected area need enlarging, corridors etc to meet its objectives?	Inadequacies in boundary design mean that achievement of major objectives of the protected area are constrained to some extent			
<i>Planning</i>	Boundary design is not constraining achievement of major objectives of the protected area	2		
	Reserve design features are significantly aiding achievement of major objectives of the protected area			
6. Protected area boundary demarcation	The boundary of the protected area is not known by the management authority or local residents		<ul style="list-style-type: none"> The nature reserve boundary was identified without the participation of local communities. 	<ul style="list-style-type: none"> Hold boundary demarcation workshops with local communities and other stakeholders. Demarcate the nature reserve boundary on the ground, and erect boundary markers and
	The boundary of the protected area is known by the management authority but is not known by local residents			

Issue	Criteria	Score	Comments	Next steps
Is the boundary known and demarcated? <i>Context</i>	The boundary of the protected area is known by both the management authority and local residents but is not fully demarcated	2	<ul style="list-style-type: none"> • All relevant local authorities are aware of the location of the nature reserve boundary, but not all local communities are. • There are no boundary markers or signboards on the ground. 	signboards.
	The boundary of the protected area is known by the management authority and local residents and is fully demarcated			
7. Management plan Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area		<ul style="list-style-type: none"> • An investment plan was prepared and approved by the Lam Dong Provincial People's Committee in 2002. • An Operational Management Plan is currently under preparation, with the support of the Cat Tien National Park Conservation Project. 	Finalise the Operational Management Plan in consultation with key stakeholders, introduce it to all nature reserve staff, and begin implementation.
	A management plan is being prepared or has been prepared but is not being implemented	1		
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems			
	An approved management plan exists and is being implemented			
Additional points	The planning process allows adequate opportunity for adjacent stakeholders to influence the plan	+1	Local stakeholders (management board, local authorities, and communities from Da Chais and Lat Communes) are closely involved in the process to develop the Operational Management Plan.	Initiate a process to periodically review and revise the Operational Management Plan.
	There is an established schedule and process for periodic review of the management plan			
8. Annual work plan Is there an annual work plan? <i>Planning/ Outputs</i>	No annual work plan exists		<ul style="list-style-type: none"> • An annual work plan, approved by the Provincial People's Committee, exists, and most activities have been completed. • A major constraint is the absence of a monitoring and evaluation mechanism. • Another constraint is that the work plan is only for forest management, and does not include any activities for biodiversity conservation. 	<ul style="list-style-type: none"> • Build the capacity of the management board to enable it to plan for biodiversity conservation activities. • Develop a monitoring and evaluation mechanism for work plan implementation.
	An annual work plan and actions but activities are not monitored against this			
	An annual work plan exists and actions are monitored against this, but many activities are not completed	2		
	An annual work plan exists, and actions are monitored against this and most or all prescribed activities are completed			

Issue	Criteria	Score	Comments	Next steps
9. Resource inventory	There is little or no information available on the critical habitats, species, and cultural values of the protected area		A few baseline biodiversity surveys have been conducted by BirdLife	<ul style="list-style-type: none"> • Collate existing data from previous surveys. • Conduct additional surveys to gain a

Issue	Criteria	Score	Comments	Next steps
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1		
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained			
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being maintained			
10. Research Is there a programme of management-orientated survey and research work? <i>Inputs</i>	There is no survey of research work	0	The management board has no research programme, as no budget has been allocated for this activity, and because it lacks the necessary manpower. In the past, a few expeditions were carried out by international and national institutions, but few data were returned to the management board.	<ul style="list-style-type: none"> • Hold training courses on survey techniques for key taxa, such as primates, ungulates, birds, and conifers. • Conduct research on the sustainable use of natural resources. • Conduct research on appropriate fire management regimes. • Initiate a monitoring programme for key species (particularly endemic species).
	There is some <i>ad hoc</i> survey and research work			
	There is considerable survey and research work but no overall programme			
	There is a comprehensive, integrated programme of survey and research work			
11. Resource management Is the protected area adequately managed (e.g. for fire, invasive species, poaching)? <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed		<ul style="list-style-type: none"> • The broad management needs for key ecosystems and species at the site have been identified by BirdLife International experts in 1993 and 1995, but have not been conveyed to the nature reserve staff. • The management objectives of the nature reserve are very general, and lack consideration of the specific management requirements of particular ecosystems and species. The management board lacks funding to conduct such activities as actively controlling illegal logging and hunting. 	<ul style="list-style-type: none"> • Formulate broad management needs for key ecosystems and species at the site (based on available data), refine these through detailed field studies, and formulate appropriate management interventions. • Seek assistance from specialists to help the management board to understand the biodiversity values of the site, and to identify appropriate management interventions. • Ensure that the Operational Management Plan and annual workplans address key threats to key species and ecosystems.
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being addressed	1		
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed			
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully addressed			

Issue	Criteria	Score	Comments	Next steps
12. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff		Staff numbers are below the optimum level, and their academic and professional qualifications are generally low. (There are ten permanent members of staff, and ten part-time contracted staff).	Increase the number of staff to 71, including 62 forest guards.
	Staff numbers are so inadequate that they seriously hamper site management	1		
	Staff numbers are below optimum level			
	Staff numbers, are in tune with the management needs of the site			
13. Staff training Is there enough training for staff? <i>Inputs/Process</i>	Staff are untrained		<ul style="list-style-type: none"> • Staff training and skills are inadequate (of the ten permanent members of staff, one is educated to basic level, five to intermediate level, and only four to engineer level). • Three members of staff have attended short training courses on biodiversity conservation at Cuc Phuong and Cat Tien National Parks. • One member of staff has attended a short training course on fire-control skills. 	<ul style="list-style-type: none"> • Recruit more better-educated staff. • Provide staff training in different skill areas, with a focus on biodiversity conservation and management, ecological monitoring, ranger skills, foreign and ethnic minority languages, and computer skills.
	Staff training and skills are inadequate for the needs of the protected area	1		
	Staff training and skills are acceptable, but could be further improved to fully achieve the goals/objectives of management			
	Staff training and skills are perfectly in tune with the management needs of the site			
14. Current budget Is the current budget sufficient?	There is no budget for the protected area		<ul style="list-style-type: none"> • The current budget for the nature reserve comes from the national 661 Programme for forest protection contracts for c.13,000 ha of forest (c.VND 660 million per year in total), and from 	<ul style="list-style-type: none"> • Increase the funding received from the 661 Programme from 13,000 to 15,000 ha of forest protection contracts. • Allocate funds from the provincial budget for civil work (ten guard stations), patrolling, guard station equipment, and transport.
	The available budget is inadequate and presents a serious constraint to the capacity to manage	1		
	The available budget is acceptable, but could be further improved to fully achieve effective management			

Issue	Criteria	Score	Comments	Next steps
<i>Inputs</i>	The available budget is sufficient and meets the management needs of the site		<p>the provincial budget (c.VND 620 million per year in total). Excluding funds for forest protection activities, the total budget for nature reserve management is c.VND 150 million per year, which must cover staff salaries and all other activities of the management board.</p> <ul style="list-style-type: none"> • There are no specific funds allocated for patrolling, civil works, equipment, training, and research. 	<ul style="list-style-type: none"> • Allocate funds from the provincial budget for training (both long- and short-term). • Allocate funds from the provincial budget for scientific research programmes. • Apply to the VCF for matching funds to support conservation management activities at the nature reserve.

Issue	Criteria	Score	Comments	Next steps
15. Security of budget	There is no secure budget for the protected area and management is wholly reliant on outside funding		<ul style="list-style-type: none"> There are currently only two sources of budget for the nature reserve: the national 661 Programme, and the provincial budget. 	Identify other sources of financial support (from government, donors, and international agencies) for long-term conservation management, especially funding for capacity-building and research and monitoring.
Is the budget secure?	There is very little secure budget and the protected area could not function adequately without outside funding	1		
<i>Inputs</i>	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding			
	There is a secure budget for the protected area and its management needs			
16. Management of budget	Budget management is very bad and significantly undermines effectiveness		Current budget management is adequate to achieve the objectives of the nature reserve, but could be improved. In particular, the management board has no prior experience with managing funds from non-government sources.	<ul style="list-style-type: none"> Provide training on financial management to the management board. Strengthen the capacity of the Accountancy Section, to enable it to manage bigger investments in the future. Provide essential equipment (i.e. computer, printer, internet access and accountancy software).
Is the budget managed well enough?	Budget management is poor and constrains effectiveness			
<i>Process</i>	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
17. Maintenance	No maintenance of equipment/facilities is undertaken		Insufficient financial resources are available for maintaining existing equipment. Therefore, equipment is only maintained when broken, or prior to the high fire risk season.	Develop regulations for regular maintenance of nature reserve equipment, and provide necessary funds for equipment upkeep in future budgets.
Is equipment adequately maintained?	Maintenance is undertaken only on an <i>ad hoc</i> or emergency basis	1		
<i>Process</i>	Most equipment/facilities are regularly maintained			
	All equipment/facilities are regularly maintained			
18. Personnel management	Problems with personnel management significantly constrain management effectiveness		Personnel management is adequate, but could be improved, particularly if the number of staff increases as recommended in the investment plan.	<ul style="list-style-type: none"> If the number of staff increases, the structure of the management board should be revised to include other functional sections. Training in personnel management should be provided for the nature reserve directorate.
Is the staff managed well enough?	Problems with personnel management partially constrain management effectiveness			
<i>Process</i>	Personnel management is adequate but could be improved	2		
	Personnel management is excellent and aids effectiveness			
19. Communication and outreach	There is little or no communication between managers and stakeholders involved in the protected area		<ul style="list-style-type: none"> There is no formal communications mechanism 	<ul style="list-style-type: none"> Allocate more staff and funding for

Issue	Criteria	Score	Comments	Next steps
Is there a planned communication and outreach programme? <i>Process</i>	There is communication between managers and stakeholders but this is <i>ad hoc</i> and not part of a planned communication programme	1	<ul style="list-style-type: none"> between the management board and local stakeholders, apart from the regular attendance of a forest guard at monthly commune meetings that deal with forest protection issues. Prohibition of forest encroachment has been announced to local communities by forest guards based at the guard stations. 	<p>communications and outreach activities.</p> <ul style="list-style-type: none"> Develop a formal communications mechanism between the management board and local stakeholders, especially local communities, local authorities, and other enforcement agencies. Develop a mechanism for announcing prohibitions on forest encroachment.
	There is a planned communication programme that is being used to build support for the protected area amongst relevant stakeholders but implementation is limited			
	There is a planned communication programme that is being used to build support for the protected area amongst relevant stakeholders			
20. State and commercial neighbours Is there co-operation with adjacent land users? <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users	1	<ul style="list-style-type: none"> Regular contacts with neighbouring land owners (i.e. the management boards of Thuong Da Nhim and Srepok Watershed Protection Forests and Nui Ba Tourism Service Area) exist, but effectiveness is limited. Currently, no agreements for co-management of shared borders have been signed with neighbouring land owners. 	<ul style="list-style-type: none"> Develop a mechanism for cooperation and information exchange between the management board and neighbouring land owners. Sign agreements for co-management of shared borders with neighbouring land owners. Encourage the management board of Nui Ba Tourism Service Area to educate visitors to avoid negative impacts on the nature reserve, and to share profits from tourism activities.
	There is limited contact between managers and neighbouring official or corporate land users			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation			
	There is regular contact between managers and neighbouring official or corporate land users, and substantial cooperation on management			
21. Indigenous people Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to its management	1	<ul style="list-style-type: none"> Indigenous communities had no input into the preparation of the investment plan, but they have been fully involved in the preparation of the Operational Management Plan. Six forest guards are based in local villages to liaise and exchange information with local communities. 	<ul style="list-style-type: none"> Develop a mechanism to facilitate local communities' input into the nature reserve management planning processes, and participation in conservation activities. Develop a network of commune forest guards to act as focal points for community participation in nature reserve management. Provide training for nature reserve staff in community liaison.
	Indigenous and traditional peoples have some input into discussions relating to its management but no direct involvement in decisions			
	Indigenous and traditional peoples directly contribute to some decisions relating to its management			
	Indigenous and traditional peoples directly contribute to all decisions relating to its management			
22. Local communities Do local communities resident or near the protected area have	Local communities have no input into decisions relating to its management	1	Local communities consist of indigenous minorities. Comments are therefore the same as above.	The next steps are the same as above.
	Local communities have some input into discussions relating to its management but no direct involvement in the resulting decisions			
	Local communities directly contribute to some decisions relating to its management			

Issue	Criteria	Score	Comments	Next steps
input to management decisions? <i>Process</i>	Local communities directly contribute to most decisions relating to its management			
Additional points <i>Outputs</i>	There is open communication and trust between local stakeholders and protected area managers	+1	All the nature reserve's activities are openly discussed with local authorities and communities. Local authorities and communities have been involved in the preparation of the Operational Management Plan.	Continue to build on the open communications and trust between local stakeholders and protected area managers.
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented			
23. Visitor facilities Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services	0	At the moment, no tourism infrastructure exists inside the nature reserve, although a major tourism site, the Nui Ba Tourism Services Area, is located immediately outside of the nature reserve.	The nature reserve has high potential for ecotourism development, due to its beautiful scenery. However, in the present legislative, infrastructural, and manpower context, the management board does not desire any tourism development within the nature reserve for at least the next five years.
	Visitor facilities and services are inadequate for current levels of visitation			
	Visitor facilities and services are excellent for current levels of visitation			
24. Commercial tourism Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area	0	There is no direct contact between the nature reserve management board and any tourism operators using adjacent areas. There is no benefit-sharing from tourism for conservation activities.	Investigate mechanisms for closer cooperation between the nature reserve and the management boards of adjacent tourist sites, particularly the Nui Ba Tourism Services Area. In particular, the potential for mitigating the impacts of tourism on biodiversity, and in using tourism revenues to support conservation activities should be investigated.
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and protect park values			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences and protect park values			
25. Tourism fees Does the protected area charge fees for tourists?	There is no fee for visiting the protected area		Not applicable.	
	There is a fee for visiting the protected area, but it goes straight to central government and is not returned to the park or its environs			
	There is a fee for visiting the protected area, that ends up with the local authority			

Issue	Criteria	Score	Comments	Next steps
<i>Outputs</i>	There is a fee for visiting the protected area that helps to support this or other protected areas			
26. Condition assessment	Many of the most important biodiversity, ecological and cultural values are being severely degraded		The Strict Protected Areas are mostly intact and only parts of the forest Rehabilitation Areas have been impacted by fires, hunting, and shifting cultivation.	<ul style="list-style-type: none"> • Conduct awareness-raising activities for local communities about the biodiversity and economic values of the nature reserve. • Strengthen the capacities of nature reserve staff to engage local communities in conservation.
Is the protected area being managed consistent to its objectives?	Some of the most important biodiversity, ecological and cultural values are being severely degraded			
<i>Outcomes</i>	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2		
	Biodiversity, ecological and cultural values are predominantly intact			
27. Access assessment	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated objectives		<ul style="list-style-type: none"> • Protection systems for controlling access to, and use of, natural resources within the nature reserve are only partly effective. • There are plans to build a new road (no. 723, to open in 2004) from Da Lat to Nha Trang through the Bi Doup sector of the nature reserve. The stretch of road through the nature reserve will be seven km long and 24 m wide, and will present many challenges for nature reserve management, as it may fragment natural habitats and increase access to forest resources. 	<ul style="list-style-type: none"> • Recruit more forest guards to control all access routes to the forest. • Strictly control human settlement in sensitive areas, especially along the planned road no. 723.
Are the available management mechanisms working to control access or use?	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives	1		
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives			
<i>Outcomes</i>	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated objectives			

Issue	Criteria	Score	Comments	Next steps
28. Economic benefit assessment	There is little or no flow of economic benefits to local communities from the existence of the protected area		The principal direct economic benefit accruing to local communities from the existence of the nature reserve is forest protection contracts, although the benefits from these are short-term and limited. Indirect benefits include water catchment protection and other ecosystem services.	<ul style="list-style-type: none"> Strengthen the capacity of the management board in providing forestry extension services for local communities. Investigate options to allow local communities to benefit from tourism activities in and around the nature reserve.
Is the protected area providing economic benefits to local communities?	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.	1		
	There is a flow of economic benefits to local communities from the existence of the protected area and this is of moderate or greater significance to the regional economy but most of this benefit accrues from activities outside the park boundary (e.g. spending by visitors getting to the park).			
	There is a major flow of economic benefits to local communities from the existence of the protected area and a significant proportion of this derives from activities on the park (e.g. employment of locals, locally operated commercial tours etc).			
<i>Outcomes</i>				
29. Monitoring and evaluation	There is no attempt at monitoring and evaluation in the protected area	0	There is currently no monitoring and evaluation system in place at the nature reserve.	<ul style="list-style-type: none"> Develop and implement a monitoring and evaluation system for the nature reserve. Strengthen the capacity of the management board in monitoring and evaluation.
<i>Planning /Process</i>	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results			
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management			
	A comprehensive monitoring and evaluation exists, is well implemented and used in adaptive management			
TOTAL SCORE (MAXIMUM POSSIBLE SCORE 91)		37	only 28 out of 29 questions applied => weighted score = 38	

Cat Ba NP (11/22 /2008)
METT Data Sheet

Date of METT	Completed by	Score	Comments
			No previous METT
11/22 / 2008	MB and NRTA	64	Most recent datasheets, included in this proposal

Summary sheet

Name, affiliation and contact details for person responsible for completing the METT (email etc.)				
Date assessment carried out	11.22.2008			
Name of protected area	Cat Ba National Park			
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)				
Designations	National Park	IUCN Category II. National Park	International N/A	
Country	Vietnam			
Location of protected area (province and if possible map reference)	Hai Phong city 20 ^o 43'50"-20 ^o 21'59" N, 106 ^o 58'20"-107 ^o 10'05" E			
Date of establishment	Gazetted (Prime Minister) March 31 st 1986			
Ownership details (please tick)	State <input checked="" type="checkbox"/>	Private	Community	Other
Management Authority	Hai Phong Service of agriculture and rural development			
Size of protected area (ha)	16.196,8 ha (including 10.931,7 ha terrestrial zone;5.265,1 ha marine zone)			
Number of staff	Permanent 81		Temporary 12	
Annual budget (US\$) – excluding staff salary costs	Recurrent (operational) funds excluding staff costs: manual data		Project or other supplementary funds, 2008: None	
What are the main values for which the area is designated	Conservation limestone forest and tropical tree ecosystem in the North of Vietnam and endemic species.			
List the two primary protected area management objectives				
Management objective 1				
Management objective 2				
No. of people involved in completing assessment				
Including: (tick boxes)	PA manager <input checked="" type="checkbox"/>	PA staff <input checked="" type="checkbox"/>	Other PA agency staff <input checked="" type="checkbox"/>	NGO <input type="checkbox"/>
	Local community <input checked="" type="checkbox"/>	Donors <input type="checkbox"/>	External experts <input checked="" type="checkbox"/>	Other <input type="checkbox"/>
Please note if assessment was carried out in association with a particular project, on behalf of an organisation or donor.		For VCF		

