

LAI CHAU PROVINCIAL PEOPLE'S COMMITTEE
DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT

LAI CHAU 2018 PRAP M&E REPORT

Lai Chau, April 2019

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1. Introduction

Implementing the Decision No. 419 of the Prime Minister approval of national action plan “reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks” toward 2030, with support of the SNRM Project which funded by JICA, Lai Chau have developed its provincial action plan “reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks” of Lai Chau province in the period 2017-2020, toward 2030 (hereinafter referred to as PRAP). The PRAP was the PPC as stated in the Decision No. 1052/QĐ-UBND dated September 13, 2017. As mentioned in chapter IV of the PRAP, the province is required to conduct Monitoring and Evaluation (M&E) of the PRAP and report the results to the Steering Committee for Target Program on Sustainable Forest Development. This includes annual monitoring for year 2018 and 2019, and evaluation in 2020.

To monitor the implementation status of PRAP, under the direction of DARD and in cooperation with the related departments/agencies, the Solution Packages defined in the PRAP were monitored based on the two aspects as follows:

1. Level of achievements based on the Result framework (outcome level monitoring) (see *Section 3.1- Result framework for the details*),

2. Observed impacts based on the Social and environmental benefits and risks framework (see *Section 3.2 – Social and environmental benefits and risks framework for the details*);

Based on the achievements and shortcomings identified in the PRAP implementation process in year 2018, a set of recommendations are provided to improve the PRAP implementation in year 2019, and toward the achievement of its overall objectives by 2020.

2. Scope of M&E

The scope of Lai Chau PRAP Monitoring 2018 is the 38 communes of Than Uyên, Tân Uyên, Tam Đường, Sìn Hồ district (*details are as in the annex 01*) highlighted in green color in the map below:

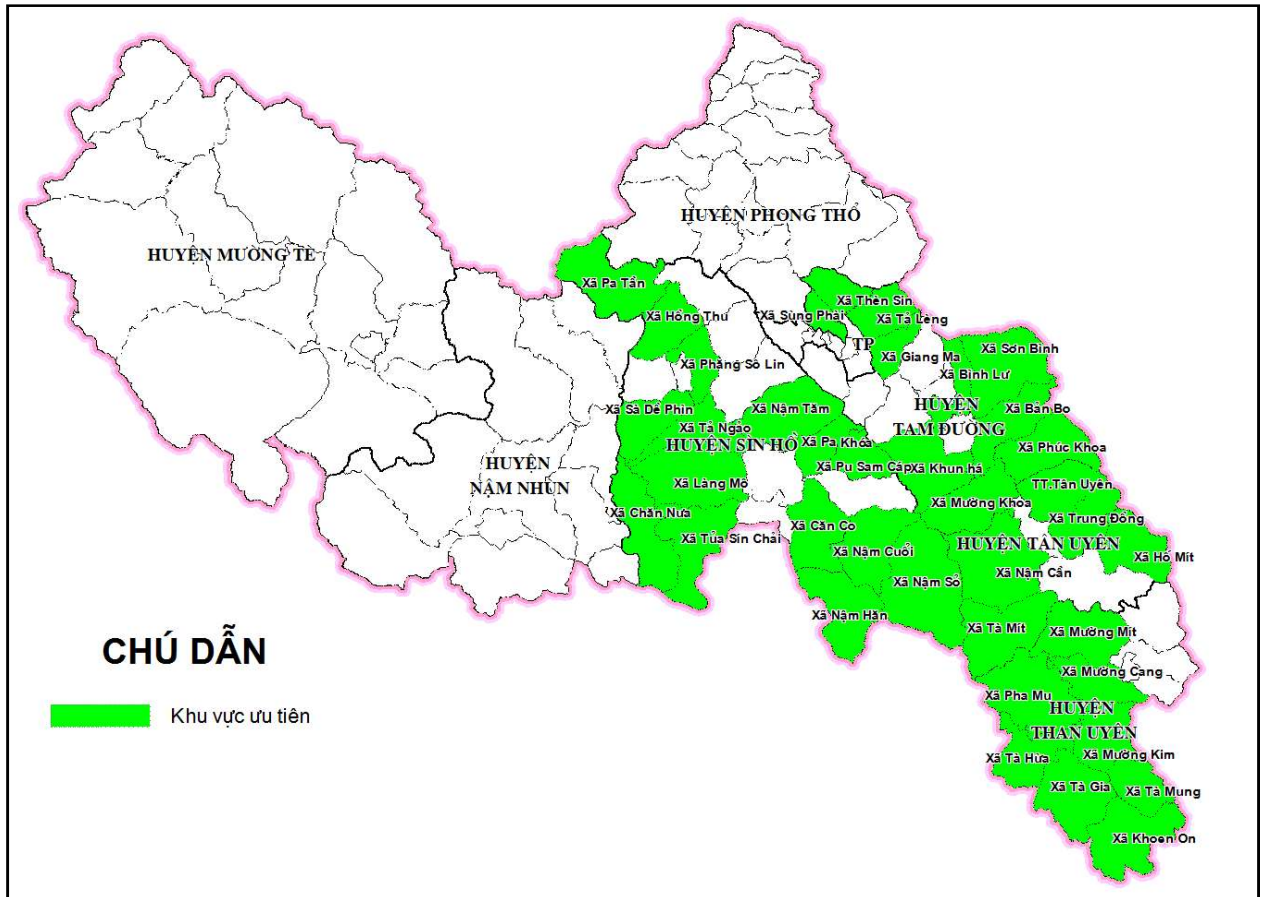


Figure 01. Lai Chau PRAP M&E scope map

3. Methodology

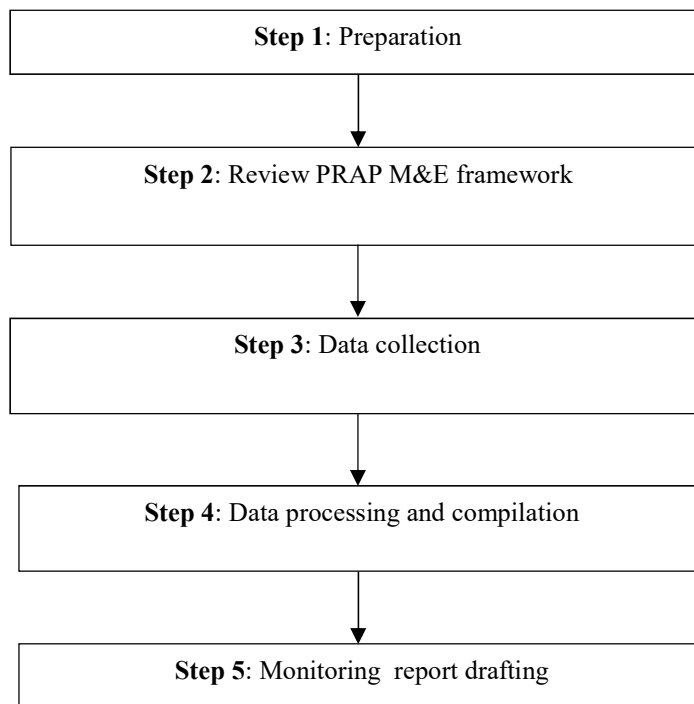


Figure 02. Steps of PRAP M&E

The PRAP M&E process consisted of 5 steps.

Step 1: Preparation

In this step, a PRAP M&E Working Group was established. Majority of the members of the M&E Working Group were the members of the PRAP Technical Working Group who were involved in the development of PRAP. The report outline was formulated and agreed by the Working Group before deploying further steps.

Step 2: Reviewing content of the M&E framework

In order to ensure feasibility of the M&E work, especially, to which is related to inputs and accurate data collection based on current local conditions, it is necessary to review content of the M&E framework and make suitable changes. This is an important step to ensure that the PRAP monitoring is truly operational, captures the right information for the subsequent analysis, and be able to draw implications for improved implementation of the PRAP. The changes/revisions made need to be tracked.

Regarding the Social and environmental benefits and risks framework, risks are critical issues which may create instant negative impacts to the environment and society where PRAP is being implemented. On the other hand, ‘benefits’ are the long-term impacts which the PRAP wants to enhance and not necessarily suitable to be monitored in the short-term (annually). Considering its nature and importance, social and environmental monitoring of 2018 decided only to focus on the monitoring of the risks. (*Details on the revised SE framework are as in the annex 03*).

Step 3: Data collection.