Assessment Form
Cat Ba NP, 11/28/2008

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
<p>1. Legal status</p> <p>Does the protected area has legal status (or in the case of private reserves is covered by a covenant or similar)?</p> <p><i>Context</i></p>	The protected area is not gazetted/covenanted	0		<p>- The NP was gazetted in 2001 under Decision 79-CT dated March 31st 1986.</p> <p>- The Council of Ministry President's Decision to approve NP's technical and economical data No. 237 – CT dated August 1st 1991.</p> <p>- The Decision 2355 /QĐ-UBND of Hai Phong city dated October 30th 2001 about approving Cat Ba NP, Hai Phong city, in the period of 2006 – 2010, to 2020.</p>	<p>Broadly propagandize in the community and local authority about NP's establishment and management objectives.</p>
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun	1			
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete	2			
	The protected area has been formally gazetted/covenanted	3	x		
<p>2. Protected area regulations</p> <p>Are appropriate regulations in place to control land use and activities (e.g. hunting)?</p> <p><i>Planning</i></p>	There are no regulations for controlling land use and activities in the protected area	0		<p>- Many people remain to live the protected area.</p> <p>1. Poor people's living depends on NP's resource.</p> <p>2. Viet Hai commune is, though, separated, it lies close to NP's ecological recovered area</p> <p>3. Park staff's competence is limited.</p> <p>4. Lacking tools and equipment for conservation.</p>	<p>- Create management way for each subdivision.</p> <p>- Enforce law and regulations for the Park.</p> <p>- Closely cooperate with local authority and related sections.</p> <p>- Broadly propagandize in the community and local authority about NP's establishment and management objectives.</p> <p>- Train staff having enough competence of patrolling and controlling.</p> <p>- Organize conferences to clarify the Park's boundary.</p> <p>- Hire local people to protect the Park.</p> <p>- Supply equipment to patrol.</p>
	Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses	1			
	Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps	2	x		
	Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
3. Law enforcement Can staff enforce protected area rules well enough? <i>Input</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations	0		Most of staff is young so they lack experience.	Organize training classes to promote ability of enforcing law for the Park.
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)	1			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2	x		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations	3			
4. Protected area objectives Is management undertaken according to agreed objectives? <i>Planning</i>	No firm objectives have been agreed for the protected area	0		Objectives are passed in conferences of scientists and related sections and braches.	Broadly propagandize in the community and local authority about NP's establishment and management objectives.
	The protected area has agreed objectives, but is not managed according to these objectives	1			
	The protected area has agreed objectives, but is only partially managed according to these objectives	2			
	The protected area has agreed objectives and is managed to meet these objectives	3	x		
5. Protected area design Is the protected area the right size and shape to protect species and habitats of key conservation concern? <i>Planning</i>	Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult	0		Initially, projecting border suits to the biological variety conservation objective. Viet Hai commune, with an area of 141 ha, now exists in the protected area. - 21 households in Phu Long have right of NP's land use certificate. - 39 households are in administrative service area.	There is now project to separate buffer zone and ecological recovered area but Cat Ba National Park residential quarter that should be moved out of the Park still lies in the ecological recovered area.
	Inadequacies in protected area design mean that achievement of major objectives is very difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors)	1			
	Protected area design is not significantly constraining achievement of objectives, but could be improved	2	x		
	Protected area design helps aid achievement of objectives	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
6. Protected area boundary demarcation Is the boundary known and demarcated? Process	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users	0		MB, local authority and neighbouring land users have completely bordered the protected area.	Broadly share the Park's boundary to local resident.
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users	1			
	The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated	2			
	The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated	3	x		
7. Management plan Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area	0		Permanent management projects have not been built into documents.	Finish management project, submit to Service of agriculture and rural development and Civic People's Committee, Hai Phong city.
	A management plan is being prepared or has been prepared but is not being implemented	1	x		
	A management plan exists but it is only being partially implemented because of funding constraints or other problems	2			
	A management plan exists and is being implemented	3			
Additional points: <i>Planning</i>					
7a. Planning process	The planning process allows adequate opportunity for key stakeholders to influence the management plan	+1		There has not been project yet.	Hope to receive support from VCF
7b. Planning process	There is an established schedule and process for periodic review and updating of the management plan	+1		There has not been project yet.	Hope to receive support from VCF
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning			There has not been project yet.	
8. Regular work plan Is there a regular work plan and is it being implemented <i>Planning/Outputs</i>	No regular work plan exists	0		Organize monthly meetings to entrust the staff with tasks. Monthly projects were not sufficiently carried out because of limitation in man power and expense.	Increase train and expense
	A regular work plan exists but few of the activities are implemented	1			
	A regular work plan exists and many activities are implemented	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
	A regular work plan exists and all activities are implemented	3			
9. Resource inventory Do you have enough information to manage the area? <i>Input</i>	There is little or no information available on the critical habitats, species and cultural values of the protected area	0		A preliminary report (in the investment project) but then it has not been updated yet.	Need to .have a detail project to evaluate and supervise. Strengthen survey and supervising to get more information about species and kinds of ecosystem in the protected area.
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1	x		
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2			
	Information on the critical habitats, species and cultural values of the protected area is sufficient to support all areas of planning and decision making	3			
10. Protection systems Are systems in place to control access/resource use in the protected area? <i>Process/Outcome</i>	Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use	0		Carry out patrolling the forest whenever there is information about illegal activities in the area.	Cooperate with interbranch force and local authority in patrolling forest.
	Protection systems are only partially effective in controlling access/resource use	1			
	Protection systems are moderately effective in controlling access/resource use	2	x		
	Protection systems are largely or wholly effective in controlling access/ resource use	3			
11. Research Is there a programme of management-orientated survey and research work? <i>Process</i>	There is no survey or research work taking place in the protected area	0		Having preliminary statistic estimates while projecting the Park but it has not been updated after that. It is not enough to manage.	- It is necessary to train to promote research staff's competence. - Need budget to carry out surveys and researches on biological variety. - Need to research on marine and flooded land zone.
	There is a small amount of survey and research work but it is not directed towards the needs of protected area management	1			
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2	x		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
12. Resource management Is active resource management being undertaken? <i>Process</i>	Active resource management is not being undertaken	0		- Biological variety and cultural values in the area are defined preliminary investigation. - Lack of information about distribution, ecosystem, and important species having worldwide conservative value. - There is no project to manage, lack protected area management experience, limited expenditure. MB just concern on protective activities.	- Evaluate state of ecological distribution and ecosystem having worldwide conservative values. - Build suitable solutions to reduce threat for biological variety. - Invest essential equipment and open training courses for NP's staff. - cooperate with local authority and related sections and branches in conservative activities. - Carry out supervising and evaluating conservation.
	Very few of the requirements for active management of critical habitats, species and cultural values are being implemented	1			
	Many of the requirements for active management of critical habitats, species and cultural values are being implemented but some key issues are not being addressed	2	x		
	Requirements for active management of critical habitats, species and cultural values are being substantially or fully implemented	3			
13. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff	0		There are 92 employees (2 MA; 25 graduated from universities; some graduated from colleges and vocational schools; a few people has not been trained yet.) - Most of staff is not good at conservative field.	- Make staff take advanced study - Open classes of skills of communication and practising for staff.
	Staff numbers are inadequate for critical management activities	1			
	Staff numbers are below optimum level for critical management activities	2			
	Staff numbers are adequate for the management needs of the protected area	3	x		
14. Staff training Are staffs adequately trained to fulfil management objectives? <i>Inputs/Process</i>	Staff lack the skills needed for protected area management	0		- Most of staff are recruited, lack conservative experiences. They are trained in speciality but work skills are not good.	- Make staff take advanced study - Open classes on communication skills for staff.
	Staff training and skills are low relative to the needs of the protected area	1	x		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	2			
	Staff training and skills are aligned with the management needs of the protected area	3			
15. Current budget Is the current budget sufficient? <i>Inputs</i>	There is no budget for management of the protected area	0		Current budget depends on non-productive fund 4,5million/year.	- Suggest to supply more fund to assure sufficient expense for conservation - Find complementary budget (state, NGO projects).
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
	The available budget is acceptable but could be further improved to fully achieve effective management	2	x		
	The available budget is sufficient and meets the full management needs of the protected area	3			
16. Security of budget	There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding	0		Current budget depends on non-productive fund.	- Suggest supplying more funds to assure sufficient expense for conservation. - Find complementary budget (state, NGO projects).
Is the budget secure? <i>Inputs</i>	There is very little secure budget and the protected area could not function adequately without outside funding	1			
	There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding	2	x		
	There is a secure budget for the protected area and its management needs	3			
17. Management of budget	Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)	0		- Management of budget is suitable but possible to be better. - Effectively manage distributed budget.	- Train specialized staff.
Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is poor and constrains effectiveness	1			
	Budget management is adequate but could be improved	2	x		
	Budget management is excellent and meets management needs	3			
18. Equipment	There are little or no equipment and facilities for management needs	0		- Equipment is insufficient and old.	- Need to add some more equipment.
Is equipment sufficient for management needs? <i>Input</i>	There are some equipment and facilities but these are inadequate for most management needs	1			
	There are equipment and facilities, but still some gaps that constrain management	2	x		
	There are adequate equipment and facilities	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
19. Maintenance of equipment Is equipment adequately maintained? <i>Process</i>	There is little or no maintenance of equipment and facilities	0		- Equipment is not periodically maintained because of lacking expenditure, only maintain in necessary.	- Periodically maintain equipment.
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1			
	There is basic maintenance of equipment and facilities	2	x		
	Equipment and facilities are well maintained	3			
20. Education and awareness Is there a planned education programme linked to the objectives and needs? <i>Process</i>	There is no education and awareness programme	0		Educational programs to improve awareness are limited and impermanent because of lacking expenditure and experts.	Strengthen activities to improve awareness.
	There is a limited and <i>ad hoc</i> education and awareness programme	1	x		
	There is an education and awareness programme but it only partly meets needs and could be improved	2			
	There is an appropriate and fully implemented education and awareness programme	3			
21. Planning for land use Does land use planning recognise the protected area and aid the achievement of objectives? <i>Planning</i>	Adjacent land use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area	0		Land use project has not been deployed. There are only projects offered on maps. They have not been carried out on field.	Build maps and carry out field check.
	Adjacent land use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area	1			
	Adjacent land use planning partially takes into account the long term needs of the protected area	2	x		
	Adjacent land use planning fully takes into account the long term needs of the protected area	3			
22. State and commercial neighbours Is there co-operation with adjacent land users? <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users	0		There is contact between the MB and neighbouring official land users, but just a little cooperation for the way to manage is not agreed.	It is necessary to strengthen attention of local resident.
	There is contact between managers and neighbouring official or corporate land users but little or no cooperation	1			
	There is contact between managers and neighbouring official or corporate land users, but only some co-operation	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management	3			
23. Indigenous people Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area	0		Indigenous peoples have had inputs into some activities relating to management, but their involvement hasn't been improved.	It is necessary for local communities to attend in the progress of building management project.
	Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management	1			
	Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved	2	x		
	Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	3			
24. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area	0		Indigenous peoples have had inputs into some activities relating to management, but their involvement hasn't been improved.	It is necessary for local communities to attend in the progress of building management project.
	Local communities have some input into discussions relating to management but no direct role in management	1			
	Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved	2	x		
	Local communities directly participate in all relevant decisions relating to management, e.g. co-management	3			
Additional points <i>Local communities/indigenous people</i>					
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1	x	Organize input for establishing the regulation	Strengthen local communities' attention in the progress of building management project.
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1	x	Program 661 provided fund for community via planting and protecting forest.	
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
25. Economic benefit Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services? <i>Outcomes</i>	The protected area does not deliver any economic benefits to local communities	0		There is a major flow of economic benefits to local communities from activities associated with the area: protecting forest and tourism activities.	It is essential to train the way to change plant structure for local people.
	Potential economic benefits are recognised and plans to realise these are being developed	1			
	There is some flow of economic benefits to local communities	2			
	There is a major flow of economic benefits to local communities from activities associated with the protected area	3	x		
26. Monitoring and evaluation Are management activities monitored against performance? <i>Planning/Process</i>	There is no monitoring and evaluation in the protected area	0		There are some biodiversity monitoring activities, but no overall strategy and/or no regular collection of results because of lacking of human source and fund and equipment for monitoring.	Increasingly support expenditure, man power and supervising tools.
	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1	x		
	There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	2			
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management	3			
27. Visitor facilities Are visitor facilities adequate? <i>Outputs</i>	There are no visitor facilities and services despite an identified need	0		Visitor facilities and services are adequate for current levels of visitation but could be improved because of environment protection requirement.	Need to invest reasonably to each zone to meet the needs of develop ability.
	Visitor facilities and services are inappropriate for current levels of visitation	1			
	Visitor facilities and services are adequate for current levels of visitation but could be improved	2	x		
	Visitor facilities and services are excellent for current levels of visitation	3			
28. Commercial tourism operators Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area	0		There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values because there is no single regulation	Build the unique cooperation status.
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
	There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	3			
29. Fees If fees (i.e. entry fees or fines) are applied, do they help protected area management? <i>Inputs/Process</i>	Although fees are theoretically applied, they are not collected	0		Fee is collected but there is no investment.	Pay attention to investment and environmental protection.
	Fees are collected, but make no contribution to the protected area or its environs	1			
	Fees are collected, and make some contribution to the protected area and its environs	2	x		
	Fees are collected and make a substantial contribution to the protected area and its environs	3			
30. Condition of values What is the condition of the important values of the protected area? <i>Outcomes</i>	Many important biodiversity, ecological or cultural values are being severely degraded	0		People living around the protected area still hunt and exploit the biodiversity sources illegally.	MB will deploy ways to raise enforcing law.
	Some biodiversity, ecological or cultural values are being severely degraded	1			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2	x		
	Biodiversity, ecological and cultural values are predominantly intact	3			
Additional Points: <i>Condition of values</i>					
30a: Condition of values	The assessment of the condition of values is based on research and/or monitoring	+ 1			
30b: Condition of values	Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	+1	x	The program to manage species Gold headed Monkey of Catba and preserve biodiversity inside Catba national park.	
30c: Condition of values	Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	+1	x		
Total			64		

Chu Yang Sin National Park, Daklak Province
METT Data Sheet

Name of protected area	Chu Yang Sin National Park, Daklak Province	
Location of protected area (if possible, map reference)	Located in 2 districts including Lak and Krong Bong, Daklak Province. Geographical Coordinates: 12°14'16'' - 12°30'58'' Northern Latitude 108°17'47'' - 108°34'48'' Eastern Longitude	
Date of establishment (distinguish between "agreed" and "gazetted")	Chu Yang Sin National Park was established under the Decree No 194/CT dated 9 th August 1986 signed by the Chairman of Ministerial Council (currently known as Government's Prime Minister) with its area of 20,000 ha (MARD, 1997). Chu Yang Sin Nature Reserve was established in 1998 pursuant to the Decision No. 2200/1998/QĐ-UB dated 29 th September 1998 issued by Daklak Provincial People's Committee (PPC). In 12 th July 2002, Chu Yang Sin Nature Reserve was upgraded as a National Park under the Decision No. 92/2002/QĐ-TTg issued by the Prime Minister.	
Ownership details (i.e. owner, tenure rights, etc.)	Chu Yang Sin National Park Management Board, under Dak Lak PPC	
Management authority	Dak Lak PPC shall be the direct managing agency, Ministry of Agriculture and Rural Development shall be provided technical supports	
Size of protected area (ha)	Core area: 58.850 ha (strictly protected: 53.459 ha, rehabilitation zone: 5.091 ha) Buffer zone: 133.567 ha	
Designations (IUCN category, World Heritage, Ramsar, etc.)	Included in the National Park category, being one of 6 IUCN categories (National Park Category 2).	
Reasons why protected area was designated	To protect the biodiversity and Mekong River watershed protection	
Brief details of World Bank-funded project or projects in PA	Project "Integrating Watershed and Biodiversity Management in Chu Yang Sin, Daklak Province" funded by Global Environment Facility/World Bank with its period of five years (2005-2010). Total budget: less than one million dollars (Medium size)	
Brief details of other international donor-funded projects in PA	N/A	
Brief details of government projects in PA	For the period from 1998 to 2001: total investment capital of VND 2,861 million allocated to four main activities: protection, establishment of management board and other relevant to forest protection. For the period from 2002 to 2006: total investment capita: 661: 600 million VND/year for forest protection contract in the core zone. In the buffer zones: natural forest allocation for local households has been implemented pursuant to the Decision no 178/QĐ-TTg (170 million 2004-2006) For the 2007: 2.6 million allocated to staff costs and other expenses for management board; 1.9 million from 661 programme; 5 million allocated to infrastructure development (park headquarter, guest house, museum).	
List of top two protected area objectives		
Objective 1	To protect types of vegetation, particular primary vegetation within the park boundary	
Objective 2	To protect the rare and endemic fauna and flora (populations of fauna and flora) under the threats at the national and international levels.	
List of top two most important threats to the PA (and indicate reasons why these were chosen)		

Threat 1	Wildlife hunting and trapping: this is executed by the local ethnic minority (M'Nông) and free immigrants from northern provinces, especially the minority of H'Mông residing in Ea Blang village; The hunting by wire cable snares for all species living on the ground and shooting (by shelf-made guns by H'Mông). Popular hunted animals included large mammals (ungulate) and primate (monkeys, douc langur and gibbon).
Threat 2	Infrastructure Development in the core area of the park: Hydropower work of Krông Kmar which has been under construction have lost 100 ha of forest; a defence road crossing the south-east park which is under the design stage is estimated to loss 120 ha of natural forest of the park; a small-scale hydropower will be developed in the core area of the park for the economic development of Krong Bong district.

Date assessment carried out: from 7 to 19 April 2006

Name/s of SUF staff: Luong Vinh Linh Linh, Luong Huu Thanh, Cao Thanh Đông, Đinh Van Khuyen, Loc Xuan Nghia, Đào Anh Tan, Tong Ngoc Chung, Vu Ke Dinh, Nguyen Van Luong, To Van Duong, Luong Van Suat, Vu Van Phong, Huynh Minh Giang, Tran Hieu (including leaders of the park, relevant divisions and representatives from the forest protection station)

Name/s of consultant/s: Le Trong Trai, BirdLife Vietnam Programme

Date revised: January/2007

By: Luong Vinh Linh (Director of CYSNP), Le Trong Trai (BirdLife Vietnam Programme), and Mrs. Nina Ksor (Project Field Manager-IWBM Project)

Assessment of Chu Yang Sin National Park Management Effectiveness

Subject	Evaluation Criteria	Score	Remarks	Recommended action
1. Legal status	The protected area is not gazetted		Chu Yang Sin (CYS) has been mentioned in Decree 194-CT dated 9/8/1986 issued by the Chairman of Ministerial Council (currently known as the Government's Prime Minister). Based on the Decision 2200/1998/QĐ-UB dated 29/9/1998 issued by Daklak Provincial People Committee on the establishment of Management Board of CYS National Park. CYS Nature Reserve was upgraded as a National Park in 12/7/2002 based on the Decision No. 92/2002/QĐ-TTg issued by the Prime Minister.	-To increase the investment capital for the workplan of the Nature Reserve -To execute the primary survey -To make investment in the approved project programme (the investment should be made in research programmes) -To invest in the investment items in accordance with the appraised and approved buffer project. (the investment in natural forest allocation for the local community is ongoing -To combine with Bi Doup - Nui Ba....
Does the park have legal status?	The government has agreed that the protected area should be gazetted but has done nothing about it as yet			
Context	The protected area is in the process of being gazetted but the process is still incomplete			
	The protected area has been legally gazetted (or in the case of private reserves is owned by a trust or similar)	3		
2. Protected area regulations	Mechanisms for controlling inappropriate land use and activities in the protected area are not in place		-Border planning does not almost conflict with the land use by local community, except a small areas in forest compartment 1198, 1122 (there is a small agricultural area that was used before the planning for the Nature Reserve had been made) -There remain wildlife hunting and trapping inside the park, which are mainly carried out by two ethnic minorities including H'Mong moving from the North to Ea Blang Commune and M'Nông. - Illegal logging of Pomu <i>Fokienia hodginsii</i> in forest compartment 1203 remains to execute by the locals in Sarong and Tang Rang villages, Bong Krang and Yang Tao Communes respectively. - Extraction of resin from pine trees (<i>Pinus kesiya</i>).Local name called Ngo thong. ” Forest fire cause by slash and burn shifting cultivation nearby the park boundary -Law enforcement is inadequate. - Wildlife trade in the buffer zone	To improve staff capacity To relocate the border line for some agricultural land areas To determine the hotspots To confiscate shotguns and handmade guns in the buffer zone To develop the community and school-based communications works To provide regulations on the use of shotguns To properly review legal documents
Are inappropriate land uses and activities (e.g. poaching) controlled?	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively			
Context	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
3. Law enforcement	The staff have no effective capacity to enforce protected area legislation and regulations		There are few staff experiencing short-term training; they are not well-equipped enough; and they are at low communication skills A little training course for the park staff provided by government budget.	To organise training courses; to provide sufficient equipment for the staff; to set up the communication system; to hold the martial arts courses; to increase the allowances for field trip
Can staff enforce protected area rules well enough?	There are major deficiencies in staff capacity to enforce protected area legislation and regulations (e.g. lack of skills, low patrol capacity)	1		
<i>Context</i>	The staff have acceptable capacity to enforce protected area legislation and regulations but some deficiencies remain			
	The staff have excellent capacity to enforce protected area legislation and regulations			
4. Protected area objectives	No firm objectives have been agreed for the protected area		The objectives have been approved by levels included in the Investment Plan for the establishment of the nature reserve before and recently National Park	To improve people's awareness at all levels including the decision-makers, and high school students of the Park's objectives; to distribute the communication materials to the local authorities and community; to improve the capacity of Management Board To coordinate with stakeholders to get the park's conservation goals
Have objectives been agreed?	There are some objectives, but these are out-dated and bear little resemblance to the way that the site is managed			
<i>Planning</i>	There are clear objectives for the establishment and management of the protected area, but these were set by a few professionals			
	The protected area has clear objectives agreed by a wide range of stakeholders	3		
5. Protected area boundary design	Inadequacies in boundary design mean that achievement of major objectives of the protected area is impossible		All biodiversity attributes are conserving in the park but small portion of potential forest patches for the park expanding is managed by Krong Bong State Forest Enterprise that is located on the east of the park. This area is suitable habitat for large mammals. Memorandum of Understanding on a coordination in the conservation with Bi Doup - Nui Ba National Park, Lam Dong District has been signed	To increase the coordination with Bi Doup – Nui Ba National Park To carry out a quick survey on the biodiversity for the potential areas for extension.
Does the protected area need enlarging, corridors etc to meet its objectives?	Inadequacies in boundary design mean that achievement of major objectives of the protected area are constrained to some extent			
<i>Planning</i>	Boundary design is not constraining achievement of major objectives of the protected area	2		
	Reserve design features are significantly aiding achievement of major objectives of the protected area			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
6. Protected area boundary demarcation Is the boundary known and demarcated? <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents		There are some boundaries at site are not clear.(1179, 1188) and boundary markers are not sufficiently put; fire breaks occur at some places of the park boundary; the boundary in the map has been agreed by the local authority and stakeholders in the boundary workshop. Almost boundaries have been determined on the ground but markers are not put in place yet.	To convene a boundary conference with the local authority to get a confirmation about the boundary at site. To propagandize and present the National Park's boundary To execute final review on the boundary and to fix landmarks by markers
	The boundary of the protected area is known by the management authority but is not known by local residents			
	The boundary of the protected area is known by both the management authority and local residents but is not fully demarcated	2		
	The boundary of the protected area is known by the management authority and local residents and is fully demarcated			
7. Management plan Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area		The investment plan for the core and buffer zones have been appraised and approved by relevant authorities, but the reimbursement has been partially made for some items; the majority has been made for the management mechanism. Recently, relevant Ministries and Government were committed that CYSNP is one of 23 national parks in the country for long term funding source. The funding sources are focusing on infrastructure development and forest protection.	To implement the investment complying with the items included in the investment plan, priority should be made for the biodiversity survey and monitoring; To increase the investment amount for the forest protection programme from the Programme 661. To seek funding sources for conservation and research programmes.
	A management plan is being prepared or has been prepared but is not being implemented			
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems	2		
	An approved management plan exists and is being implemented			
Additional points	The planning process allows adequate opportunity for adjacent stakeholders to influence the plan	1	To engage the local stakeholder's involvement; especially engage them in the implementation of forest protection contracts in the core (661 programme) and forest land allocation in the buffer zones in accordance with government Decision 178.	To develop a monitoring plan; to increase the coordination among stakeholders
	There is an established schedule and process for periodic review of the management plan			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
8. Annual work plan	No annual work plan exists		Annual workplan has been made which is subject to the approval; completed workplan as budget allocated and approved; The monitoring is based on the monthly/quarterly/six-month and annual reports; the progress will be revised based on the reports mentioned above.	To request MARD and DARD to make approval for the annual workplan to match the actual conditions of the natural resource protection of the park.
Is there an annual work plan?	An annual work plan and actions but activities are not monitored against this			
<i>Planning/Outputs</i>	An annual work plan exists and actions are monitored against this, but many activities are not completed			
	An annual work plan exists, and actions are monitored against this and most or all prescribed activities are completed	3		
9. Resource inventory	There is little or no information available on the critical habitats, species and cultural values of the protected area		There is significant information on habitats and key species that is result of survey work conducted by the project (IWBM Project) during the two years June 2005-June 2007).	Existing IWBM project will be covered remain areas that is lack information on habitats and key species. Biodiversity survey should be focused on abundant populations of key species/indicator species. Strengthening training courses on biodiversity survey and monitoring for the park rangers To provide sufficient field equipment for the park rangers
Do you have enough information to manage the area?	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	-		
<i>Context</i>	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained	2		
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being maintained			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
10. Research	There is no survey of research work		Some general researches have been conducted in the core and buffer zones in order to provide orientation for the park's planning	<p>Training on the skills of surveying key population/species for the park's staff should be provided.</p> <p>To monitor the population of the rare, endemic species</p> <p>To conduct a study on the distribution and ecology of coniferous species</p> <p>To conduct a study on the ecology of <i>Pinus dalatensis</i>, Pomu and <i>Pinus kesiya</i></p> <p>To monitor the logging of Pomu <i>Fokienia hodginsii</i></p> <p>To conduct a detailed surveys on reptiles and amphibians</p> <p>To provide training courses on identification skills of plants and animals</p> <p>To conduct a study on uses of natural resources by local communities</p> <p>To conduct a study on non-timber forest products including medicinal plants</p>
Is there a programme of management-orientated survey and research work?	There is some ad hoc survey and research work	1		
Inputs	There is considerable survey and research work but no overall programme			
	There is a comprehensive, integrated programme of survey and research work			
11. Resource management	Requirements for active management of critical ecosystems, species and cultural values have not been assessed		<p>Forest fires, forest land encroachment have been timely prevented; however shifting cultivation in the buffer zone and hunting tend to be increasing due to the increased need for the cultivation land, and the increased market demand for the wildlife</p> <p>The communication activities about decrees on fire prevention and protection and about the</p>	<p>To determine key species and ecology in order to make suitable solutions</p> <p>To seek for the technical supports from experts in the identification of key areas/species and to recommend the management strategy</p> <p>To make planning for the land use in the</p>
Is the protected area adequately managed (e.g. for fire, invasive species, poaching)?	Requirements for active management of critical ecosystems, species and cultural values are known but are not being addressed			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed	2		

Subject	Evaluation Criteria	Score	Remarks	Recommended action
<i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully addressed		commitment to forest protection have been carried out in the local communes.	buffer zone, a special attention should be paid to the ethnic minorities moving from the northern provinces to the buffer zones To improve the law enforcement To strengthen the patrolling and monitoring work To conduct the communication plan for communities
12. Staff numbers	There are no staff		The number of staff is not enough in accordance with recent regulation on PA management by the Government and the work is not effective enough for the reason the forest protection stations are located far away from the Nature Reserve's boundary; the Nature Reserve is related to many different communes and villages The road system within the patrolling area is complicated, lowering the effectiveness of the patrolling work	To provide motor bikes To invest in upgrading the road system within the patrolling area
Are there enough people employed to manage the protected area?	Staff numbers are so inadequate that they seriously hamper site management			
	Staff numbers are below optimum level	2		
<i>Inputs</i>	Staff numbers, are in tune with the management needs of the site			
13. Staff training	Staff are untrained		Up to January 2007, ¼ of total staff has been trained by the project of Integrating Watershed and Biodiversity Management (IWB), on biodiversity survey and monitoring. In addition, IWB supported 30 rangers to train on general courses of law enforcement, martial arts/self-defence	To conduct training for improved capacity and skills for the staff (computer skills, monitoring skills of species, community liaison skills).
Is there enough training for staff?	Staff training and skills are inadequate for the needs of the protected area			
	Staff training and skills are acceptable, but could be further improved to fully achieve the goals/objectives of management	2		
<i>Inputs/Process</i>	Staff training and skills are perfectly in tune with the management needs of the site			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
14. Current budget	There is no budget for the protected area		At the moment, government budget allocated to three areas: staff cost, forest protection and infrastructure development. There is no budget for research programme as planned in the investment plan (e.g. biodiversity survey and monitoring). In addition, public awareness programme has no budget allocated yet.	Seeking budget for research and public awareness programmes; Seeking budget for training courses. To provide budget for the fire prevention and protection To increase budget for 661 programme to forest protection contract.
Is the current budget sufficient?	The available budget is inadequate and presents a serious constraint to the capacity to manage			
<i>Inputs</i>	The available budget is acceptable, but could be further improved to fully achieve effective management	2		
	The available budget is sufficient and meets the management needs of the site			
15. Security of budget	There is no secure budget for the protected area and management is wholly reliant on outside funding		The budget is inadequate for the park to implement conservation management; annual budget cover only for staff cost and forest protection; have no budget for survey and research programme were identified in the approved investment plan.	To increase budget for the programme 661; for communication and awareness programme; to invest in the investment items of the project;
Is the budget secure?	There is very little secure budget and the protected area could not function adequately without outside funding	1		
<i>Inputs</i>	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding			
	There is a secure budget for the protected area and its management needs			
16. Management of budget	Budget management is very bad and significantly undermines effectiveness		The budget management is good, effective limited within the allocated budget; the budget management is strictly disbursed	To provide training for accountants on how to use the accounting software To provide office equipment and software.
Is the budget managed well enough?	Budget management is poor and constrains effectiveness			
<i>Process</i>	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
17. Maintenance	No maintenance of equipment/facilities is undertaken		Maintenance is undertaken only on an <i>ad hoc</i> and emergency basis	To increase budget for the maintenance of equipments and facilities To create regulations on the use and maintenance of equipments and facilities
Is equipment adequately maintained?	Maintenance is undertaken only on an ad hoc or emergency basis	1		
<i>Process</i>	Most equipment/facilities are regularly maintained			
	All equipment/facilities are regularly maintained			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
18. Personnel management	Problems with personnel management significantly constrain management effectiveness		Personnel management is rather good; at present, an assignment schedule and regulations on personnel management are being developed	To visit some other parks to learn their experience To provide training on personnel management
Is the staff managed well enough?	Problems with personnel management partially constrain management effectiveness			
	Personnel management is adequate but could be improved	2		
<i>Process</i>	Personnel management is excellent and aids effectiveness			
19. Communication and outreach	There is little or no communication between managers and stakeholders involved in the protected area		Regular communication with the local authority has been made through weekly meetings, explanation meetings with local authority; through monthly meetings with the district (proposed coordination with relevant communes and district's agencies). The output is still limited. Local and provincial authorities committed to signing the agreement on forest protection. The fire prevention and protection is successfully carried out thanks to the establishment of the task team (the Deputy Chairman of District People's Committee is the team leader, so the work is rather properly done)	To advise the District People's Committee to establish the regulations on information sharing among stakeholders
Is there a planned communication and outreach programme?	There is communication between managers and stakeholders but this is ad hoc and not part of a planned communication programme			
	There is a planned communication programme that is being used to build support for the protected area amongst relevant stakeholders but implementation is limited	2		
<i>Process</i>	There is a planned communication programme that is being used to build support for the protected area amongst relevant stakeholders			
20. State and commercial neighbours	There is no contact between managers and neighbouring official or corporate land users		An agreement with Bi Doup – Nui Ba on the regulations on work coordination has been signed. Other relevant partners will coordinate if required in terms of the management and protection work	To develop the regulations on the coordination with the forest enterprises including Lak, Krong Bong, Lak Lake Landscape Protection Area To strengthen the information sharing with Bi Doup – Nui Ba National Park, Lam Dong Province
Is there cooperation with adjacent land users?	There is limited contact between managers and neighbouring official or corporate land users	1		
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation			
<i>Process</i>	There is regular contact between managers and neighbouring official or corporate land users, and substantial cooperation on management			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
21. Indigenous people Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to its management		Two investment projects of CYS National Park already collected comments from the communal and village's leaders on the boundary. Besides, some solutions has been made for the community's opinion The village meetings has been regularly held and the agreement on the commitment to fire prevention and protection has been annually signed (starting early dry season in September and October)	To develop a workplan with the local authority To request the funding for the meetings with villages To raise local people's awareness through the communication programme for staff and the locals To disseminate the objectives and the management plan for the local community To persuade to engage the local people's involvement in the discussion and comments through the meetings at communal and village's level
	Indigenous and traditional peoples have some input into discussions relating to its management but no direct involvement in decisions			
	Indigenous and traditional peoples directly contribute to some decisions relating to its management	2		
	Indigenous and traditional peoples directly contribute to all decisions relating to its management			
22. Local communities Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to its management		Ditto	Ditto
	Local communities have some input into discussions relating to its management but no direct involvement in the resulting decisions			
	Local communities directly contribute to some decisions relating to its management	2		
	Local communities directly contribute to most decisions relating to its management			
Additional points <i>Outputs</i>	There is open communication and trust between local stakeholders and protected area managers	+1	Open discussion with the local stakeholders has been made before carrying out forest allocation to households; the schedule for forest allocation for the community in buffer zones has been made in coordination with the relevant stakeholders	The budget for 661 should be increased to improve the community's living lives To strengthen the coordination with the stakeholders in the forest protection To invest in the community development and forest protection initiatives
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented	+1		
23. Visitor facilities Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services	0	Not yet executed Some Eco-Tours have been proposed in the investment project	The proposal for the plan for the Eco-Tour development is being prepared for the Provincial People's Committee's instruction; To provide training for staff of the Eco-Tour To develop materials necessary for the popularization for the Eco-Tour
	Visitor facilities and services are inadequate for current levels of visitation			
	Visitor facilities and services are adequate for current levels of visitation			
	Visitor facilities and services are excellent for current levels of visitation			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
24. Commercial tourism	There is little or no contact between managers and tourism operators using the protected area	0	Small tourist service nearby the park headquarters but it is run by other stakeholder. And none benefit sharing has been made to the park.	To coordinate with the tourism's leadership to discuss about the benefit sharing in order to raise funds for the protection and conservation; To develop a plan for the Eco-Tour for the park itself
Do commercial tour operators contribute to protected area management?	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters			
<i>Process</i>	There is limited co-operation between managers and tourism operators to enhance visitor experiences and protect park values			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences and protect park values			
25. Tourism fees	There is no fee for visiting the protected area		N/A(No evaluation)	To develop the regulations on Eco-Tour inside the National Park
Does the protected area charge fees for tourists?	There is a fee for visiting the protected area, but it goes straight to central government and is not returned to the park or its environs			
<i>Outputs</i>	There is a fee for visiting the protected area, that ends up with the local authority			
	There is a fee for visiting the protected area that helps to support this or other protected areas			

Subject	Evaluation Criteria	Score	Remarks	Recommended action
26. Condition assessment Is the protected area being managed consistent to its objectives? <i>Outcomes</i>	Many of the most important biodiversity, ecological and cultural values are being severely degraded		There still occurs the hunting and trapping in some areas; there occurs the Pomu logging but it tends to be decreased; the wildlife trade is occasionally detected by individuals in local network established by rangers at each guard station.	To carry out the communication work in the community To coordinate with the local authority in confiscation of shot guns. To coordinate with the local authority to develop the regulations on natural resources protection (including woods, wildlife) To further persuade the detection of the logging and wildlife trade at site To determine hotspots where occur the violation To determine the key sites of biodiversity To develop a monitoring and evaluation programme
	Some of the most important biodiversity, ecological and cultural values are being severely degraded			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2		
	Biodiversity, ecological and cultural values are predominantly intact			
27. Access assessment Are the available management mechanisms working to control access or use? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated objectives		It is a large area and topography is difficult of access; the patrolling system is available but surveyed routes are mainly located in the trails commonly used by the local people, accordingly the patrolling is not effective enough, especially in the raining season;	Upgraded patrolling trails/routes in key areas for illegal haunting/trapping. To provide training for improved capacity for staff in the controlling and patrolling work To provide training courses on the law enforcement concerning forest resources To establish the forest patrolling team in the local community To closely coordinate with the local authority and local people in the forest resources controlling in the park and buffer zones
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives			
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives	2		
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated objectives			
28. Economic benefit assessment Is the protected area providing economic assessments to local communities?	There is little or no flow of economic benefits to local communities from the existence of the protected area		To create jobs for the local community through forest protection contracts in the core and buffer zones; to provide fresh water for living and agricultural irrigation	To propose the State to have a policy for benefit sharing between the park and hydropower; To persuade and engage people's involvement in the forest protection and the Eco-Tour in the future
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy.			
	There is a flow of economic benefits to local communities from the existence of the protected area and this is of moderate or greater significance to the regional economy but most of this benefit accrues from activities outside the park boundary (e.g. spending by visitors getting to the park).	2		

Subject	Evaluation Criteria	Score	Remarks	Recommended action
<i>Outcomes</i>	There is a major flow of economic benefits to local communities from the existence of the protected area and a significant proportion of this derives from activities on the park (e.g. employment of locals, locally operated commercial tours etc).			
29. Monitoring and evaluation	There is no attempt at monitoring and evaluation in the protected area		There's no overall strategy for monitoring and evaluation.	To develop the biodiversity monitoring programme as well as the impacts against the forest resources To strengthen the monitoring work in order to make suitable adjustments
<i>Planning/Process</i>	There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results			
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management	2		
	A comprehensive monitoring and evaluation exists, is well implemented and used in adaptive management			
TOTAL SCORE (MAXIMUM POSSIBLE SCORE 91)		53 Weight score = 55%		

Xuan Thuy Nation Park (7.3.2009)
METT Data Sheet

Date of METT	Completed by	Score	Comments
			No previous METT
07.03.2009	MB and NRTA	66	Most recent datasheets, included in this proposal

Summary sheet

Name, affiliation and contact details for person responsible for completing the METT (email etc.)		Nguyen Viet Cach		
Date assessment carried out	07.03.2009			
Name of protected area	Xuan Thuy NP			
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-			
Designations	National Park	IUCN Category II. National Park	International N/A	
Country	Vietnam			
Location of protected area (province and if possible map reference)	Nam Dinh province 20°55'05"-21°15'10" N, 107°30'10"-107°46'20" E. 20010 'to 20015' N, 06020 'to 106032' E			
Date of establishment	Gazetted (national level) 02/01/2003			
Ownership details (please tick)	State <input checked="" type="checkbox"/>	Private	Community	Other
Management Authority	Provincial People's Committee, Nam Dinh province			
Size of protected area (ha)	7.100 ha			
Number of staff	Permanent 17		Temporary 2	
Annual budget (US\$) – excluding staff salary costs	Recurrent (operational) funds excluding staff costs, 2007: 700.000 US\$		Project or other supplementary funds, 2008: 200.000 US\$	
What are the main values for which the area is designated				
List the two primary protected area management objectives				
Management objective 1	Management wetland ecosystem on Red River Coastal Delta			
Management objective 2	Implementation of alternative livelihoods is quite effective in and out of NP			
No. of people involved in completing assessment				
Including: (tick boxes)	PA manager <input checked="" type="checkbox"/>	PA staff <input checked="" type="checkbox"/>	Other PA agency staff <input type="checkbox"/>	NGO <input type="checkbox"/>
	Local community <input type="checkbox"/>	Donors <input type="checkbox"/>	External experts <input checked="" type="checkbox"/>	Other <input type="checkbox"/>
Please note if assessment was carried out in association with a particular project, on behalf of an organisation or donor.		For VCF		

Assessment Form
(Xuan Thuy NP, 07.03.09)

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
1. Legal status Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)? <i>Context</i>	The protected area is not gazetted/covenanted	0			
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun	1			
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete	2			
	The protected area has been formally gazetted/covenanted	3	x		
2. Protected area regulations Are appropriate regulations in place to control land use and activities (e.g. hunting)? <i>Planning</i>	There are no regulations for controlling land use and activities in the protected area	0			
	Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses	1			
	Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps	2	x		
	Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	3			
3. Law enforcement Can staff enforce protected area rules well enough? <i>Input</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations	0			
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)	1			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2	x		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations	3			
4. Protected area objectives Is management undertaken according to agreed objectives? <i>Planning</i>	No firm objectives have been agreed for the protected area	0			
	The protected area has agreed objectives, but is not managed according to these objectives	1			
	The protected area has agreed objectives, but is only partially managed according to these objectives	2			
	The protected area has agreed objectives and is managed to meet these objectives	3	x		
5. Protected area design	Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult	0			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
Is the protected area the right size and shape to protect species and habitats of key conservation concern? <i>Planning</i>	Inadequacies in protected area design mean that achievement of major objectives is very difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors)	1			
	Protected area design is not significantly constraining achievement of objectives, but could be improved	2			
	Protected area design helps aid achievement of objectives	3	x		
6. Protected area boundary demarcation Is the boundary known and demarcated? <i>Process</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users	0			
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users	1			
	The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated	2	x		
	The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated	3			
7. Management plan Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area	0			
	A management plan is being prepared or has been prepared but is not being implemented	1			
	A management plan exists but it is only being partially implemented because of funding constraints or other problems	2			
	A management plan exists and is being implemented	3	x		
Additional points: <i>Planning</i>					
7a. Planning process	The planning process allows adequate opportunity for key stakeholders to influence the management plan	+1			
7b. Planning process	There is an established schedule and process for periodic review and updating of the management plan	+1	x		
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning	+1			
8. Regular work plan Is there a regular work plan and is it being implemented? <i>Planning/Outputs</i>	No regular work plan exists	0			
	A regular work plan exists but few of the activities are implemented	1			
	A regular work plan exists and many activities are implemented	2	x		
	A regular work plan exists and all activities are implemented	3			
9. Resource inventory Do you have enough	There is little or no information available on the critical habitats, species and cultural values of the protected area	0			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
information to manage the area? <i>Input</i>	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2	x		
	Information on the critical habitats, species and cultural values of the protected area is sufficient to support all areas of planning and decision making	3			
10. Protection systems Are systems in place to control access/resource use in the protected area? <i>Process/Outcome</i>	Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use	0			
	Protection systems are only partially effective in controlling access/resource use	1			
	Protection systems are moderately effective in controlling access/resource use	2	x		
	Protection systems are largely or wholly effective in controlling access/resource use	3			
11. Research Is there a programme of management-orientated survey and research work? <i>Process</i>	There is no survey or research work taking place in the protected area	0			
	There is a small amount of survey and research work but it is not directed towards the needs of protected area management	1			
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2			
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	3	x		
12. Resource management Is active resource management being undertaken? <i>Process</i>	Active resource management is not being undertaken	0			
	Very few of the requirements for active management of critical habitats, species and cultural values are being implemented	1			
	Many of the requirements for active management of critical habitats, species and cultural values are being implemented but some key issues are not being addressed	2	x		
	Requirements for active management of critical habitats, species and cultural values are being substantially or fully implemented	3			
13. Staff numbers Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff	0			
	Staff numbers are inadequate for critical management activities	1			
	Staff numbers are below optimum level for critical management activities	2	x		
	Staff numbers are adequate for the management needs of the protected area	3			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
14. Staff training Are staff adequately trained to fulfil management objectives? <i>Inputs/Process</i>	Staff lack the skills needed for protected area management	0			
	Staff training and skills are low relative to the needs of the protected area	1			
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	2	x		
	Staff training and skills are aligned with the management needs of the protected area	3			
15. Current budget Is the current budget sufficient? <i>Inputs</i>	There is no budget for management of the protected area	0			
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1	x		
	The available budget is acceptable but could be further improved to fully achieve effective management	2			
	The available budget is sufficient and meets the full management needs of the protected area	3			
16. Security of budget Is the budget secure? <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding	0			
	There is very little secure budget and the protected area could not function adequately without outside funding	1			
	There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding	2	x		
	There is a secure budget for the protected area and its management needs	3			
17. Management of budget Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)	0			
	Budget management is poor and constrains effectiveness	1			
	Budget management is adequate but could be improved	2	x		
	Budget management is excellent and meets management needs	3			
18. Equipment Is equipment sufficient for management needs? <i>Input</i>	There are little or no equipment and facilities for management needs	0			
	There are some equipment and facilities but these are inadequate for most management needs	1			
	There are equipment and facilities, but still some gaps that constrain management	2	x		
	There are adequate equipment and facilities	3			
19. Maintenance of equipment Is equipment	There is little or no maintenance of equipment and facilities	0			
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1			
	There is basic maintenance of equipment and facilities	2	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
adequately maintained? <i>Process</i>	Equipment and facilities are well maintained	3			
20. Education and awareness Is there a planned education programme linked to the objectives and needs? <i>Process</i>	There is no education and awareness programme	0			
	There is a limited and <i>ad hoc</i> education and awareness programme	1	x		
	There is an education and awareness programme but it only partly meets needs and could be improved	2			
	There is an appropriate and fully implemented education and awareness programme	3			
21. Planning for land use Does land use planning recognise the protected area and aid the achievement of objectives? <i>Planning</i>	Adjacent land use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area	0			
	Adjacent land use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area	1			
	Adjacent land use planning partially takes into account the long term needs of the protected area	2	x		
	Adjacent land use planning fully takes into account the long term needs of the protected area	3			
22. State and commercial neighbours Is there co-operation with adjacent land users? <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users	0			
	There is contact between managers and neighbouring official or corporate land users but little or no cooperation	1			
	There is contact between managers and neighbouring official or corporate land users, but only some co-operation	2	x		
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management	3			
23. Indigenous people Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area	0			
	Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management	1			
	Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved	2			
	Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	3	x		
24. Local communities Do local communities	Local communities have no input into decisions relating to the management of the protected area	0			

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have some input into discussions relating to management but no direct role in management	1			
	Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved	2	x		
	Local communities directly participate in all relevant decisions relating to management, e.g. co-management	3			
Additional points <i>Local communities/indigenous people</i>					
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1			
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1	x		
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1			
25. Economic benefit Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services? <i>Outcomes</i>	The protected area does not deliver any economic benefits to local communities	0			
	Potential economic benefits are recognised and plans to realise these are being developed	1			
	There is some flow of economic benefits to local communities	2			
	There is a major flow of economic benefits to local communities from activities associated with the protected area	3	x		
26. Monitoring and evaluation Are management activities monitored against performance? <i>Planning/Process</i>	There is no monitoring and evaluation in the protected area	0			
	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1			
	There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	2	x		
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management	3			
27. Visitor facilities Are visitor facilities adequate? <i>Outputs</i>	There are no visitor facilities and services despite an identified need	0	x		
	Visitor facilities and services are inappropriate for current levels of visitation	1			
	Visitor facilities and services are adequate for current levels of visitation but could be improved	2			
	Visitor facilities and services are excellent for current levels of visitation	3	x		

Issue	Criteria	Score: Tick only one box per question		Comment/Explanation	Next steps
28. Commercial tourism operators Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area	0	x		
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	2			
	There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	3			
29. Fees If fees (i.e. entry fees or fines) are applied, do they help protected area management? <i>Inputs/Process</i>	Although fees are theoretically applied, they are not collected	0			
	Fees are collected, but make no contribution to the protected area or its environs	1			
	Fees are collected, and make some contribution to the protected area and its environs	2	x		
	Fees are collected and make a substantial contribution to the protected area and its environs	3			
30. Condition of values What is the condition of the important values of the protected area? <i>Outcomes</i>	Many important biodiversity, ecological or cultural values are being severely degraded	0			
	Some biodiversity, ecological or cultural values are being severely degraded	1			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2	x		
	Biodiversity, ecological and cultural values are predominantly intact	3			
Additional Points: <i>Condition of values</i>					
30a: Condition of values	The assessment of the condition of values is based on research and/or monitoring	+1			
30b: Condition of values	Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	+1			
30c: Condition of values	Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	+1	x		
TOTAL SCORE			66		

Annex 5: Rationale and process of pilot site selection

Rationale

Among the weaknesses identified by the financial and capacity scorecards was practical experience on a number of issues related to financial management of protected areas, such as collection and distribution of tourism fees, operation of commercial concessions, payment for ecosystem processes, etc. Without the benefit of effective on-the-ground experiences, the development of improved policies and procedures is not feasible. For this reason, a key element of the project strategy is the demonstration of approaches to some of these important issues related to financial management of protected areas.

Given the need for on-the-ground demonstrations, it is therefore important to ensure that the sites selected for demonstrations are best able to generate results that will benefit future policy development.

Process

In order to select sites for demonstration, a consultative meeting of an “ad hoc” working group was organized involving MONRE, MARD (FPD), and several research and educational institutions working on nature and biodiversity conservation. During this meeting, site selection criteria were discussed and agreed by consensus. These were:

1. Collectively, sites should represent the different types of protected areas (terrestrial, wetland, coastal/marine).
2. Each site should be suited to demonstration activities on more than one issue
3. Each site should contain globally significant biodiversity
4. Each site should be easily accessible from Hanoi

With these criteria in mind, a “long-list” of twelve sites was proposed by individual members of the working group. The merits of each site was then assessed collectively, by scoring each criterion for each site on a scale of 1 (does not meet criterion) to 5 (very strongly meets criterion), with the final selection based on total scores, bearing in mind the need to meet the first criterion.

Annex 6: Results of detailed questionnaires on financial status and prospects for pilot sites

Site Overview: Bai Tu Long National Park

1. Location and Description:

a) Geographical location:

The National Park lies in geographical co-ordinate:

From 20°55'05" to 21°15'10" N latitude.

From 107°30'10" to 107°46'20" E longitude.

b) Name of province, districts, etc.

Bai Tu Long National Park lies in administrative border of 3 communes: Minh Chau, Van Yen and Ha Long of Van Don district. The park is about 20km from Cai Rong town, Van Don District to the East and 60km away from Ha Long Bay to the Northeast.

c) Size

The total area is 15.783ha. Among this, the area of the sea makes up 9.658ha, the remaining area of 6.125ha includes floating islands.

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

Tropical broad-leaved evergreen forests on mountain

This ecosystem makes up most area of the islands, especially on land-mountain islands because the flora develops and the island-ocean topography creates optimal conditions for small-animal and hoof-animal communities to develop. Specially, the unique deer still exist in the Northwest of Vietnam.

Tropical broad-leaved evergreen forests on limestone

There is a special feature that includes drought-sufferable plants with prominent communities of Mulberry family. The ecosystem stands out because of variety of interesting natural landscapes from a system of caster caves and limestone mountains' various shapes. In fact, this is a great potentiality to develop ecological tourism in the park.

Mangrove forest

The flora in this community is featured by specific characteristics of the Northwest Vietnam. The average height is low. The density is over 10.000 trees/ha. The total area of 100ha occurs in Vung Cai Quyt, Vung Lo Ho, Vung Soi Nhu, Vung O Lon, Thang Ang Cai De, and Thung Ang Cai Lim.

Coral reef ecosystem

106 species of hard cuphorbia of 34 genres, 12 families mostly distributed in Hon Mang Khoi, Soi Mao, Dau Cao, Da Ay, Nam Sau Nam, in the East of Ba Mun. The cuphorbia reefs in Bai Tu Long are all uncommon types, island fringing reefs.

e) Notable other natural features

el. Topography

Islands in the park have low-mountain topography mostly under 300m ASL. The highest one is Cao Lo on Ba Mun Island with a height of 314m. These islands, in general, are narrow but long trending northeast to southwest.

There are many pools, along islands, muddy banks, narrow sand banks and rock banks with a width of 30-70m that are periodically flooded. Some zones with a width of hundreds of hectares simultaneously have muddy banks, sand banks, deep places which are beautiful sights and are advantageous anchor ships such as Vung Cai Lon, Vung O Lon, Lach Cong between Tra Ngo Lon and Tra Ngo Nho, Vung Cai De.

e2 Climate

The park is under the identical effect of close tropic-of-cancer tropical monsoon region having cold winters from October to March and hot sunny summers from May till August. April and September are transitions with temperate climate. Annually, the Northeast monsoon affects to the region 20-25 times, from September to April of the following year, but mostly in November, December and January in the year later.

The region lies in impacted zone of storm and tropical low pressure from Quang Ninh to Ninh Binh, and Dong Hung, China also. 1884-1997, 403 storms and tropical low pressures happened to Vietnamese coast. Among them, Quang Ninh -Ninh Binh coast makes up 31%.

e3. Hydrography

Among the river system in the Northeast of Vietnam, Tien Yen River has a direct and the best effect to hydrography in the park through the Mo seaport. The river is 82km long including 7 tributaries in a 1.071km square-wide valley originating in a height of 1.175km in Binh Lieu. The islands in the park are all small. There is no permanent surface flow instead of having sloping and short streams that are found in rain.

The tide in Bai Tu Long has 2 remarkable features:

1. This is the zone which monthly has 2 times high water and 2 times low water. Every up tide time passes 11 to 13 days, the highest tide level is about 3.5 to 4m compared with zero in the sea chart. Every low tide passes 3 or 4 days, the highest tide level is about 0.5 to 1m compared with zero in the sea chart
2. Water level in this region has the biggest vibration amplitude in the country. The highest water level can reach to 4.8m.

2. Biodiversity:

A. THE FLORA

The park has a variety of plants. The flora there includes 780 species, 468 branches, 135 families belonging to 5 divisions of high level plant. Among them, Magnoliphyta division takes the majority with 729 species, 438 branches, and 114 families. The Podipidiophyta has 3 families, 4 branches, 4 species. The Equisetophyta has not been found any representative in the park. The park has 21 rare vegetational species that are recorded in The Vietnam Red Book (1996) and 10 species listed in IA, IIA appendix of the 32/2006/CP-NĐ decree of the government defining the list of scared species that need to be protected.

B. THE FAUNA

List of zoological species listed in Bai Tu Long NP.

Class	N. of species	N. of family	N. of order
Mammalia	24	13	6
Aves	71	28	9
Reptilia	33	12	2
Amphibian	15	1	1

These following animal species are in the Red Book: *Neofelis nebulosa*, *Capricornis sumatraensis*, *Cuora trifasciata*, *Gekko gekko*, *Varanus salvator*, *Python molurus*, *Ptyas korros*, *Bungaus fasciatus*, *Naja naja*, and *Ophiophagus hannah*.

3. Management structure and capacity:

At present, management of this national park has 42 officers and employees.

B. Budget and Revenue

4. Annual budget (also describe any significant trends over last 5-10 years) – show budget for last 5 years

Unit: million VND

No.	Investment line	2004	2005	2006	2007	2008
1	Infrastructure development					
2	Operational cost (salary, office run cost)	8000	1200	2200	2600	2800
3	Scientific activities	0	0	0	220	110
4	Other sources of income					

5. Show current annual budget with cost unit breakdown

6. What is estimated budget for 2009 (upcoming year)

- Environment protection: VND5,000 million.
- Operational cost: VND3,000 million.
- Infrastructure development: VND200 million.

7. How is the budget estimated?

- N/A

8. How is the budget allocated to cost units?

- 60% for salary and 40% other expenditures

9. How does it compare to other PAs (similar, in area etc)

- N/A

10. Sources of revenue over the last 3 years (also describe any significant trends over last 5-10 years)

a) Government budget – amount and %:

- N/A

b) Entry fees (number of visitors (broken down by domestic and international), per capita fee, estimate of percentage that actually pay); what is fee structure? How is it collected?

- N/A

c) Concessions/leases (describe each concession and amount paid); what is fee structure? How is it collected?

d) Not yet applied

e) PES (describe type of service, quantity, payment structure):

- Not yet applied
- f) Other (describe)
 - N/A
- 11. **Estimated potential for current sources of revenue: what number of additional tourists could be attracted with suitable investments, etc., and explain why such investments have not been made:**
 - It is estimated in five years (from 2014), the revenues include: 1. Entry fees: VND300 million/year; 2. Land leasing for ecotourism: VND50 million/year; 3. Other revenues: VND50 million/year. In total: VND400 million/year.
 - a) Explain what studies have been carried out to support new revenue mechanisms:
 - Have not yet applied
 - b) If tourists visit the PA, have there been any analyses of the reaction to the levels of the entry fee?
 - Have not yet applied
- 12. **As-yet untapped revenue potential: describe any potential sources of revenue that have not yet been tried (e.g., PES, sustainable harvesting, etc.) and explain why they have not yet been tried**
 - Visitor ticket;
 - Land leasing for ecotourism;
 - Other revenues
- 13. **Proportion/percentage of revenue retained by PA; destination of remainder (e.g., PPC, Dept of Forest Protection, etc.)**
 - Not yet available.

C. Operations

14. Number of ranger posts

As of April 2008, the workforce of the Management Board includes 42 officers and employees. Among them, Executive Board: 2; office employees: 8; technical science and international relationship department: 5; natural conservation department: 4; forester bureau: 23. The center of ecological tourism services and environmental education and center of wild animal salvage have not been established.

Qualifications, 42 staff include: 1 MA, 19 engineers, 2 colleges, 2 technical staffs.

15. Number of access points (note any that are not gated or do not have guard posts)

Because it lies on the sea, one can access the park at various positions.

16. Quantity of equipment

There is no particular information.

17. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)

None.

18. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)

None.

19. Describe monitoring system: what variables are monitored, how frequently, using what equipment, at what cost, etc.

No such program exists.

D. Business planning and financial reporting

20. Have there been any analyses of potential tourist visits, the types of investments required to attract tourists, and the tourism carrying capacity of the PA?

- A report on ecotourism potential has been prepared.

21. Does the PA have a business plan?

- Not yet

22. If not, what information that would be required to prepare a business plan is missing?

- N/A

23. What is the system of financial reporting – to whom does the PA report, what form does reporting take, and at what frequency?

- According to the current management system, the BDNB is managed directly by the Quang Ninh PPC. Designated as a level 1 in the state office financing system, the park's finance report is submitted directly to Provincial Finance Department using standard level 1 forms for state office financing system from the Ministry of Finance.

24. Who is in charge of financial planning, budgeting, investments etc?

- Under management of the Provincial Finance Department.

E. Optimum management costs

25. What is the estimate of the PA director of the optimum staffing level for the PA, taking account of threats to biodiversity, the potential to develop tourism, the potential to manage sustainable harvesting of natural resources, etc?

- The park needs 56 staff
- a) What is the breakdown of the optimum staffing structure (e.g. rangers, tourist guides, monitoring specialists, etc?)
 - Rangers: 30; Scientific staff: 10; Ecotourism and community development staffs: 8; Administration staffs: 8
- b) What would be the staff costs of the optimum staffing structure?
 - At least VND2-3 million/staff/month.

26. What other investments would be required for optimum management of the PA? Provide details of the number and types of investment

- About VND3,800 million.

27. What other costs, besides staffing and investments, would be required for optimum management?

- Equipment and tools for forest fire management
- Boats
 - 1 ranger station
 - solar energy station

F. Socio-economics

28. Population:

a) Size of population of the district(s) within which the PA is located

Van Don's population was about 40,000 people in 2007, making up 4% of Quang Ninh's population. The rural population is 81.82% with an average of 4.7 people/household. The urban population is 18.18% with an average of 4.1 people/household.

b) Major population centres (major villages, nearest cities/ regional centres)

Cai Rong town: 7,954.

Quan Lan: 3,597.

Ban Sen Commune: 1,048.

Ha Long commune: 8,856.

Van Yen commune: 1,351.
Minh Chau commune: 978.

c) Any significant minority groups in the site area

There are eight minority groups living in mountains, coastal deltas and islands. Kinh people make up 86.6% of the population, the remaining is other peoples.

d) Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)

None

29. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

Up to now, production of agriculture, forestry and fisheries has still played an important role in the economy of the district, especially production and processing of aquatic products. There is very little industry or construction. Aquaculture and exploiting aquatic products are the economic strengths of Van Don District. With the sea area of 160,000 hectares, a good port, and experienced workforce, aquatic products is the key economic sector.

Recently, the development of the fishing boats far from shore has had the useful lessons: the exploitation of seafood far from shore both has high productivity and protects the income source of near shore areas. But significant capital is needed to upgrade facilities and equipments to compete in the international fishing business. These issues are significant concerns for conservation, because they open the way to more extensive fishing.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

There is still hunting in the park, but no specific data.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

In Ha Long commune, Van Yen still has a fairly large number of people log and hunt forest animals, and exploit seafood in the park for subsistence. No specific data.

b. The role and position of women.

Not findings about the role of women in activities within the park.

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines in surrounding areas (positon, location, type, using raw materials, water and waste water)

None.

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent

None.

28. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

- a) Tourism operations that organize visits to the PA, or provide transport for visitors. Tourism in the district is mainly based on sea tourism, including swimming and sightseeing. Ecotourism is barely developed. Although there are many tourist attractions, they are located on the islands. In general, sea transport is difficult, so visitors have to take more time and travel costs than on land. The quality of tourism services is low compared with the surrounding area. At present, because the demand is low, tourism infrastructure has not been upgraded. And because of the poor service and infrastructure, attraction for tourists is still weak.
- VND500 million/year from visitor transportation.
- b) Guest houses and restaurants that provide accommodation or food for visitors to the park.
- Infrastructure and tourism services in park are still not developed.
 - VND2,000 million/year.
- c) Businesses that use resources from the PA (e.g. spring water bottlers, NTFP processes, etc.)
- Not yet available.

29. Potential business sector partners: describe local businesses that might be interested in partnership with the PA, either because of potential financial benefits or out of a sense of corporate social responsibility

- District People's Committees in five communes in the buffer zone.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

33. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

Travel activities or providing service for transporting tourists: VND500 million.

b. Major national or regional economic development programmes that provide assistance to the site area

Eating and drinking and resting service.

34. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

None.

35. Agriculture projects and programmes

None.

36. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

Carry out the activities of conservation, and restoration of populations and ecosystems:

- Conservation of forest ecosystems through the project: Planting, caring, protection of forests according to Decision 661.
- Recovering of rare species through scientific and technical topics: Building a model enriching forest by green Lim trees; Building a model plating testing species of Kim Giao Rock Mountain.
- Testing sowing and germinating the rare tree species.
- Conserving Sa sung species through the project: Exploiting and Developing Firmly Sa Sung Source of Income in Minh Chau Commune.
- Conserving of sea turtles through the project: Monitoring Catching Unpurposely Species of Vietnamese Marine Turtles.

Investigating, monitoring biodiversity and researching science.

- Detecting, totaling up rare species noted the in Vietnam and the world red book, up to April by the year 2008 has statistics of 102 animals and plants species, in which there are species protected at global level such as dolphin, sea turtles...
- Collecting botanical targets to service researching and monitoring. People have collected the 230 targets, including 80 completed ones in the correct way, the remainings are not fully used for reference, and comparison.
- Forming 4 squares to locate and monitor the growth of plants.
- A survey of the biodiversity of 10 groups of creature has detected 900 marine species with 5 basic ecosystems such as: mangrove forest ecosystem, tide area ecosystems, sea grass ecosystem, island shallow foot water area ecosystem, coral reef ecosystem.
- Investigating, monitoring system of forest animals including: insects (Lepidopteron), birds, animals, reptiles, amphibians.

Tourism and ecotourism activities in the area.

At the present, there is no specific tourism activity that is sponsored by this national park.

H. Threats to Biodiversity and Underlying Causes - Natural conditions

37. Complete the following table:

- The park is recently established (2001); management experiences are limited.
- Wide area to control, to protect the complex, including forest ecosystem and the sea.
- Planning not actually good and reasonable. People living in the central still crowded, an area of cultivation of the people in the park about 1000ha
- Ownership of park is unclear (no official map for owner), while households living and farming in the NP have land owner certifications
- Still not treat the violation of sea's resources (no right, no responsibility to treatment).
- No control the invade situation to forest from sea.
- Still having a significant number of residents in and out of the district take advantage of the traffic on the sea to illegally exploit natural resources in the park for living.
- Weak management activities, almost no international projects which support N

I. Site Maps

38. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.

Site Overview: BIDOUP NUI Ba NATIONAL PARK

1. Location and Description:

a) Geographical location:

From 12⁰⁰00'04" to 12⁰⁵2'00" Northern latitude.

From 108⁰17'00" to 108⁰42'00" Eastern longitude.

b) Name of province, districts, etc.

Bidoup-Nui Ba National Park lies in Lac Duong District, Lam Dong Province. Northern border is the same as the boundary between Lam Dong and Dak Lak Provinces; eastern border is similar to the boundary between Lam Dong and Khanh Hoa Provinces; it borders Dung Kno commune (Lac Duong District) and Dam Rong District to the west, and Lat, Da Sa and Da Chais communes (Lac Duong District) to the south. The park is 20km by road from Da Lat City to the south.

c) Size

The park has an area of 64.800ha with forest covering level over 89.6%, adjoins Phuoc Binh National Park (Ninh Thuan Province) which covers an area of 19.814ha to the east; adjoins Chu Yung Sin (Dak Lak Province) which is 59.300ha in area to the south; adjoins Da Nhim protection forest, 35.695ha in area to the west.

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

d1. Subtropical evergreen montane rain forest

This is a popular forest type in North Truong Son. It has an area of 20,986ha (32.39%) of the park's area.

d2. Subtropical mixed broadleaved- coniferous humid forest

This forest type occupied an area of 14,445ha, makes up 22.29% of the Park's area, and distributed at altitude over 1000m ASL.

d3. Subtropical open coniferous montane dry forest

This coniferous type of forest is found in the park with predominant species is *Pinus kesiya*, and covers an area of 19,920ha, makes up 30.74% of the park area.

d4. Mixed broadleaved –bamboo and pure bamboo forests

This type of forest covers a small area of 1,760ha, 2.72%. It is in distributed in the summit, near Yang li station and along Krong Kno and Dak Dom Rivers.

d5. Plantation

Plantations in the park cover 1,562ha with *Pinus kesiya* as the main species.

e) Notable other natural features

e1. Topography

Topography of park is complex with many summits such as Hon Giao (2.060m), Lang Biang (2.167m), Chu Yen Du (2.051m), Cong Troi (1.882m),...especially Bidoup (2.287m) as the highest point in the park and one of 10 highest summits in Vietnam. The topography gradually lowers from South to North.

e2. Climate

The climate of the park is featured by Asian subtropical with the average temperature at about 18°C, fairly temperate. There is no really hot or cold month. The climate in this area can be divided into two different sub-areas. One is in the park centre, in Da En valley which is lower with lower rainfall and humidity. The other are the high mountain regions or the regions are highly separated and slipping at the height of over 1.900m like in tops: Bidoup, Hon Giao, Gia Rich, Chu Yen Du. Rainfall and number of rainy days are higher in these places.

2. **Biodiversity:** Indicate the basis for biodiversity significance (e.g. high species numbers; endemism; globally threatened species or ecosystems). For endemic spp., specify whether endemic to the site only, local area or country.

A. THE FLORA

A list of IUCN Red List plant species has been made with 1 CR, 3 EN and 8 VU species. Most of endemic and threatened animal species are distributed in the evergreen broadleaf and mixed broadleaf- coniferous forest in areas bordering Dak Lak and Ninh Thuan Provinces. Specially, mixed broadleaf-coniferous forest is the most concentrated place of the threatened and narrow endemic plant species: *Pinus dalatensis* and *Pinus krempfii*.

B. THE FAUNA

List of zoological species listed in Bi Duop – Núi Bà NP.

Class	N. of species	N. of family	N. of order	IUCN and VN Red Data Book species
Thú (Mammalia)	51	24	10	24/9
Chim (Aves)	164	46	14	6/6
Bò sát (Reptilia)	26	11	2	11/2
Tổng	254	85	27	41/17

There are 9 endemic species, including 3 mammal and 6 bird species)

- 3 mammal endemic species are: Mang lớn *Muntiacus vuquangensis*, Chà vá chân đen *Pygathrix nigripes* and Vượn má hung *Hylobates gabriellae*
- 3 bird species endemic to Vietnam are : Mi Langbian (*Crocius langbianus*), Khướu má xám (*Garrulax yersini*), Sẻ thông họng vàng (*Carduelis monguilloti*) and 3 bird species endemic to Indochina are : Khướu đầu đen (*Garrulax milleti*), Khướu mỏ dài (*Jabouilleia danjoui*), Trĩ sao (*Rheinardia ocellata*)
- 17 threatened species listed in IUCN Red List, including 6 EN, 7 VU species, and 4 NT species

3. Management structure and capacity:

At present, management of this national park has got 26 officers and employees.

- Management department : 4
- Organization and administration department: 5
- Scientific and technological department: 11
- General planning department: 06.

C. Operations

4. Number of ranger posts

Nine ranger posts with 49 rangers.

5. Number of access points (note any that are not gated or do not have guard posts)

The park cannot be easily penetrated at any position.

6. Quantity of equipment

- 2 cars, 4 motorbikes
- 4 desktops and furniture, beds, cabinets for work and accommodation of staff.

7. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)

20km from Da Lat, the park takes advantage of accommodation in Da Lat where tourism has rapidly developed. Today, there are about 2,000 residences of various sizes in Da Lat with a total of 7,826 rooms. Among these are 45 hotels with more than 1,300 rooms. Transport links are well developed with about 200 taxis and more than 50 long-distance coaches running daily to HCMC, Nha Trang, etc.

8. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)

Due to having shared borders with Binh Phuoc and Chu Yang Sin National Parks, the park can share ranger stations and some equipment.

9. Describe monitoring system: what variables are monitored, how frequently, using what equipment, at what cost, etc.

The park has no monitoring program in place. There are some independent research activities on two topics:

- Research of restoring indigenous threatened coniferous species from provincial projects 2006-2010. In 2007 the organization investigated and researched *Pinus krempfii*, *Pinus dalatensis*, and *Taxus sinensis*. In 2007, the budget was VND212 million.
- Investigating, evaluating and classifying the species of fungi under pine forests in Lam Dong Province and the budget of the provincial. The 2007 budget was VND100 million.

F. Socio-economics

10. Population:

a) Size of population of the district(s) within which the PA is located

In park, there are two hamlets of Da Chais village: Klanh Klong with 77 households and 403 people and Do not K'Si with 76 households and 394 people. The K'Ho villagers (mainly Chil people) make up 98% of this population. Livelihoods are based on rice and coffee cultivation. These people are actively involved in forest protection of forests and other park management activities. The area of Dung Ja Gieng has 27 households but is not a fixed settlement

b) Major population centres (major villages, nearest cities/ regional centres)

a	Commune	Sum of household	Number of mouth
	<i>Lac Duong district</i>	<i>2.439</i>	<i>13.397</i>
1	Lát	785	4.016
2	Đạ Sar	592	3.637
3	Đạ Nhim	545	3.023
4	Đưng Knó	286	1.503
5	Đạ Chais	231	1.218
	<i>Dam Rong district</i>	<i>2.211</i>	<i>9.134</i>
1	Đạ Tông	1.060	6.647
2	Đạ Long	480	2.487
	Total	6.861	31.665

c) Any significant minority groups in the site area

K'Ho is the largest local ethnic group in the region, accounting for over 90% of the population, the rest are ethnic Kinh. Most of Kinh people are living as households traders, some of them are teachers here for a long time.

- d) Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)**
In the park there is no migration or immigration.

11. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

Economic production in the region is mainly agriculture with over 80% of households living as farmers. Besides rice, agricultural land is mainly planted for maize and beans. Perennials include coffee, cashew, and pepper. In recent years, several areas in the buffer have been converted into industrial areas. Livestock is relatively developed with cattle, pigs, and all kinds of poultry.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

Since forests have been well managed and protected, hunting has decreased significantly. In 2007, rangers detected only six hunting case, removed 498 traps, seized one home-made shotgun.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

Harvesting forest products mainly involves rare orchid species.

b. The role and position of women.

K'Ho is the largest local ethnic group in the region. Traditionally, K'Ho women have many children and are the heads of family (a matriarchy). They have the right to control the resources of the family as land, livestock, money, but because of the low education levels and Vietnamese language skills, they do not participate in training programs, agricultural extension, forestry extension to capture information on production, market, political life society.

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines in surrounding areas (positon, location, type, using raw materials , water and waste water)

Industry and handicraft in the region has not developed. Local industry is mostly small, private and involves rice milling and basic processing of coffee, cashew, and pepper.

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent None.

12. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

a. Tourism operations that organize visits to the PA, or provide transport for visitors

Da Lat is a major tourist destination and the park has great potential to benefit from national and international tourists. But no tourism activities have been developed inside the park.

b. Guest houses and restaurants that provide accommodation or food for visitors to the PA

Infrastructure system and tourism services in the park are undeveloped. Tourism spots, travel routes, entertainment places, hotel, etc. have not been established. Until now, though ecotourism and environmental education departments have been established, no tourism services have been organized.

c. Businesses that use resources from the PA (e.g. spring water bottlers, NTFP processes, etc.)

Up to now, the park has no business plan based on natural resources or attractions.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

13. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

None

b. Major national or regional economic development programmes that provide assistance to the site area

Just a few small programs within the activities of NP by using the expense of the investment project before or small portion of the project funded by VCF:

- Coordinating with VCF project: training on conserving biodiversity for officials and staff of the park, 30 members per class. Organizing visits to some other national parks in Vietnam for 15 key officials.
- Training, propagandizing, educating on environmental protection and conservation of nature for people in 25 classes with 1,200 participants. Organize visits to the park for 200 students.
- Organize to train, propagandize, educate on environmental protection and conservation of nature for the community, families receiving forest in the core and buffer zones of the park, 50 classes with 2,000 participants. They organize six tours to the park for 240 primary and secondary students with purpose: educating for them awareness to protect woods and environment. They print and supply over 1,000 flyers at a cost of VND51 million.
- Build park web site with original investment of VND35.2 million.

14. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

None.

15. Agriculture projects and programmes

None.

16. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

None.

17. Tourism and ecotourism activities in the area.

At the present, there is no specific tourism activity that is sponsored by the park.

Natural resources and tourism potential:

- For being the nearest national park from city in the national park system and the nature reserve area of Vietnam; transportation system easily accesses the areas of forest and landscape that serve to tourism activities and services.
- There are many types of forests, such as: usual green forest, the mixing forest, coniferous forest (the pine forest) in which the pine forest at this national park is considered unique, large and most beautiful in all types of the pine forests are known in Vietnam.
- In some area, the system of plants and animals is very various with many endemic plant species, such as: Pinus krempffii, Pinus dalatensis; animal species are Bear, panthera pardus delacouri, the monkey species, Vooc. Specially, the park is considered one of over 63 important endemic bird regions by Birdlife International in Vietnam and the world as well.
- There is the majestic scenery with utter high mountains, beautiful rivers, completely fresh and pure water with waterfalls that are as beautiful as Bay Tang Waterfall, Klong Klanh waterfall,
- Humanism tourism potential is also great with customs and habits of native people such as: matriarchy of the K'Ho, Cong Chieng culture space, Harvest festival space, brocade products...

The tourism potential lines

- The house for displaying samples, photos, projecting material films of the Museum in Lam Dong province and targets of the plants and animals of this national park in the future.
- The points to see birds, animals and natural landscapes, the precious, rare, endemic plant species on the top of Hon Giao mountain, Bidoup mountain, and places in the small areas: 91, 92, 103, ...
- The tourism line that leads the tourists view types of forests, such as: pine forest at the service area - administrative, mixing coniferous and deciduous forest at Cong Troi area (Sub-district 103), original usual green deciduous forest at the Hon Giao area, along street 723, Bidoup.
- Tourism lines that tourists can see orchids, water-rails in the high mountain peaks of Hon Giao, Bidoup, sub-district 91, 92, 100, 101
- Tourism line to look at revolutionary relics, ethnic village, local cultural activities at communes in the buffer areas, Da Nhim, Da Chais, Lat commune, Dung Kno.
- Mountain climbing tourism lines in Bidoup, Hon Giao, and Gia Rich.
- High-tech agriculture seeing lines...

Tourism service potential:

- Ecological hotel and eco-product services
- Small seminar, sightseeing and staying in the park services.
- Instructing services
- Food services
- Specialist equipment in tourism demising services
- Transporting in the area services
- Local product providing services,

H. Threats to Biodiversity and Underlying Causes - Natural conditions

18. Complete the following table (a couple of hypothetical entries are given to illustrate the types of threats/underlying causes. Note that each problem/issue will usually have multiple underlying causes, or barriers to its solution; and that the same underlying cause/barrier may influence several problems:

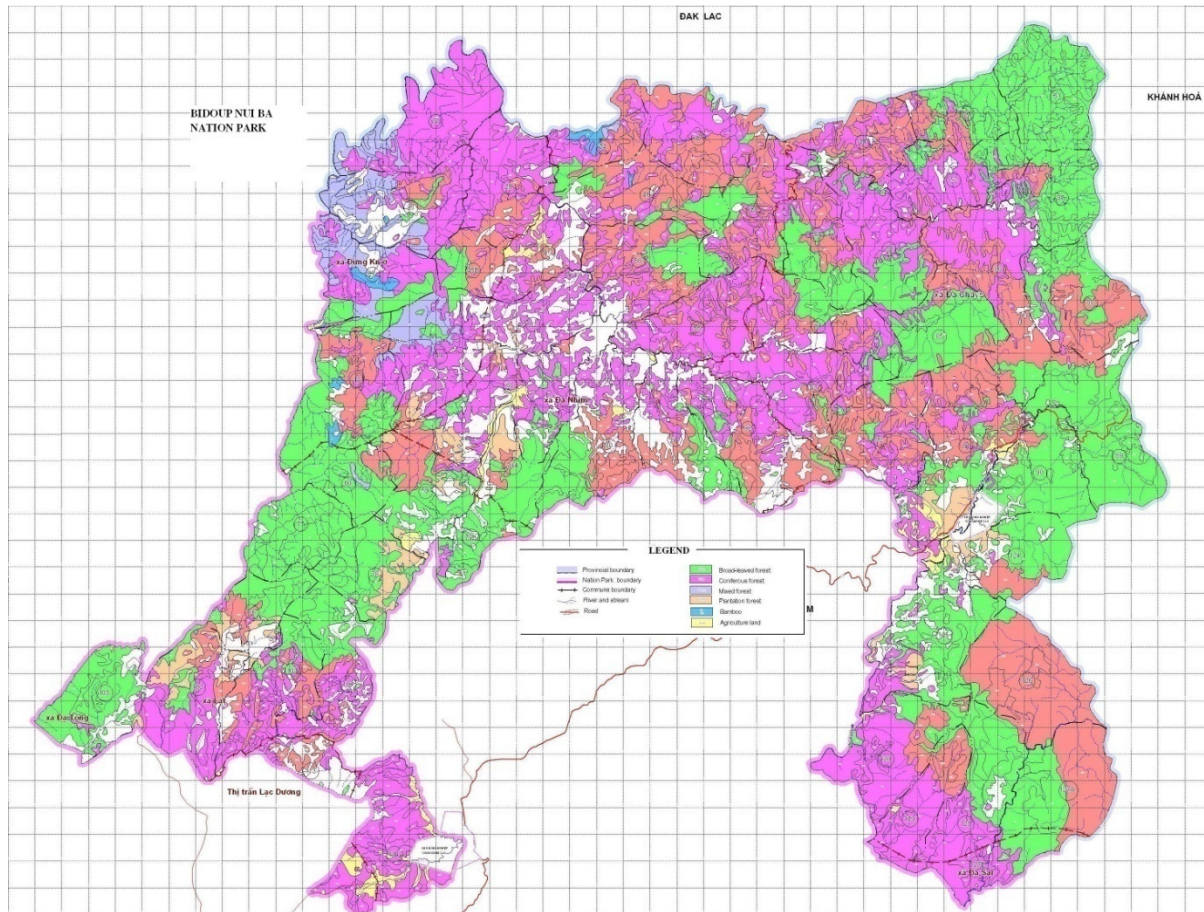
- Forest resource exploiting pressure is bigger and bigger. Transportation system is more and more developed, especially inter-provincial roads: 722 and 723, has created pressure on animal

hunting, timber resources exploiting, forest products besides timber, especially rare, precious orchid species.

- Over 90% of the population in the buffer area is inhabited by ethnic minorities; educational level is not high. Customs in cultivation of the people are backward. Activities for living mainly bases on natural resources. Activities for sustainable production to increase income, improve living standards are not universal access to the people. Projects to develop the buffer areas have not implemented.
- The need of farmland is increasing to develop industrial plants and agriculture. The areas, nearing the borders of the park always is under pressure occupying land.
- Equipment and infrastructure are interested in investment but not sufficient, which limits active ability of the management. Most of the ranger stations at present are temporary ground houses with the limit about equipment. Although the officers of the national park have been trained, they have not been trained professionally for nature conservation, environmental protection, education propaganda ...
- The office of management of the park is too small; there is no space for some units such as technical research center and center of ecotourism and environmental education. Also, office of the management is too far from the park to manage it easily.
- Tourists are also exerting pressures on the park. With road 723 completed, the number of tourists is increasing. This is increasing demand for natural resources such as the tree species, orchids, wildlife, human waste problems, etc. Ecotourism projects inside the park have not been being done.
- Borders and the function of each area of the park are not defined clearly, there are not enough boundary stones, which make it difficult to manage and protect, especially the cultivation, invasive residence activities.

I. Site Maps

19. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.



Site Overview: Cat Ba NationAL ParK

1. Location and Description:

a) Geographical location:

From 20.44-20.52 North, from 106.59-107.06 East

b) Name of province, districts, etc.

Cat Ba National Park belongs to following communes: Gia Luan, Phu Long, Hien Hoa, Xuan Dam, Tran Chau and Viet Hai communes and Cat Ba town. Surrounding these communes is rivers and sea.

c) Size

The National Park covers 15.200 ha.

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

d1. Primary tropical evergreen broadleaf rainforest

This type of forest covers 1,045 ha and makes up 6% of the total area.

d2. Poor secondary tropical evergreen broadleaf rainforest on limestone

This kind of forest covers 4,900 ha and makes up 27% the total area

d3. Regeneration tropical rain forest on limestone

This forest covers 8 ha

d4. Baamboo forest

Bamboo forest covers 42 ha.

d5. Mangrove forest

Mangrove forests cover 633 ha and make up 4% of total area.

d6. Plantation forest

Planted forests cover 507ha or 2% of the total area.

d8. Brush and grass land on limestone scattered trees and grasses on limestone

This vegetation type covers 8,017ha and makes up 45% of the total area.

e) Notable other natural features

e1.Topography

Cat Ba Island has an average altitude of 100m, with a few summits over 200m. The highest point is Cao Vong peak at 332m.

e2.Climate

The climate is characterized by tropical monsoon and under the influence of the ocean climate, having Southwest monsoon in the summer and Northeast monsoon in the winter. It is less harsh than areas at the same latitude in the continent.

e3.Hydrology

Cat Ba is a limestone island, the system of rivers and streams is undeveloped. Temporary flows appear during the rainy season and disappear during the dry season. In the rainy season, water collects in puddles and caves. This provides a permanent water source for animals.

e4. Oceanography

N/A

2. Biodiversity: Indicate the basis for biodiversity significance (e.g. high species numbers; endemism; globally threatened species or ecosystems). For endemic spp., specify whether endemic to the site only, local area or country.

A. THE FLORA

Table 05: List of Flora in Cat Ba NP.

Plant division	Number of families	Number of orders	Number of species
Lycopodiophyta	2	3	6
Equisetophyta	1	1	1
Polypodiophyta	16	32	63
Pinophyta	6	13	29
Angiospermae	161	793	1.462
- Magnoliopsida	130	660	1.231
- Liliopsida	31	133	231
Total	186	842	1.561

There are 60 plant species listed in the Vietnam Red Book (2007), representing take 4% of all total species recorded in the park. Also, according to The World List of threatened Trees (IUCN, 2004), the park has 29 tree species, of which 16 species are listed in the Vietnam Red List and IUCN Red List. Thus, the park has over 72 threatened species.

B. THE FAUNA

B1. TERRESTRIAL FAUNA

Table 06: Number of animal Taxa listed in Cat Ba NP

Class	Number of order	Number of families	Number of species	VN/IUCN Red Data Book
Animals	8	18	53	9/6
Birds	16	46	160	1/0
Reptiles	2	15	45	11/1
Emphibians	1	5	21	1/0
Total	27	84	279	22/7

The park's geographic isolation limits the wildlife migration. Therefore, wildlife is not rich in species but there is a high level of endemism, especially the Critically Endangered golden headed langur.

This langur is only found on Cat Ba Island. According to the Cat Ba Langur Conservation Project, there are less than 63 individuals, living separately in seven sub-populations. There have been 13 individuals born in 2000-2005 and the total population number has increased slowly. The sub-populations make recovery difficult.

B2. MARINE FAUNA

Cat Ba sea area is rich in sea life. Some species are economically valuable, including pearls, green mussels, Snout Otter Clam, Vich, Sut, Trochus pyramis, Hipocampus histrix Kaup, triangle tail Sam, and Hawksbill turtle. Coral ecosystem is highly valuable not only to biodiversity but also tourism.

3. Management structure and capacity:

At present, the park has 82 officers and employees.

Budget and Revenue

4. Annual budget (also describe any significant trends over last 5-10 years) – show budget for last 5 years

Unit: million VND

No.	Investment line	2004	2005	2006	2007	2008
1	Infrastructure	2,540	2,297	4,564	7,297	8,262
2	Regular expense (salary, office run cost)	462	1,110	1,766	3,762	3,790
3	Scientific activity				211	388
4	Other source of income	NA	NA	NA	NA	NA

5. Show current annual budget with cost unit breakdown

- Silviculture: forest planting, reforestation, plant protection and management
- Community annual protect allocation
- New forest guard stations
- Route repair, upgrade
- Purchase new and repair office items...
- Forest fire control in dry season
- Scientific research: experimental endangered indigenous pines planting and preservation
- Other: buffer zone project development, Website development...

6. What is estimated budget for 2009 (upcoming year)

- Infrastructure: VND6,000 million.
- Regular expense: VND4,200 million.

7. How is the budget estimated?

Total budget up to 2008: VND34,268 million:

- Silviculture: forest planting, reforestation, plant protection and management: VND3,200 million.
- Community annual protection allocation: VND9,540 million.
- Forest fire control in dry season: VND910 million.
- New forest guard stations: VND3,970 million.
- Purchase new and repair office items: VND450 million.
- Route repair, upgrade: VND2,900 million.
- Other: buffer zone development project design, NP' investment project revision, website development: VND660 million.
- Scientific research: experimental endangered indigenous pines planting and preservation: VND748 million.
- Regular expense: VND11,890 million.

8. How is the budget allocated to cost units?

Only three following categories are focused to estimate the cost and considers as main activity of the park

- Forest fire control in dry season.
- Forest protection allocation.
- Regular expense.

9. How does it compare to other PAs (similar, in area etc)

NA

10. Sources of revenue over the last 3 years (also describe any significant trends over last 5-10 years)

- g) Government budget – amount and %

- h) Entry fees (number of visitors (broken down by domestic and international), per capita fee, estimate of percentage that actually pay); What is fee structure? How is collected?
 - i) Concessions/leases (describe each concession and amount paid); What is fee structure? How is collected?
 - j) PES (describe type of service, quantity, payment structure)
 - k) Other (describe)
11. **Estimated potential for current sources of revenue: what number of additional tourists could be attracted with suitable investments, etc., and explain why such investments have not been made**
- c) Explain what studies have been carried out to support new revenue mechanisms:
 - d) If tourists visit the PA, have there been any analyses of the reaction to the levels of the entry fee?
12. **As-yet untapped revenue potential: describe any potential sources of revenue that have not yet been tried (e.g., PES, sustainable harvesting, etc.) and explain why they have not yet been tried**
- Revenue from ecotourism: the park's plan on zoning has not been approved by MARD and The provincial People's Committee therefore it does not support the ecotourism project as well as its implementation.
 - Income from PES: according to the Prime-minister Decision No. 380/QĐ-Ttg an average of 3 billion VND would be paid for BDNB.
13. **Proportion/percentage of revenue retained by PA; destination of remainder (e.g., PPC, Dept of Forest Protection, etc.)**

C. Operations

14. Number of ranger posts

12 ranger stations.

15. Number of access points (note any that are not gated or do not have guard posts)

Because it is an island, the park is hard to access.

16. Quantity of equipment

2 cars.

5 desktops and furniture, beds, cabinets for work and accommodation of the staff and workers in this area.

17. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)

18. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)

Because the park is surrounded by the sea, it does not have the potential to save costs with other parks.

19. Describe monitoring system: what variables are monitored, how frequently, using what equipment, at what cost, etc.

THE PROJECT OF CONSERVING LANGURS STARTED IN 2000. IT HAS INVESTIGATED THE STATUS AND ECOLOGY OF THE LANGURS. IT HAS PROVIDED TRAINING, SET UP BILLBOARDS, AND PROVIDED ONE WALKIE-TALKIE AND TWO PATROL BOATS. THE MAIN FUNDERS ARE THE ZOOLOGICAL SOCIETY FOR THE CONSERVATION OF SPECIES AND POPULATIONS (ZGAP) AND MUENSTER ZOO. THE PROJECT SOLVES URGENT PROBLEMS RELATED TO THE SURVIVAL OF PRIMATES IN THE EXTREMELY DANGEROUS SITUATION.

D. Business planning and financial reporting

20. Have there been any analyses of potential tourist visits, the types of investments required to attract tourists, and the tourism carrying capacity of the PA?
21. Does the PA have a business plan?
22. If not, what information that would be required to prepare a business plan is missing?
23. What is the system of financial reporting – to whom does the PA report, what form does reporting take, and at what frequency?
24. Who is in charge of financial planning, budgeting, investments etc?

E. Optimum management costs

25. What is the estimate of the PA director of the optimum staffing level for the PA, taking account of threats to biodiversity, the potential to develop tourism, the potential to manage sustainable harvesting of natural resources, etc.
 - c) What is the breakdown of the optimum staffing structure (e.g. rangers, tourist guides, monitoring specialists, etc.)
 - d) What would be the staff costs of the optimum staffing structure?
26. What other investments would be required for optimum management of the PA? Provide details of the number and types of investment
27. What other costs, besides staffing and investments, would be required for optimum management?

F. Socio-economics

13. Population:

a) Size of population of the district(s) within which the PA is located

Population situation of the communes, towns of Cat Ba Island

a	Commune	Sum of household	Number of mouth	Ratio of birth (%)	Ratio of death (%)	Ratio of natural increasing (%)
1	Gia Luan	167	606	1,16	1,16	0
2	Phu Long	448	1.922	1,56	0,68	0,88
3	Hien Hào	105	345	2,03	0,58	1,45
4	Xuan Dam	209	807	1,86	0,37	1,49
5	Tran Chau	429	1.405	1,07	0,356	0,71
6	Viet Hai	78	215	2,8	0,9	1,9
7	Cat Ba Town	2.141	8.273	1,1	0,53	0,57
	Total	3.577	13.573	1,65	0,65	1

b) Major population centres (major villages, nearest cities/ regional centres)

Cat Ba town is the only significant population center.

c) Any significant minority groups in the site area

Almost no ethnic groups live in the park.

d) Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)

No major changes in the migration, migrants in the region.

14. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

- Cultivation

In the last years, production value of cultivation industry in the area has increased. In 2001-2004, production increased 4.7%/year. The rice productivity is quite low, just 2.4 tons/ha on average due to lack of water. The irrigation system is substandard, which results in limited irrigation and impossible water-regulating. Although the total area of vegetable crops (maize, potatoes, cassava, beans and peanuts) is just 155 hectares and the productivity just 339 tons, the crops contribute to food provision and local income in the region.

Green vegetable crops which cover 10.5 hectares in area and reach 130 tons in productivity are mainly cultivated in Tran Chau, Xuan Dam and Viet Hai. People cultivate green vegetables to meet their daily need, the consumption of restaurants and inhabitants in the town of Cat Ba. At present, the above yield does not satisfy the increasing demand on the island.

The total production of fruit trees of Cat Ba Island is 400 tons/year. These are grown in relatively closed cultivated land (exclusive of the lychee area in the park) which is 210 hectares in area (127 hectares of lychee, 27 hectares of longans, 4 hectares of persimmons and 7 hectares of both oranges and tangerines). In the remaining area, custard-apples, jackfruits, apples and pineapples are planted.

- Livestock production:

In 2001-2004 the economic growth in livestock production is 4.75%. Livestock does not only help farmers earn income but also satisfy their daily meat consumption and provide manure to cultivation. Today bee-breeding is relatively developed with the quantity up to 1,748 swarms and the honey production of 3,980 litres. The present honey price is VND40-50 thousand. The sector brings higher economic returns than rice and vegetable growing.

Besides breeding bees, the farmers also keep goats. The total number of goats is 4,700. Goat meat dishes are a tourist attraction.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

- Illegal wildlife hunting:

Wildlife hunting by traps, nets and shotguns still exists in many hamlets. Hunting can cause the extinction of the whole species, especially threatened species which few individuals survive. According to the survey among local inhabitants and the langur project, we can see that in the 1970s there were a number of species living on the island such as white-headed langur with around 1,000 individuals, and many other visible species such as leopards, chameleons, iguanas, snakes and pythons, but today most of these are extinct. Hunting is the biggest threat to the wildlife in the park.

- Method of the following catching aquatic is inappropriate:

Method of inappropriate catching of aquatic wildlife has made aquatic species increasingly scarce, affecting the environment and biodiversity. Snout Otter Clam, lobster, sea crab, etc. are caught in large numbers for tourism and are in decline.

In addition, some people use blasting, poison, and electricity to catch seafood, which quickly exhausts the resource base.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

- Wood exploitation:

Every year about 2220 ster of wood have been exploited for fuel in the family. The wood exploitation does not only damage trees, but it also affects the habitats of species of wildlife.

- Honey exploitation:

Every year, the honey exploitation which is from natural forests is about 200 liters. Although natural honey has high economic value, but the natural honey exploitation is very dangerous for forest resources, if extinguish the fire is forgot which can cause serious forest fire.

b. The role and position of women.

- Women are the people whose direct impact on the natural environment of NP
- They have full participation in activities conservating the nature of NP
- They make alternative livelihoods effectively

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines ... in surrounding areas (positon, location, type, using raw materials ... water and waste water)

None

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent

None

15. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

a. Tourism operations that organize visits to the PA, or provide transport for visitors

Cat Ba tourism has developed since 1996, but actually flourishes after 2000. Tourism development and tourism services are most concentrated in Cat Ba islands. The communes of Cat Hai (before) have developed but insignificantly

b. Guest houses and restaurants that provide accommodation or food for visitors to the PA

Target	Unit	2000	2001	2002	2003	2004
The number of tourists served by resident premises	Thousand times	81	99	103	66	105
International tourists	Thousand times	18	18	30	20	29
Domestic tourists	Thousand times	63	81	73	46	70
The number of tourists served by	Thousand times	34	66	102	154	229

Target	Unit	2000	2001	2002	2003	2004
circulated premises						
International tourists	Thousand times	7	12	30	46	89
Domestic tourists	Thousand times	27	54	72	108	140
The number of resident premises	one	46	47	51	74	90
The number of hotels	one	36	37	41	58	63
The number of rest houses	one	10	10	10	16	27
Tourism revenue:	Billion VND	24	55	65	90	140
The revenue of resident premises	Billion VND	17	33	33	27	39
The revenue of circulated premises	Billion VND	7	22	32	63	101

c. Businesses that use resources form the PA (e.g. spring water bottlers, NTFP processes, etc.)

Vina Capital; Indochina Capital and others private sector already contact and initiated some potential ECT plan in BDNB. However, the overall plan and zoning of the park is not yet approved by the Lam Dong province therefore no plan have been initiate yet.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

20. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

- Cose-French island project: Coordinates eco-tourism knowledge-exchange programs and national park conservation.
- Langur species conservation project: Studied that status and distribution of Langurs in the national park. Trained national park officers on laws protecting the Langurs; erected billboards; equipped two conversation patrol boats to protect Langur species better.
- FFI project (Oct. 2000 to Aug. 2001): Awareness-raising on environment, community issues and eco-tourism.
- WWF Project (April 1999 to May 2000): Community education on environment protection. Produced tables, pamphlets, propaganda photographs and a recycle bin system to serve the tourists.

b. Major national or regional economic development programmes that provide assistance to the site area

None

21. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

Irrigation system in the communes is still limited and does not meet the production needs. At present, all the community's production activities are based on natural water sources, such as rainwater, spring water and sea water wells. Due to the lack of irrigation, some areas of agricultural land can not plant a second crop.

22. Agriculture projects and programmes

Japan – Vietnam Project (JIFPRO 1998 – 2001): In partnership with the Department of Forestry Development, the project aim was to plant 200 hectares of forest and garden plants, and to install a number of signs. The project had wide reach.

23. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

- Built a botanical garden in the center.
- Conducted research on: “Planting multi-species forest under moisture tropical rain forest.”
- Selected fruit tree varieties to build a collection of fruit for ecotourism.

At present, the national park is proceeding with the following programmes:

- + Butterfly collection and building a butterfly farm.
- + Medicinal plant garden.
- + Researching biological features of some wildlife animal species.
- + Research on Snout Otter Clam characteristics and rearing methods the southeast sea area of the national park produced satisfactory results.

24. Tourism and ecotourism activities in the area.

H. Threats to Biodiversity and Underlying Causes - Natural conditions

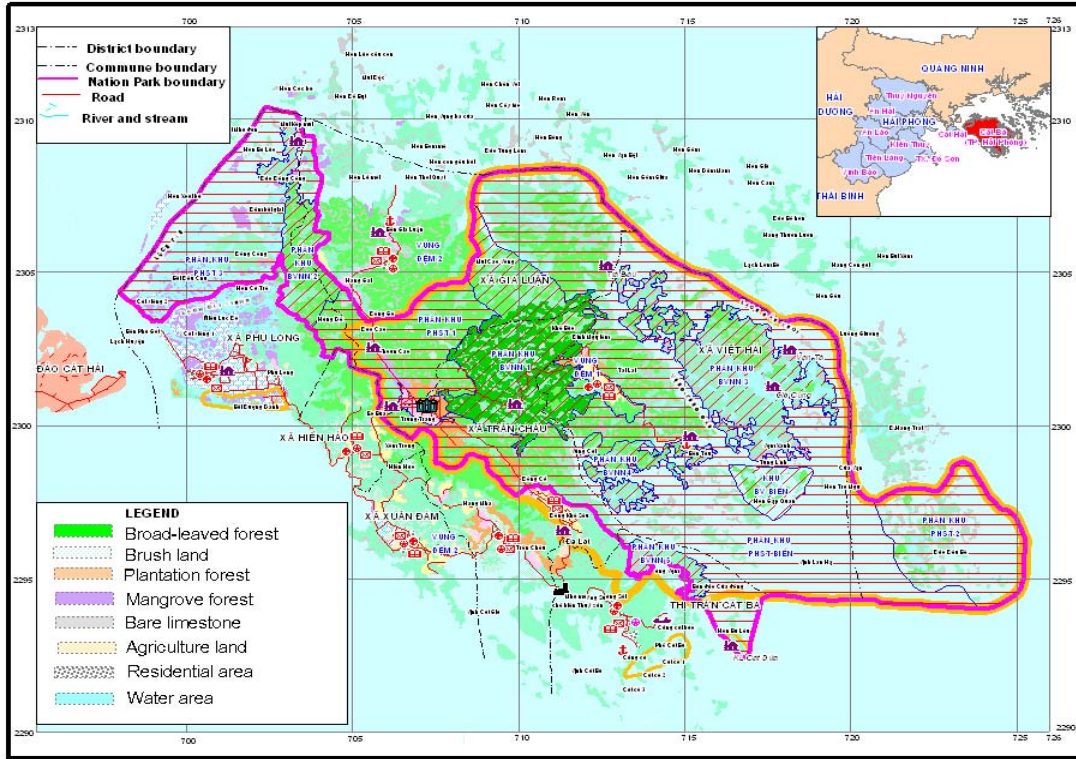
25. Complete the following table (a couple of hypothetical entries are given to illustrate the types of threats/underlying causes. Note that each problem/issue will usually have multiple underlying causes, or barriers to its solution; and that the same underlying cause/barrier may influence several problems:

- Economy and society:

I. Site Maps

26. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.

MAP OF CAT BA NATION PARK 2008



Site Overview: CHU YANG SIN NATIONAL PARK

1. Location and Description:

a) Geographical location:

The National Park lies in geographical co-ordinate:

From 12^o14'16" to 12^o30'58" Northern latitude.

From 108^o17'47" to 108^o34'48" Eastern longitude.

b) Name of province, districts, etc.

Chu Yang Sin National Park lies in the southeast of Buon Ma Thuot city, is 50 km away from city centre, and belongs to 2 districts: Lak district and Krong Bong district.

Krong Bong district includes the communes: Hoa Son, Khue Ngoc Dien, Hoa Le, Hoa Phong, Cu Pui, Cu Dram, Yang.

Lak district has the communes: Yang Tao, Bong Krang, Đac Phoi, Krong Kno.

c) Size

Functional subregion	Area
Stringently protected subregion	53.856
Ecological recovery subregion	5.091
Administrative service subregion	20
The National Park	58.947
The buffer zone	183.479
Total	242.446

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

+ Tropical dense moist evergreen forest

The area is not large: 1.566,02 ha, makes up 2.66% of total natural area. It is scattered in parts of the park near rivers and streams. Soil in the forest shade is red-yellow feralit, developing on Granite in average or thick layers. The annual average air temperature is more than 20^oC; rainfall and humidity are relatively high.

+ Tropical low mountain dense moist evergreen forests

This is the predominant forest type, and covers 29.226,04 ha or 49.58% of the park's area. It is dispersed in elevations ranging from 900 – 1800m around Chu Yang Sin Mountain and scattered in some other places.

Climate condition in this belt is always wet and cool; temperature is from 15 - 20^oC; rainfall is around 2.000 mm/year. Soil is rich; vegetational cover is thick; humus is fairly high; drainage is good; feralit level is less than at lower elevations.

+ Tropical medium mountain dense moist evergreen forests

This type has an area of 2865, 7ha and makes up 4.86% of total area, concentrated at the top of Chu Yang Sin. Climate is obviously different in this higher belt; annual average temperature varies from 10-15^oC; average temperature of the coldest month is below 10^oC. It is a windy and cloudy environment. Soil under the forest shade is shallow, "bony".

+ Subtropical low land light coniferous forest

This type of Pinus kesiya forest is almost homogeneous. It covers a large area north of Kon Tum and near Dalat and Di Linh of Lam Dong province. It has an area of 6950.51ha, makes up 11.79% of the park's

area and disperses in narrow ranges in two zones: in the Northwest (Ea Krong Kmar valley) and in the Southeast (Dak Me valley).

+ Agricultural land

Surrounding communities use this soil to cultivate water-fields and terrace fields. It covers 435.04 ha and makes up 0.74% of total area. It is found in valleys and hillsides, by streams and near villages in the park. Plants grown in this region are: upland rice, wet rice, manioc, corn, sweet potatoes that fulfill the food requirements of people in the zone.

e) Notable other natural features

e1. Topography

Chu Yang Sin is a high mountain system in the south of central Vietnam. It lies to the south of Krong Pach – Lac depression and runs in a northeast-southwest direction. It includes the mountains: Chu Ba Nak (1.858m), Chu Hae’le (1.204m), Chu Pan Phan (1.885m), Chu Drung Yang (1.812m), Chu Yang Sieng (1.128m), Yang Klinh (1.271m), Chu Yang Saone (1.176m), Chu Hrang Kreou (1.071m), Chu Yang Sin top (2.405m). Small narrow valleys are interspersed between the mountains, and there are some smooth valleys along stream and river basins. Their height varies from 450m to 2.405m. Separating level is deep, over 500m, horizontal separating level is from 2 to 2.4km/km² (Daklak’s Atlas, 2005). Mountains in the north and the west slope between 25^o - 35^o, and even over 35^o in some places. On the western and southern sides, the topography stretches out raises gradually, at slopes of 20^o - 25^o.

e2 Climate

Chu Yang Sin National Park zone belongs to the Tay Nguyen (Western mountain) climate of subequatorial tropical monsoons. It follows two primary seasons, a rainy season and dry season, because of the effect of the high mountainous environment. The wet season is warm, from late April to early December. The dry season spans late December to early April.

e3. Hydrography

The National Park has fairly copious water with a dense system of streams and rivers in both the north and south. Density of rivers and streams in the zone is about 0,35km/km². Most rivers and streams flow year-round. Water quality is fairly high, with a low mineralized level and neutral pH. Because of topographical characteristics, there are many waterfalls that are interesting to tourists.

2. Biodiversity: Indicate the basis for biodiversity significance (e.g. high species numbers; endemism; globally threatened species or ecosystems). For endemic spp., specify whether endemic to the site only, local area or country.

A. THE FLORA

Component of the flora

Plant deivision	N. of family	N. of order	N. of species
Lycopodiophyta	2	4	7
Equisetophyta	1	1	1
Polypodiophyta	13	20	35
Pinophyta	5	10	17
Magnoliophyta	134	476	888
- Magnoliopsida	116	360	644
- Liliopsida	18	118	244
Total	155	591	948

Among 948 species of plant found in the park, there are 55 in the IUCN Red Book for Vietnam (1996). Those species represent 5.8% of Chu Yang Sin National Park flora. The park is also home to 26 species on the World List of Threatened Trees (IUCN, 1998), making up 2.7%.

There are also 378 (39.9%) plants endemic to Vietnam and Indochina. Some of them are very narrowly endemic, such as *Pinus Krempfii*, *Pinus dalatensis*.

B. THE FAUNA

List of zoological species listed in chu yang sin NP

Class	N. of species	N. of family	N. of order	IUCN Red Data Book species
Mammalia	57	24	10	25
Aves	203	46	13	16
Reptilia	29	11	2	12
Amphibian	19	5	1	3
Total	308	86	26	56

Animals

Chu Yang Sin Park shelters many large animals with a high conservation value at the international level. Some species of big animals are: *Elephas maximus*, *Bos gaurus*, *Capricornis sumatraensis*, *Megamuntiacus vuquangensis*, *Panthera tigris*, *Hylobates gabriellae*, *Pygathrix nemaeus nigripes*, *Macaca arctoides*, *Macaca nemestria*.

Birds

Four Vietnamese endemic species are found. They are *Polyplectron germaini*, *Garrulax milleti*, *Garrulax yersini*, *Crocias langbianis*. Seven other narrowly endemic species have been found.

There are 16 species found in the Vietnamese Red Book and 9 recorded in the World Red Book.

Amphibians

According to the result of a survey, there 29 species of reptiles and 19 amphibians. Among them, 15 are listed in the Vietnamese Red Book and one species is in the World Red Book.

3. Management structure and capacity:

At present, management of this national park has 32 officers and employees.

C. Operations

4. Number of ranger posts

5. Number of access points (note any that are not gated or do not have guard posts)

The national park can not be penetrated at any position.

6. Quantity of equipment

5 patrol motorbikes

1 walkie-talkie

1 four-seat-car

7. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)

NP now has several protection stations, each one has an area of 60m² built, can serve tourists when they stay temporarily.

8. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)

None

9. Describe monitoring system: what variables are monitored, how frequently, using what equipment, at what cost, etc.

None

F. Socio-economics

10. Population:

a) Size of population of the district(s) within which the PA is located

Villages previously existed in Chu Yang Sin NP, but people have been moved to households outside because of conservation requirements of the park.

b) Major population centres (major villages, nearest cities/ regional centres)

Diagram 04: Population and Labour Situation

Unit: people

Name of districts	Name of communes	Total of household	Number of inhabitants	Male	Female	Total of labours
Krong Bong	General	12565	66350	30630	35720	36764
	Total	8496	45705	21612	24093	23751
	1. Cư pui	1328	7604	3717	3887	4024
	2. Khuê ngọc điền	1239	6733	3270	3463	3568
	3. Hoà sơn	1883	9006	4212	4794	4773
	4. Hoà phong	1221	6662	3132	3530	3534
	5. Hoà lễ	1310	6861	2931	3930	3636
	6. Yang mao	657	3895	1875	2020	1596
Lac	7. Cư đrăm	858	4944	2475	2469	2620
	Total	4069	20645	9018	11627	13013
	8. Đắc phơi	828	4601	2224	2377	3335
	9. Yang tao	1296	6383	2565	3818	3585
	10. Krông nô	976	4326	1705	2621	2892
	11. Bông krang	969	5335	2524	2811	3201

Source: Statistical data from people's committee of communes

In general, the households in the area are clustered in villages and hamlets along the main road outside border of National Park. The labor force in the whole region is 36,764 people, accounting for 55% of the population in the area. This shows the labor potential is high, but the workforce is mainly agricultural and forestry workers, so the quality of labor is low and there is only a small percentage of professional workers.

c) Any significant minority groups in the site area

The whole area has 7 major ethnic groups living together is: E đê, M'ngong, H'Mong, Nùng, Muong, Tay and Kinh. After the Kinh, M'Nong and Ê đê are the two largest groups.

d) Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)

The H' Mong, Tay, Thai, Nùng from the Northern provinces (mainly Ha Giang province) came to by free migration.

At first, the free migration of the H'Mong, Tay, Nùng caused land-sharing conflicts with local people, but previous residents have started studying some farming-forestry cultivation techniques from the H'mong, Nùng, Tay.

11. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

Cultivation

+ Annual plants

Due to specific conditions of terrain, harsh soil and climate, a weak irrigation system and outdated farming technology, people experience difficulty cultivating the land. Upland rice and colour plants cultivated on kaingins are often high productivity first crops, but the productivity of subsequent crops is low and uncertain. Because the population pressure and an increasing demand for food, the local people still continue to destroy the rice planting area by burning terrace-fields to make kaingins.

+ Perennial

Perennial crops are: coffee, sugarcane, cotton, tobacco, cashew, and pepper with on a fairly large scale. Total perennial area is 3,661 hectares, more than the total area of rice fields and milpa. After several challenging years for cultivation and consumption, it has been identified that cocoa-tree and pepper suit the conditions here and can be developed extensively on most of communes of the buffer zone.

Livestock

Livestock is mostly raised as a subsistence activity, mainly focused buffaloes, cows, goats, chickens, and ducks.

The number of cattle and other animals in households is relatively large but most of the varieties are quite old. Therefore, the animals are slow growing and the productivity is not high.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

Animals are still hunted in the national park, but no specific data exists.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

Exploiting forest products illegally and burning off land for cultivation happen regularly, but no specific data exists.

b. The role and position of women.

There is no data on the role of women in activities within the NP.

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines ... in surrounding areas (position, location, type, using raw materials ... water and waste water)

None

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent

None

12. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

a. Tourism operations that organize visits to the PA, or provide transport for visitors

Chu Yang Sin National Park has high tourism potential and could be developed easily because of the transport system between the national park and Buon Ma Thuot city. The surrounding districts of Dak Lak province and districts of Lam Dong province have been formed and connected with each other without interruption.

b. Guest houses and restaurants that provide accommodation or food for visitors to the PA

Infrastructure system and tourism services for the NP are still not developed.

c. Businesses that use resources from the PA (e.g. spring water bottlers, NTFP processes, etc.)

Up to now, the national park has no business plan based on natural resources.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

13. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

DANIDA-funded project aimed at increasing purified water in the park.

b. Major national or regional economic development programmes that provide assistance to the site area

None

14. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

Only the communes of Cu Dram and Yang Mao have clean water systems, provided by the DANIDA project. However, the pipes in these systems are damaged and drip, causing much water loss. Most people of the other communes use drilled wells or natural wells.

15. Agriculture projects and programmes

None

16. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

None.

17. Tourism and ecotourism activities in the area.

At the present, there are no specific tourism activities sponsored by the national park.

Natural resources and tourism potential:

With interlacing systems of rivers flowing through the areas with high mountains and small, narrow valleys, the scenery is attractive. In the dry season, streams dry up, so people can see large and flat expanses of rocks of various shapes. The most brilliant tourism corridor from the barrage for hydroelectricity, near Krong K'ma town, along Krong K'ma stream to the Huong Loi crossroad. This path leads to the Krong K'ma waterfall. The path from Daktour village, along Daktour stream to near the foot

of Chu Yang Sin Mountain has many beautiful scenes: Daktour waterfall and Daktour cave, where the leaders of Dak Lak province stayed during the war. The abundance of plants and animals in the forest makes the natural scenery here very interesting.

H. Threats to Biodiversity and Underlying Causes - Natural conditions

18. Complete the following table (a couple of hypothetical entries are given to illustrate the types of threats/underlying causes. Note that each problem/issue will usually have multiple underlying causes, or barriers to its solution; and that the same underlying cause/barrier may influence several problems:

Staff organizing:

The staff inside the national park lacks the quality and quantity to manage a conservation area that is large and at risk of damage from many forces. It is necessary to strengthen the quality and quantity of the staff so that they have the ability to manage and protect the conversation area.

Investing fund:

At present, the fund is mainly used for basic construction, planting, protecting the forest, and directly and indirectly for project management.

However, the fund now is insufficient to fully protect Chu Yang Sin, which has large scale, is distributed over many communes and faces numerous threats.

Other needs include organizing a meeting about boundaries, building boundary posts and building sufficient, high quality security stations.

Status in the national park:

- People living in the park still burn and damage the forest for farming. Park security cannot control that activity.
- Forest products are still stolen; wild animals are still hunted and sold; biodiversity is menaced more and more seriously.
- Scientific research programs haven't been carried out yet.

I. Site Maps

19. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.



Site Overview: tien hai NATIONAL PARK

1. Location and Description:

a) Geographical location:

Latitude

20⁰15' - 20⁰22'N

Longitude

106⁰34' - 106⁰38'E

b) Name of province, districts, etc.

Tien Hai National Park is in Tien Hai District, Thai Binh Province.

c) Size

According to the management plan, the park covers an area of 12,500 ha.

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

- Forest ecosystems of tropical broad-leaf mountain plants
- Exposed coast, Saltmarsh, Sand-flatsm, Sandy beach, Dune
- Deep river channel and estuaries
- Mangrove
- Casuarina equisetifolia
- Aquaculture ponds
- Salt ponds

e) Notable other natural features

e1. Topography

The park is situated at the mouth of the Red River, in the south of Tien Hai district, Thai Binh province. The site is bordered by the Red River (also called the Ba Lat River) to the south, the Lan River to the north and the main sea dyke to the west. There are two sandy islands within the nature reserve: Vanh Island, which covers 2,000 ha and Thu Island, which covers 50 ha. Thu Island is situated about 4 km from the mainland, and the intervening intertidal area comprises sand-flats. Vanh Island is separated from the mainland by a deep-water channel, the banks of which are covered by mangrove, most of which is included within aquacultural ponds. There is another extensive area of aquacultural ponds on the north bank of the Red River.

e2 Climate

The park has tropical weather with light humidity. Monsoons coincide with two months of winter, with average temperature under 18C. The rainy season spans May to October.

The average temperature of the hottest summer month is more than 25C. The dry season is two months, but there is no drought month. Spring is longer and characterized by humid air and frequent drizzle.

- 2. Biodiversity: Indicate the basis for biodiversity significance (e.g. high species numbers; endemism; globally threatened species or ecosystems). For endemic spp., specify whether endemic to the site only, local area or country.**

A. THE FLORA

The site supports 12 habitat types, of which the most important are sand dune, reedbed and mangrove. In addition, the intertidal mudflats are an important habitat for feeding shorebirds. The mangrove at the site is dominated by *Kandelia candel*, and mostly enclosed within aquacultural ponds. The sandy islands support *Casuarina equisetifolia* plantations.

B. THE FAUNA

A survey in 2008 recorded the Critically Endangered Black-faced Spoonbill *Platalea minor* in the park.

- 3. Management structure and capacity:**

Currently, no management board is specifically dedicated to the park. Management comes from Tien Hai District.

C. Operations

- 4. Number of ranger posts**

None

- 5. Number of access points (note any that are not gated or do not have guard posts)**

The coastal border allows many potential sites for penetration.

- 6. Quantity of equipment**

None

- 7. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)**

None

- 8. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)**

None

- 9. Describe monitoring system: what variables are monitored, how frequently, using what equipment,**

at what cost, etc.

None

F. Socio-economics

10. Population:

a) Size of population of the district(s) within which the PA is located

The district capital is on Route 39B at Thai Binh. The district is 286,980km² including 16,684 ha of agricultural land. Its population is 211,000 people, including 100,000 people of employable age.

b) Major population centres (major villages, nearest cities/ regional centres)

No information

c) Any significant minority groups in the site area

The Kinh ethnic group accounts for the majority of ethnic composition.

d) Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)

No in/out migration in the region.

11. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

As of 2002, the district had 3500 ha of aquaculture breeding ponds producing more than 9000 tons of aquatic products annually and raising the districts total output of catch and aquaculture to nearly 15,000 tons.

Thousands of hectares of water surface in the compensation beach estuaries have been converted for aquaculture, ngao and gold.

The district has 85,000 pigs and 4,000 buffaloes and cows. There are dozens of livestock-raising farms.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

No hunting the animal in the Nature Reserve.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

No data

b. The role and position of women.

No data

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines ... in surrounding areas (position, location, type, using raw materials ... water and waste water)

None

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent

None

12. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

a. Tourism operations that organize visits to the PA, or provide transport for visitors

Tourism in the district is undeveloped. Dong Chau beach has some limited tourism services.

b. Guest houses and restaurants that provide accommodation or food for visitors to the PA

None

c. Businesses that use resources from the PA (e.g. spring water bottlers, NTFP processes, etc.)

The potential and benefit from aquaculture have been identified. Many economic sectors have been promoting investment in this model with hundreds of ha of breeding ponds. District authorities continue converting agricultural land to shrimp farms and creating favorable conditions for individual households to develop aquaculture. Aquaculture in Tien Hai will develop further because the province is constructing processing factories and production centers, and supplying animal feed.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

13. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

None.

b. Major national or regional economic development programmes that provide assistance to the site area

None.

14. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

None.

15. Agriculture projects and programmes

None.

16. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

None.

17. Tourism and ecotourism activities in the area.

Though not classified as a tourism activity, people sometimes visit the beach area in and around Tien Hai to relax and picnic.

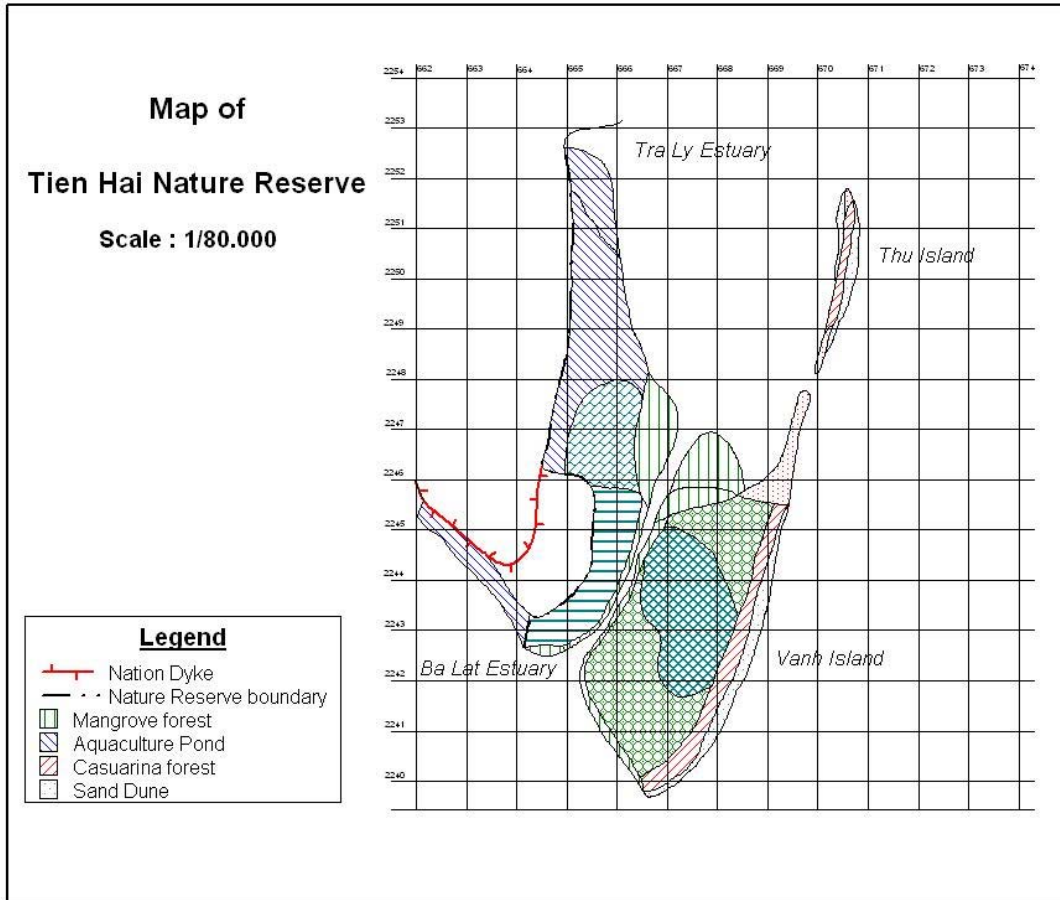
H. Threats to Biodiversity and Underlying Causes - Natural conditions

18. Complete the following table (a couple of hypothetical entries are given to illustrate the types of threats/underlying causes. Note that each problem/issue will usually have multiple underlying causes, or barriers to its solution; and that the same underlying cause/barrier may influence several problems:

I. Site Maps

19. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.

- To present areas salt-marsh mangroves are only narrow the range of each other. Many shrimp ponds exist in special forests. Some travel companies free implement their own business made breaking landscape of the park.
- Almost management board dissolve, remained only a professional staff to do.



Site Overview: XUAN THUY NATIONAL PARK

1. Location and Description:

a) Geographical location:

20⁰10 'to 20⁰15' North latitude,
106⁰20 'to 106⁰32' east longitude

b) Name of province, districts, etc.

The communes are Giao Thien, Giao An and Giao Lac, Giao xuan and Giao Hai in Giao Thuy District, Nam Dinh Province.

c) Size

The park covers an area of 7100 ha.

d) Main natural ecosystems (and extent); including production, conservation, protection and conversion forest

d1. Mangrove forest

d2. Casuarina forests limestone

d3. Shrimp pond

d4. Sand dunes and sand yards

d5. Deposits of silts

d6. Streams, rivers and sea surface

e) Notable other natural features

e1. Soil

e2 Climate

e3. Hydrology

e4. Tide

The tidal range is very weak with a range averaging 150-180 cm. The maximum tide is 3.3 m and minimum is 0.25 m.

2. **Biodiversity:** Indicate the basis for biodiversity significance (e.g. high species numbers; endemism; globally threatened species or ecosystems). For endemic spp., specify whether endemic to the site only, local area or country.

A. THE FLORA

Table 05: List of Flora in Xuan Thuy NP.

Plant division	Number of families	Number of orders	Number of species
1. Psilotophyta	4	6	6
2. Angiospermae	38	93	109
2.1. Dicotyledones	32	68	85
2.2. Monocotyledones	6	25	34
Total	42	99	116

B. THE FAUNA

Table 06: Number of animal Taxa listed in Cat Ba NP

Class	Species
Animal	10
Birds	215
Reptile	7
Amphibian	3
Fish	107

3. Management structure and capacity:

At present, management has 18 officers and employees.

Staff and operators list of Xunathuy national park management affair

a	Name	Title	Remark
1	Nguyễn Việt Cách	Director	Regular
2	Nguyễn Phúc Hội	Vice-Director	Regular
3	Phạm Vũ ánh	Chief of Protection Dep.	Regular
4	Lê Tiên Dũng	Chief of Scientific Dep.	Regular
5	Lưu Công Hào	Chief of Technology Dep.	Regular
6	Phan Văn Trường	Employer	Regular
7	Trần Thị Trang	Employer	Regular
8	Trần thị Hồng Hạnh	Employer	Regular
9	Đặng Thành Vinh	Employer	Regular
10	Phạm Văn Vy	Employer	Regular
11	Hoàng Văn Học	Employer	Regular
12	Phạm Văn Chính	Employer	Regular
13	Lê Quang Dũng	Employer	Regular
14	Nguyễn Thị Hiền	Employer	Regular
15	Doãn Cao Cường	Employer	Regular
16	Vũ Văn Đạt	Employer	In-regular
17	Nguyễn Thị Hiền	Employer	In-regular
18	Nguyễn Văn Thuận	Employer	In- regular

B. Budget and Revenue

4. Annual budget (also describe any significant trends over last 5-10 years) – show budget for last 5 years

Unit: million VND

No.	Investment line	2004	2005	2006	2007	2008
1	Infrastructure development	8000	8000	3000	3000	6000
2	Operational cost (salary, office run cost)	24/per/year	26/per/year	28/per/year	30/per/year	32/per/year
3	Scientific activities					
4	Other sources of income					
	a) Environment protection				145	145
	b) International support	\$60,000	\$60,000	\$100,000	\$200,000	\$250,000

5. Show current annual budget with cost unit breakdown

- Environment protection
- Operational cost
- Infrastructure development

6. What is estimated budget for 2009 (upcoming year)

- Environment protection: VND200 million
- Operational cost: VND600 million
- Infrastructure development: VND7,000 million
- International support: \$200,000

7. How is the budget estimated?

- As mentioned above

8. How is the budget allocated to cost units?

- As mentioned above

9. How does it compare to other PAs (similar, in area etc)

- It is rather high compared to the other ones because the park is a Ramsar site and Biosphere Reserve.

10. Sources of revenue over the last 3 years (also describe any significant trends over last 5-10 years)

- Government budget – amount and %:
 - Majority
- Entry fees (number of visitors (broken down by domestic and international), per capita fee, estimate of percentage that actually pay); What is fee structure? How is collected?
 - Not yet applied.

- c) Concessions/leases (describe each concession and amount paid); What is fee structure? How is collected?
- Small proportion.
- d) PES (describe type of service, quantity, payment structure):
- Not yet applied.
- e) Other (describe)
- N/A.
11. **Estimated potential for current sources of revenue: what number of additional tourists could be attracted with suitable investments, etc., and explain why such investments have not been made:**
- There are about 1,000 foreign visitors and 10,000 domestic visitors annually.
- a) Explain what studies have been carried out to support new revenue mechanisms:
- Environment leasing for sustainable aquaculture and ecotourism development can earn high revenue.
- b) If tourists visit the PA, have there been any analyses of the reaction to the levels of the entry fee?
- Have not yet applied.
12. **As-yet untapped revenue potential: describe any potential sources of revenue that have not yet been tried (e.g., PES, sustainable harvesting, etc.) and explain why they have not yet been tried**
- Sustainable aquaculture and exploitation of aqua products.
13. **Proportion/percentage of revenue retained by PA; destination of remainder (e.g., PPC, Dept of Forest Protection, etc.)**
- Not yet available.

C. Operations

14. Number of ranger posts

There is 1 ranger post in the park with four rangers Nam Dinh forest office.

15. Number of access points (note any that are not gated or do not have guard posts)

There were many entrances to the park because the park's borders are connected to land and sea, enabling easy access to the heart of the park.

16. Quantity of equipment

Motor bike: 3

Car: none

Motor boat: 2

Other equipment are just enough to protect the park

17. Number and description of tourist facilities (interpretation centres, overnight accommodations, restaurants, etc.)

All tourism services use park facilities:

- Motel capacity for 20 guests
- 2 conference halls with capacity of 40 guests and 160 guests
- Dining hall with capacity of 40 guests
- 2 water road transportation boats for 7 and 15 guests

18. Describe potential for cost savings (e.g. by sharing equipment with other PAs, joint patrolling with other PAs, use of non-PA equipment and facilities, etc.)

Basically, the park's facilities can be utilized to cooperate or support to other conservation activities.

19. Describe monitoring system: what variables are monitored, how frequently, using what equipment, at what cost, etc.

CURRENTLY, THERE IS ONLY 1 OBSERVATION PROJECT FROM FORESTRY SCIENCE INSTITUTE FOR MAPPING AREAS OF SALT MARSH MANGROVE FOREST.

D. Business planning and financial reporting

20. Have there been any analyses of potential tourist visits, the types of investments required to attract tourists, and the tourism carrying capacity of the PA?

- The report on potential ecotourism was undertaken by the park.

21. Does the PA have a business plan?

- Not yet

22. If not, what information that would be required to prepare a business plan is missing?

- N/A

23. What is the system of financial reporting – to whom does the PA report, what form does reporting take, and at what frequency?

- According to the current management system, the park is managed directly by the Nam Dinh PPC and DARD.

24. Who is in charge of financial planning, budgeting, investments etc?

- DARD and relevant provincial agencies

E. Optimum management costs

25. What is the estimate of the PA director of the optimum staffing level for the PA, taking account of threats to biodiversity, the potential to develop tourism, the potential to manage sustainable harvesting of natural resources, etc?

a) What is the breakdown of the optimum staffing structure (e.g. rangers, tourist guides, monitoring specialists, etc?)

- 18-20 staff are needed in total with deployment depending on importance of the ecosystems.

b) What would be the staff costs of the optimum staffing structure?

- At least VND2-3 million/staff/month.

26. What other investments would be required for optimum management of the PA? Provide details of the number and types of investment

- Ecotourism
- Community development
- Capacity building for the park

27. What other costs, besides staffing and investments, would be required for optimum management?

- Allowance and special incentives for staffs of the park

F. Socio-economics

28. Population:

a) **Size of population of the district(s) within which the PA is located**

No one living inside the park.

b) **Major population centres (major villages, nearest cities/ regional centres)**

5 COMMUNES IN BUFFER ZONE 46,148 PEOPLE WITH 11,464 HOUSEHOLDS.

c) **Any significant minority groups in the site area**

None.

d) **Any significant recent in- or out-migration and reasons for it (rural-urban migration, etc.)**

No major changes in the migration, migrants in the region.

29. Socio-economics:

a. Major socioeconomic activities and scale:

i. Agriculture: what crop type, what farming methods, main locations around the site, which villages are involved, for each major crop type

Agriculture is one of key sectors focusing, notably tree crops and livestock. Rice occupies 93% and vegetables 7% of planted area. Rice production is 29,340 tons per year or 623kg/person/year.

Local people plant orange, mandarin orange, lemon, and banana trees.

- Livestock production:

All buffer zone households do breed cattle and poultry. On average each household breeds 1-2 pigs, 14-15 poultry. Pig and poultry numbers are growing rapidly.

ii. Fishing and hunting: what types of animals, main areas where the activity occurs, whether it is a primary or occasional activity, for personal consumption or sale.

Fishing in park is ubiquitous.

Waterbird hunting occurs in migration season using mesh net and snare. Sometimes shot guns are used. Overall, hunting is not a serious threat inside the park.

iii. Collection/harvesting of non-timber products: what products are harvested, are they processed locally, sold locally, sold in urban centres, exported; are there any enterprises associated with processing and marketing?

b. The role and position of women.

- Women are the direct impact to the environment and resources in park
- They full participation in conservation activities for protect in park.
- Implementation of alternative livelihoods is quite effective.

c. Major industrial and commercial activities in the area:

i. Planting kinds of industrial trees, exploiting ore, mines ... in surrounding areas (position, location, type, using raw materials ... water and waste water)

Local industry is almost negligible.

ii. Industrial-scale agricultural or plantation operations in the vicinity (e.g. rubber etc.) and extent

- Trade mainly from self-sufficient, to solve problems of local areas
- Travel: only occur in small-scale, effectiveness and impact is not large

30. Businesses that benefit from the PA (describe approximate revenues from activities related to the PA)

a. Tourism operations that organize visits to the PA, or provide transport for visitors

- Hotels, tour guide, travel, and food.

b. Guest houses and restaurants that provide accommodation or food for visitors to the PA

- The motel has about 30 guests a day and local communities receive about 25 visitors/day.

c. Businesses that use resources from the PA (e.g. spring water bottlers, NTFP processes, etc.)

- Results profits derived from tourism is new is the symbol.

- Business outside type of aquaculture resources, mineral water, local culture.

G. Baseline Development Situation

Note: for all activities, provide a description of the project, the Government institution responsible, estimated expenditures per year for the last two years and estimates/ budgets for expenditure over the next 5-7 years, where available.

33. Socio-economic development activities

a. Socio-economic development assistance (development projects, on-going assistance) for villages or communities in and around the site area.

- Project central area: approved in 2003 and was extended in 2010 to scale VND60,249 million. Has been about 2/3 plan.
- Project area buffer: PPC approved in 2005, extended to 2010, the size of above VND99,000 million, held made around 1/2 plan.

b. Major national or regional economic development programmes that provide assistance to the site area

- Project of marine conservation center and community development (MCD) to develop livelihoods and management appropriate.
- Project of Alliance of International down (WAP) on strengthening of the management board and local support and develop alternative livelihoods for effective local community.
- Projects by Birdlife international conservation important bird areas in the region under Con Lu central Xuan Thuy National Park.

34. Drainage and irrigation programmes around the PA (dams, irrigation projects, water supply projects, etc.)

There is one project on fisheries and irrigation.

35. Agriculture projects and programmes

There are also projects on forestry:

- New projects in the 5 million hectares (Project 661)
- Project farm extension, extension forestry, fishery extension

36. Scientific research, genetic conservation, etc. programmes in the site area, or working on ecological systems/ forest types/ species found in the site area.

as:

- 02's Project University of the Netherlands and the University of Vietnam (1996) of biological, geological and socio-economic

The research project applications such as:

- Research monitoring conservation monitoring migrant birds and mangroves forest
- Research cyster : Study on species & models suitable cultivation
- Research building models livelihoods replaced effective and sustainable

37. Tourism and ecotourism activities in the area.

- In the park: receive hundreds of international guests and thousands of domestic guest/year.
- The community has built a model community ecotourism venture that receives hundreds of tourists per year, many international guests.

H. Threats to Biodiversity and Underlying Causes - Natural conditions

38. Complete the following table (a couple of hypothetical entries are given to illustrate the types of threats/underlying causes. Note that each problem/issue will usually have multiple underlying causes, or barriers to its solution; and that the same underlying cause/barrier may influence several problems:

On planning:

The park was established on 2/1/2003 under the Decision No. 01/TTg of the Prime Minister by upgrading from the Xuan Thuy conserve established in 1994. So the park was established mainly still based on the data in the investigation and planning by the year 1993-1994.

That time the method defined boundaries, the area features of the conservation and buffer areas are not clearly defined and unified the management of special use forests, issued under Decision 08 / 2001/QD-TTg dated 11/01/2001 of the Prime Minister.

Management.

The park was established primarily to protect ecosystems and land drown the living aquatic species birth, but is managed by Regulation (08/2001 and 186/2006 ago now). There is a need to review.

Example 1: Every day thousands of people visit the park, even the strict protection zone to fish. This is completely against the regulations on forest management. Example 2. It is very difficult to define a border protection, and local people can earn millions of VND per day if they collect oysters in the park.

Development of ecotourism

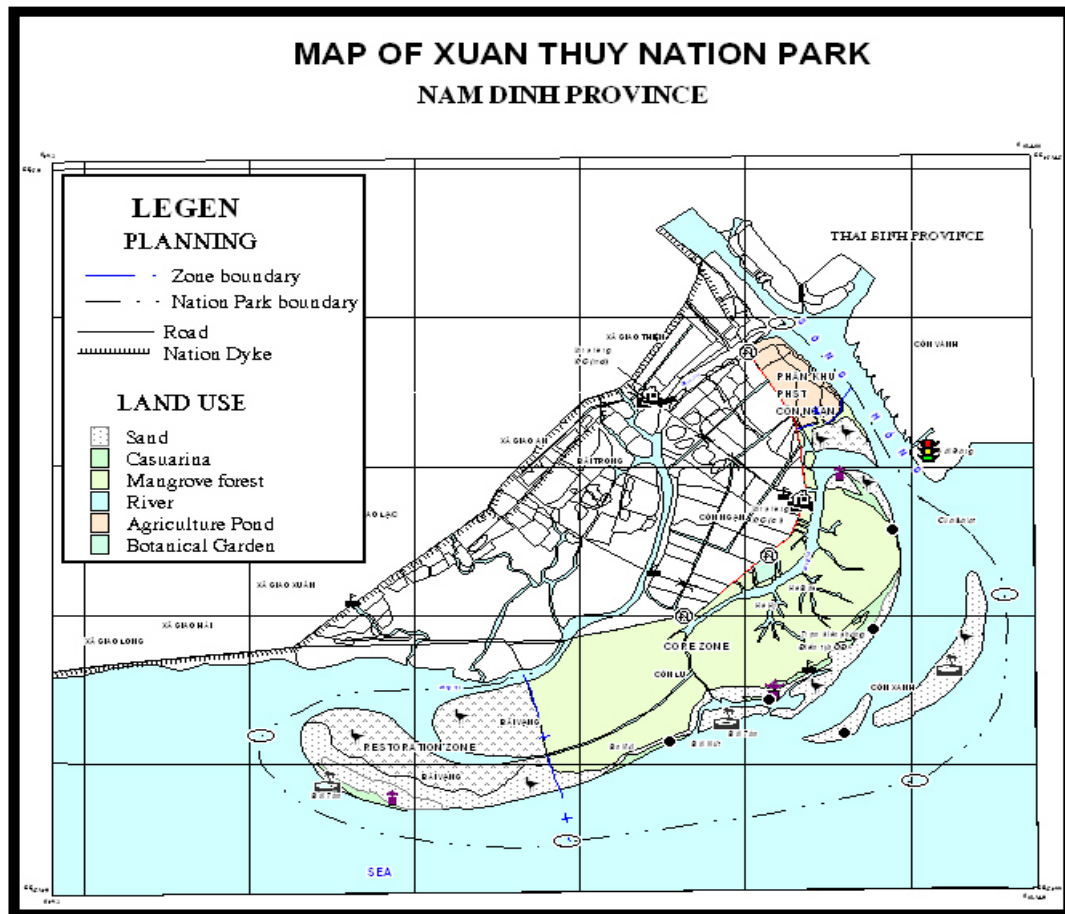
The park has great potential for ecotourism. It not only attracts local customers, but also meets the requirements of tourists from South China and Laos.

In the buffer zone up to 46,000 people and about 40% income of people depend on natural resources of the park.

The staff mainly include foresters with little knowledge of PA management ecosystem. There are no fisheries officials to manage marine resources.

I. Site Maps

39. 1-page illustrative map for inclusion in the site report, showing major ecological and socio-economic features, and threats/ issues.



Annex 7: Results of surveys on awareness of PA issues

1. Urban population

Study sampling

A sample of 116 urban people in the cities of Hanoi (42), Danang (33) and Ho Chi Minh (HCMC, 41) was interviewed during October and November 2008. Most of these interviewees are adults aging from 20-50 (84 individuals), and the rest are below 20 year old (16 individuals) and over 50 (6 individuals).

Gender among these interviewees is relatively balance at a ratio of 51 men and 65 women.

Regarding to education levels, all interviewees were from higher secondary and beyond. Averagely, among every 5 individuals interviewed, there are 2 that have obtained university education. Most of interviewees in Hanoi are of university education.

Students and company workers take majority of the sample with 34 and 29 in respective. State officers and businessmen are less.

Regarding to career, interviewees in Danang and HCMC are more diversified than that in Hanoi.

The interaction of urban public and protected area system in Vietnam

The ratio of urban people who know and are able to explain those terminologies such as “national park” and “nature reserve” are very low, ranging from 4-12%. This proves these terminologies that have not yet been informed commonly or are not close among public communication in urban areas, or urban people have not yet paid attention to receiving and perceiving such words/concepts.

The ratio of urban people not understanding common terminologies relating to natural resources and nature conservation in Hanoi is quite high (almost 41%) in comparison to that in HCMC (29,3%) and Danang (12,1%). The ratio of urban people knowing those conservation terminologies in Danang that is likely better than people in two other cities.

The terminologies of “natural resources” and “rare and endangered species” are relatively “friendly” to urban people, while the terminology “biodiversity” is known or explained by few people.

Most of urban interviewees are not able to tell name of any national park (NP) and nature reserve (NR) in Vietnam (approximately 75%), of which this ratios in Hanoi and Danang are the highest respectively to 78,57% and 75,76%, following by HCMC (70,7%). The remaining ratio about 25% referring to those who are able to name at least one among 14 NPs and NRs (see the list of named NRs and NPs).

Urban people can only name of those NPs surrounding their areas or nearby provinces. For instance, people in Hanoi can name NPs such as Cuc Phuong and Ba Vi; Danang’s people can name Bach Ma NP; and people in HCMC can name Cat Tien and U Minh Thuong NPs. One reason for this is that those people once had chance of visiting those NPs.

None of NRs that were mentioned during urban interviewees in three cities. Public responses pointed out that there is no clear relation/impact of conservation/environmental information/communication activities by protected areas and government agencies to public awareness and interests.

Urban public awareness towards NPs/NRs' purposes and operation

The survey's findings show that more than 1/3 number of interviewees do not know the reasons for establishing NPs/NRs done by the Government. The ratio of people not aware that in HCMC is clearly higher than that in Danang and Hanoi respectively to 48.8%, 36.4% and 16.7%.

Maintaining/preserving fauna and flora resources and/or environmental protection that are two reasons usually referred by interviewees when addressing to the purposes of NP/NR establishment. A few of interviewees knew other purposes of NPs/NRs in Vietnam such as scientific research, ecotourism, etc.

Most of interviewees can raise at least one function (or activity) of NPs/NRs. This response was mainly based on their self-deduction during the interview. The survey points out that more than 75% interviewees can name at least one function of NPs/NRs. Averagely, about 20-25% of interviewees in each city can raise main activities of NPs/NRs as follows:

- Patrolling and protecting forests/habitats/marine and preventing forest fire;
- Preventing illegal wildlife hunting, transportation and trade; and
- Stopping, solving and confiscating resources from illegal exploitation.

There are few urban people knowing other activities of NPs/NRs such as awareness raising, community outreach/mobilisation towards law enforcement, ecotourism development, consultation for local authority on NP/NR protection; and supporting to implement community development projects (less than 18%).

Urban public awareness towards status, changes and challenges in PA management

By 2008, Vietnam has about 130 established NPs and NRs. However, when asking people this figure, nearly 75% of interviewees gave wrong answer. **It is clear that most of urban public do not have information about quantity of PAs of Vietnam.**

The survey tells that there is a high proportion of interviewees can properly predict the number of PAs in Vietnam has been increased for last 10-20 years. Besides that, many others know nothing about this reality.

When addressing to stakeholders, most of interviewees in Hanoi, Danang and HCMC agreed, with the ratio from 60-86%, that responsibility for PA management in Vietnam belongs to 4 following actors:

- PA Management Board
- Central/Provincial/District Forest Protection Departments
- Local authorities (PPC)
- Other departments such as DoNRE, DARD

Other important stakeholders such as army forces, police and local social organisations are less mentioned by interviewees. In practice, PA management in Vietnam would not be successful without collaboration and participation of those stakeholders, especially in addressing illegal exploitation and violation of PAs natural resources.

When addressing challenges towards current PA management, most of interviewees expressed that wildlife hunting and trade and illegal logging are the most challenging problems. **The survey find out that urban public does not rank development activities such as mining, road construction and hydropower development are serious threats towards PA management in Vietnam.** In reality, wolfram mining in Chu Mom Ray NP, hydropower construction in the west of Quang Nam province, or Ho Chi Minh highway construction in Cuc Phuong NP that were ever became controversial in the society when predicting potential risks and damages might cause for biodiversity resources that could not observe at the moment.

Challenges/Difficulties	Rate (%)
Wildlife hunting, trade and consumption	83.6
Illegal logging	81.0
Forest clearance and fire for agricultural and aquacultural production	65.5
Forest fire	62.1
Overexploitation of NTFPs	52.6
Rangers are irresponsible, supporting illegal loggers/hunters to exploit in NPs/NRs	51.7
Unadequate human/ranger force for protecting NPs/NRs	50.0
Impacts caused by visitors, including littering and tree-cutting	44.8
Related government policies and legislation overlapped barriering PA management	33.6
Mining inside NPs/NRs	31.9
Construction of roads, dams and hydropower plants inside/nearby NPs/NRs	23.3
Invasion of alien species	17.2

In summary, the survey results above show that urban people in big cities have little understanding and information about PA system in Vietnam. This points out the levels of “familiarity” or “connection” between urban people and PA system are very weak, or saying other words, the system of Vietnam PAs that is not on attention of urban people in regarding to their values (both materially and immaterially). However, when asking intentional behaviour towards “willing to pay” of urban people, most of interviewees said they are always willing to buy tickets or pay fees for their entrance to a NP or NR. The willingness of Hanoi people is highest at a rate of 92.86%, and followed up by HCMC (78%) and Danang (75.76%).

However, the recent survey by TRAFFIC (2007) revealed that people living in big cities like Hanoi are likely critical threat to biodiversity resources of PAs. More than 47% of 2000 interviewed individuals in Hanoi said that they have ever been used wildlife products, mainly as special food or for health remedies. Most of these consumers are educated people with high income, particularly government officers and businessmen. The survey finds out that wildlife consumption by Hanoi’s people is becoming increasingly and commonly along with the raise of their income. It also figures out that the awareness of law enforcement of Hanoi’s people towards conserving endangered and rare species are very low and inadequate. Only 8% that are those people paying attention to media programmes relating to environmental protection.

2 Local Communities in PA Buffer Zones

Study sampling

Researchers have randomly interviewed 96 local household representatives living in buffer zones of Xuan Thuy NP (28 persons); Bi Đup-Nui Ba NP (29 persons); and Cat Ba NP (39 persons). Most of interviewees are Kinh people, aged ranging from 20 to 50, literate (at least obtained primary education);

and have been living in their areas for over 20 years, and living mainly based on agricultural and forestry productions.

Sampling characteristics		Total	Xuan Thuy NP	Cat Ba NP	Bi Đup - Nui Ba NP
Gender	Male	69	23	21	25
	Female	27	5	18	4
Age	<20	3	1	2	0
	20-50	68	19	25	24
	>50	25	8	12	5
Ethnic	Kinh	69	27	38	4
	Others	27	1	1	25
Education	None	10	1	1	8
	Pri/Secondary	58	18	22	18
	High school	23	6	15	2
	Above H.S.	5	3	1	1
Years of living in their areas	<5 years	5	0	3	2
	5 -20 years	29	3	14	12
	>20 years	62	25	22	15
Career	Agriculture	69	15	29	25
	Government work	9	4	3	2
	Business/Services	12	6	4	2
	Others	6	3	3	0

Local community's basic understanding towards NPs/NRs

The survey results show that most of interviewed (buffer zone) villagers are known the presence of the park in their area. More than 90.6% interviewed villagers have confirmed that perception. However, over ½ of them knew the year that NP was established, the location where the park's headquarter placed, and the park boundaries (around 56%). Clearly, the remaining 44% of those villagers do not know above facts.

Another study by PanNature (2007) in the buffer zone of Chu Yang Sin NP in the Central Highland's Dac Lak province found up to 55.5% of interviewed villagers that did not know the presence of the Chu Yang Sin NP, even its field-rangers were monthly at their village meeting and talking about forest protection. This consequences were caused by the following reasons (1) few villagers came to monthly village meeting because they did not care forest protection stories informed by park rangers; (2) not all villages in buffer zone were engaged to such meeting with ranger talks; 3) information delivered by park rangers were inadequate, not making villagers remembered "the park is here or close to your house"; and (4) no or little information about the park delivered through village/commune broadcasting system, local television, or information boards.

Though the park is present at their area, but many villagers have no sense for the "national park" with proper perception about its concepts. For instance, many local villagers in Giao An and Giao Thien communes in Xuan Thuy NP's buffer zone cannot determine the presence of a national park being in the area, because they usually call Xuan Thuy NP by another name known as "environmental area". Or indigenous M'ngong people in Krong Bong district usually call Chu Yang Sin as "forestry area" (also as civilculture area) instead of "national park". These show poor connection between local communities and the park and vice versa on both the dimensions of information and human. This was consolidated by a fact that 63.54% of interviewed villagers did not know the Director of the park.

Indicators	Do Know		Don't know	
	Quantity	%	Quantity	%
Knowing the presence of the park at the area	87	90,63	9	9,37
Knowing the year the park established	54	56,25	42	43,75
Knowing reasons to establish the park	75	78,13	21	21,87
Knowing where the park headquarter is	55	57,3	41	42,7
Knowing who the park Director is	35	36,46	61	63,54
Knowing where the park boundaries are	54	56,25	42	43,75

The survey finds that local villagers do not aware or can state properly the purposes for establishing the park at their area, even though 75% of interviewed villagers believed that they knew those reasons. Many villagers cannot name important/endangered species of mammals or birds of the park and/or being protected by the park.

Community understanding about the operation and influence of the parks

Thought there are not many connection to the park, but many interviewed villagers can still describe main activities that park staff have to do, such as patrolling and protecting forests, preventing wildlife hunting and trade, fining violation cases, raising community awareness. None of villagers know other activities of the parks such as scientific research, providing advices/consulting for local authorities on forest protection, and supporting to community development.

PanNature's survey in May, 2007 in Krong Bông and Lak districts found the ratio of local villagers not knowing specific tasks of Chu Yang Sin NP's staff ranging from 60-85% (as species/habitat preservation, scientific research, community awareness, ecotourism, etc).

The community interviews in the buffer zones of Xuan Thuy NP and Bi Dup-Nui Ba NP were surprised because there were few awareness activities by park staff directly done at villages. Only 25% of interviewed villagers in Xuan Thuy NP and 35% in Bi Dup-Nui Ba NP knew those parks have conducted some community awareness and/or propaganda activities. This fact might be considering as a "sad reality" for Xuan Thuy NP where have been receiving 07 projects of conservation and/or community development since 2000. It proves that previous awareness activities made very little impacts to local communities in the area. The common situation of NP/NR in Vietnam such as being large territory, inadequate force of rangers, low capacity, budget limit, etc that has led to their awareness activities usually were not focused, not systematic, and being simplified by poor activities such as lecturing, broadcasting, etc. Therefore, villagers' understanding about the park usually came from local authorities and communities themselves, rather than from park staff.

When assessing the park performance in regard to its resource management/protection, approximately 60,4% of interviewed villagers said the park has done well their tasks, much higher than another 11,5% with opposite assessment (not good). This response is likely appropriate and consistent to villagers' comments on the dynamic/changes of natural resources since the park management board established. More than ½ of interviewed villagers believed that the area of natural forests, quantity of animals, and quantity of big trees inside the park are increasing, while number of violation cases are decreasing (see table below). These assessment show that the attitude of local villagers sounds positive in the context PAs in Vietnam being confronted many threats leading to serious resource degradation, especially the movement of wildlife hunting and illegal logging in the Central and Central Highlands of Vietnam.

Resource Indicators for NP/NR	Increased		Decreased		No idea	
	Quantity	(%)	Quantity	(%)	Quantity	(%)

Area of natural forest	60	62.5	21	21.88	19	19.8
Observed animals	65	67.71	28	29.17	9	9.38
Number of big trees	53	55.21	20	20.83	4	4.17
Violation cases	29	30.21	43	44.8	9	9.38
Forest fire cases	10	10.42	42	43.75	8	8.3

Despite of no specific explanation, but most of interviewed villagers confirmed that the park has brought benefits for their families and community. But the survey also figures out nearly 44% of villagers said that the park made none of benefits for their income generation or economic improvement. The table below presents villagers' assessment on the impact of the park (benefit/loss) to local communities.

Benefit				Loss			
Yes		No		Yes		No	
No	%	No	%	No	%	No.	%
54	56.25	42	43.75	19	19.8	77	80.21

Community awareness on challenges and stakeholders towards park management

(a) Challenges

The views of local villagers about difficulties/challenges for park management are diverse among different research sites, **but wildlife hunting, illegal logging and exploitation, and invasion of forested land for swidden cultivation that are seen as the most challenging.** Those parks in the Central Highlands are under strong pressure of illegal wildlife hunting. Up to 75,86% of interviewed villagers in Bi Dup-Nui Ba agreed to this challenge. Coastal parks such as Xuan Thuy or Cat Ba that are facing more illegal forest exploitation or land invasion for agricultural production and aquaculture.

Park rangers are not enough, and some intentionally violating forest laws for park management/protection are also considered by local villagers as main challenges. These are likely the most important for Cat Ba NP when 97.4% of interviewed villagers worrying that existing rangers might not be able to preserve both forest and marine resources as a whole entity. While in Xuan Thuy NP, local villagers expressed their concerns to park staff being intentionally irresponsible for park management. Many villagers in Giao Thien commune observed and complained some park rangers playing cards for gambling during working-time, or they ignored for other villagers to hunt birds and cut trees inside the park without any treatment.

Local communities paid no attention to the negative impacts of mining, road and hydropower construction inside or nearby the park. The interviews found only 5% of local villagers concerning those interventions as challenges for park management. In reality, in some provinces such as Ha Giang, Ha Tinh and Quang Nam, local villagers have once voiced up to complain and protest mining/hydropower activities due to water pollution or mass forest destruction. It is clear that at the moment, local villagers have not seen NPs/NRs as “common property” of their families or communities yet, and thus they have no motivation to care or worry about those damages for the park by development activities.

(b) Stakeholders

Most of local villagers were recognised park management board, local authorities and local communities that are the most important stakeholders for NP/NR management and protection. Among many stakeholders, local villagers in Xuan Thuy and Bi Dup-Nui Ba NPs have ranked park management board is the most important (over 65% agreed), and followed up by local authorities (over 40%) and local community (20-30%). Local villagers themselves recognising their role in park

management that make a positive sign, even their consensus is not that high. Thought mechanisms for community participating in PA management in Vietnam are still not positioned clearly, but some initial pilots on resource use and co-management in Xuan Thuy, or community-based forest protection groups in Cat Ba have consolidated the role of local communities in resource management. Some other policies of the Government on forest protection or forest allocation to community, or forest mortgaging have also found a baseline allowing local communities to participate in NP/NR management.

However, more than ½ of interviewed villagers said that they have never been participated or had chance to participate in any activity to protect NPs/NRs. Over 57% of interviewed villagers in Xuan Thuy, 55,2% in Bi Đup-Nui Ba, and 41% in Cat Ba said so. The common activities which people living nearby NPs/NRs usually participated to do are forest-fire prevention and forest plantation through Programme 661. Those activities such as joint-forest patrolling, ecotourism or resource management and use were introduced to NPs/NRs in Vietnam, but they cannot be sustained in long-run in any park. Probably, one reason for this failure that is local villagers have no ownership and rights to receiving benefits when they participate in park management.

Local villagers assumed that social organisations such as Youth Union, Women Union and police and army forces and local business have no implications in promoting park management. Local villagers in Xuan Thuy and Bi Dup-Nui Ba made no choice to those stakeholders. In practice, local Youth Union in Cat Ba usually cooperates with the park management board to do public awareness on forest protection and forest fire; or local police helped Chu Yang Sin NP to deal with violation cases. Management Boards of those PAs locating along the boundaries with Laos and Cambodia or the coast usually received support from frontier soldiers to hold patrolling missions.

Community beliefs and support

When predicting the future of NP/NR in their area, many local villagers believed that park would become better (56,25%), and only a minor ratio of 12,5% thought it would be worse. Other remaining (about 30%) cannot predict how the park would be going.

These predictions are likely consistent to other surveys when nearly 50% of interviewed villagers believed that the current force of rangers is able to protect entirely the park resources from human exploitation. About 25% of villagers did not believe that perspective.

However, above belief can be challenging, since PanNature's survey in Chu Yang Sin NP found that more than ½ of interviewed villagers said they would ignore when seeing illegal wildlife trade in their villages (PanNature, 2007).

3 Staff of National Parks / Nature Reserves

Study sampling

There were 38 rangers that have been interviewed, of which 11 from Xuan Thuy NP, 14 from Bi Dup-Nui Ba NP, and 13 from Bai Tu Long NP. 33 rangers are of university education and beyond; 25 are professional in forestry, biology, environmental science or agriculture. 12 have been working for NP from 5-15 years, and 33 rangers are in the parks less than 5 years.

Motivation and attitude towards park management

Two important motivations have led rangers to working for current parks that are the suitability to what they were trained, and their preferences to the jobs of biodiversity/nature conservation. Two these reasons are favourable for rangers in Xuan Thuy and Bai Tu Long NPs with consensus ratios ranging from 40-60%; while no staff in Bi Dup-Nui Ba said their preference to conservation has led to the job at the park now.

Opportunities for higher education and/or for personal development, and/or for full-time employment for the state that take small proportions when rangers making decisions for the job now, ranging from 7-21%.

Other basic demands such as “having been close to your family” and “having regular monthly salary to cover basic expenses” or demands of having recognised and trusted (by park managers) that are all not considered as motivations of rangers to working at the parks. However, some rangers agreed that those factors such as “care and support from leaders”, “having chance to work with experienced people” or “having a stable employment” are those encouraging them somehow to work at the park.

The survey found that existing difficulties of the park such as lacking of equipment/ facilities, low salary, low awareness of higher authorities towards nature conservation, and poor community awareness could de-motivate PA staff working actively in long-term for the parks.

Staff awareness on threats for park management

Most of interviewed rangers selected three biggest threats to park entirety, including park invasion for swidden and agricultural cultivation, illegal wildlife hunting, and illegal logging.

Few rangers assumed forest fire that is serious threat for existing parks.

None of park staff implies the construction of hydropower, dams, roads and mining and invasive species that can cause negative impacts for the resources and entirety of parks.

Staff awareness on the role of local community and stakeholders in park management

There are from 53 to 91% of interviewed rangers agreed to three following statements:

- Local villagers playing as resource exploiters and resource managers
- Park management is responsibility of park MB, local authorities and other organizations
- Local community have rights to management and planning for conservation and management of the parks

However, when rangers were asking to make a list of park stakeholders, most of them did not name local community as an important stakeholder for park management.

The survey done by PanNature (2007) in Chu Yang Sin NP also found that park staff can only recognize those stakeholders whom they usually work with for law enforcement such as police, local authorities, rather than those who they should cooperate and dialogue to work together to develop and implement a long-term framework for park conservation and management. And most of rangers ignored local communities as key influences to their effort in park protection.

Self-assessment by rangers on the quality of park management

There are only two activities/tasks that park staff believe they have done well (35-50%):

- Protecting forest resources, preventing logging and forest fire; and
- Raising community awareness on forest protection

Those activities being regarded as poor performance (40-65%):

- Mobilizing local community to participate in forest protection
- Developing forest capital within the parks

- Checking and fining violation cases
- Collaborating with other organisations on law enforcement

According to PanNature (2007), it is likely that park staff/rangers themselves cannot assess their performance in frank and objective ways. For example, there were 90-95% of rangers of Chu Yang Sin NP said that they have done “very well” tasks of forest protection and community mobilisation for forest protection. But these assessments are not consistent to the reality that the park is being under serious threats by illegal hunting and logging in large scales.

Park staff awareness on budget transparency and legislations

More than 50% of interviewed rangers said that they knew operational budget of the park which allocated yearly and quarterly.

None of rangers can name over 5 legislative documents (title and code) which they usually use during daily practice for park management. Most of rangers can name 2 those documents, and Law on Forest Protection and Development is the one.

In Chu Yang Sin NP, there were 40% of its staff could not properly name any legislative document that they have to use every day, and even many of them were not clear about the contents (specific regulations) of such documents. This is a critical challenge for park management, since if they cannot master those regulations, then they cannot keep local community informed properly. One reason for this is many of them have not yet been trained in those legislative documents.

Staff recommendations for park financing

The followings are those solutions that many rangers recommended to raise funds for NPs:

- Environmental Fee Payment
- Benefit sharing from sustainable utilisation of park resources
- Increasing park entrance fees
- Applying resource mortgaging for ecotourism development

Discussion and Recommendations

General Public and Local Community

Initial results of the survey have led to the following findings:

- Understanding, interest/attention and connection of urban people and local community for park management are very weak/low/poor;
- Park management boards themselves have little efforts and success in raising awareness and mobilising community attention and support and participation into park management;
- The impact of public media and awareness-raising by NPs/NRs are very vague, and even less positive;
- Park staff does not aware and are seen urban public and local community as important resources for park management;
- Urban public continues as a source of threats for the entirety of NPs/NRs (through high demands of wildlife and timber consumption) if no necessary interventions taken up, while local (poor) community continues their dependence on resource extraction from the park for income generation regardless illegal ways;

- Urban public and local community are basically aware of threats and challenges towards park management; but these awareness is not at their attention or concerns, because NPs/NRs are not considered by urban public as direct/indirect sources of benefit in long-term or short-term of their lives;
- Urban public and local community mostly do not know, do not care ecological and social impacts of development projects towards NP/NR management; and
- Urban public are likely willing to pay fee for park entrance, creating a source for park financing.

In order for urban public and local community have proper awareness and support NP/NRs promoting measures for better management and financing, awareness/communication interventions need to focus on the following issues:

- Determining the system of values and interactions between the existence of NPs/NRs and stability and safety of urban lives and local community; of which attempting to direct relations to livelihood opportunity, income, and health;
- Determine the significance of NPs/NRs towards human development in regard to personal identity (e.g. caring nature), aesthetic capacity (e.g. appreciating the beauty of nature), and social responsibility as well as lawful responsibility of individuals and public towards park protection and management. Pay attention to the principle of transferring the values of nature for next generations;
- Promote environmental communication and education as well as environmental responsibility of individuals, organisations and corporations and government officers;
- Promote information about environmental legislation and law enforcement relating to NPs/NRs through different media and communication channels, dialogues, monitoring mechanisms of public and civil society;
- Inform and educate environmental awareness and responsibility of public, organisations, corporations towards payment of environmental services. Develop and implement corporate social responsibility initiatives in relation to NPs/NRs;
- Inform opportunity, rights and obligations of urban public and local community when participating into park management. Transparency in benefit-sharing for local community when they contribute to park management;
- Improve communication to consolidate and build up the beliefs of public towards park staff as well as local authorities and other stakeholders in park management;
- Advertise alternative livelihood solutions for local community and urban public to reduce their dependence on forest resources;
- Public awareness should be done through a well-designed and systematic programme, focusing on target groups, integrating with other programmes (ecotourism, capacity building, planning, etc), promoting participation of all stakeholders, promoting monitoring by civil society.

Park Staff

The opportunity for motivating park staff should be focused on three issues: (1) ensuring suitability to their education and their preference to park employment for nature conservation; (2) ensuring a good working environment of adequate facilities and equipment; and (3) promoting awareness towards taking serious responsibility for park management in conjunction to benefits regulated by the state.

It requires improving the attitude of park staff towards the role of local community in natural resource management.

They also need to have proper awareness on the impacts of development activities might cause for the park resources.

It also requires improving park staff capacity in self-assessment of job performance in nature conservation and park management

This study sees that encouraging and promoting the motivation of park staff is a process of which connecting professional responsibility and lawful responsibility together based on the assignment of each ranger, empowering and trust them, ensuring proper investment for working facilities and equipment, ensuring benefits they legally allow to gain.

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