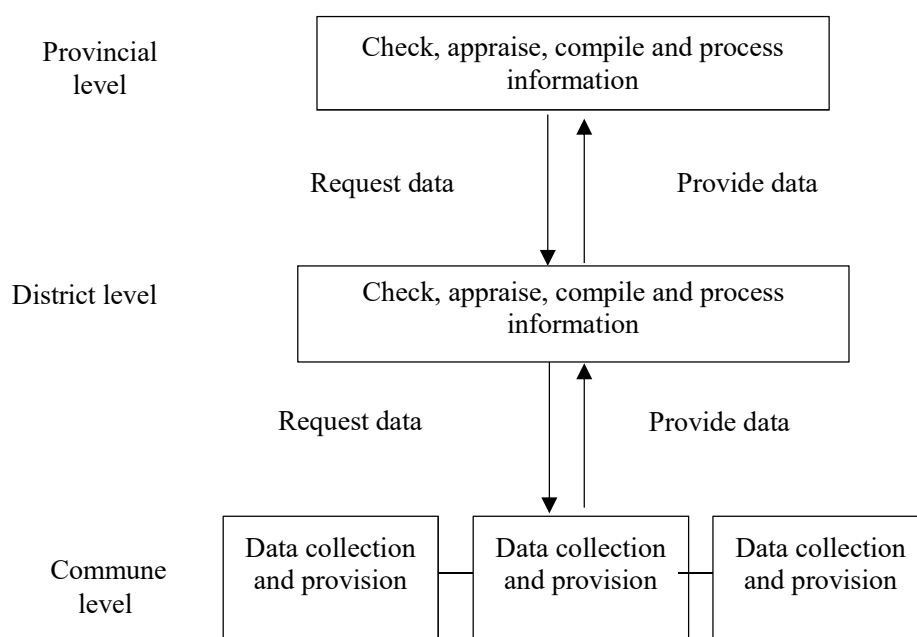


Figure 03. Data collection for M&E

The data collection will be implemented based on the revised M&E framework. Data for Result Framework is submitted by Sub-FPD through FRMS and annual report. For some Solution Packages (e.g... Solution Package 05), monitoring indicators are for the results of the entire 2017-2020 period. In such case, alternative information were needed for the annual PRAP monitoring, in order to supplement the assessment of progress towards the end of 2020.

Data collection for the Environmental and Social Benefits and Risk Assessment Framework is assigned to district FPD of the target district (Than Uyên, Tân Uyên, Tam Đường, Sìn Hồ District) that the local forest rangers take lead. In order to train them on how to collect data/information, a training has been organized to people in charge. Besides, a set of templates has been designed and the forest rangers will interview staff of target CPC (Deputy Chairman who is in charge of agriculture and forestry, agroforestry and land staff and commune police, etc.) using the designed templates/forms.

The Working Group was responsible for compiling the data provided by district agencies/departments. In addition, in order to check the quality of the collected data and also to conduct in-depth analysis, the M&E Working Group selected one sample commune/district to perform a field survey. Two criteria were set for the selection of communes subject to the field survey: 1) the pilot commune implementing REDD+ with the support from SNRM project; and, 2) communes which are targeted under the PRAP to implement Solution Packages. The quality of data provided by the district agencies/departments were additionally considered for the selection. In addition, priority were given to the communes where the provided data were insufficient or unsatisfactory. As result, Muong Mit commune in Than Uyen district, Trung Dong commune in Tan Uyen district, Khun Ha commune in Tam Duong district, Nam Cuoi commune in Sin Ho district were selected.

Step 4: Data processing and compiling

The collected data were then processed and compiled.

For the Result framework, the data were cross-checked by the Sub-FPD using the Forest Resource Monitoring System (FRMS) before being compiled and assessed against the baseline of respective indicators.

For the Social and environmental benefits and risks framework, the risks were qualitatively and quantitatively assessed by looking at their potential of occurrence, locations and people to be impacted. Based on provincial characteristics, socio-economic conditions, and the contents of each solution package, the impact were assessed in 3 different levels: low, medium, and high (details are as in the annex 06).

Basically, the impact level thresholds are determined based on analysis of the field survey data of 2018 and the baseline data of 2016 and 2017 provided by sub-FPD. Accordingly, implementation of a solution package is considered as satisfactory in terms of its social and environmental impact if the negative impact was assessed as “low”. Any solution packages which were ranked high and medium in its social and environmental impact is considered as unsatisfactory.

Step 5: M&E report drafting.

Data collected in step 4 will be used for M&E reporting. Positive information indicates that whether we are on the right track to achieve PRAP objectives, negative information is used for analysis for recommended interventions. The outline and contents of the report were decided by following the requirements of the province as well as by aligning with international and national REDD+ practices.

4. Results

4.1. Result framework

Monitoring of the solution packages (outcome level) based on the result framework has been carried out in order to assess and ensure that PRAP implementation is on the right track for achieving its objectives. Intervention will be identified (if needed) based on the monitoring results.

Monitoring of the activities (output level) listed under each solution package has been implemented at the commune level to keep the status of REDD+ implementation up to date. These are not the subject of this monitoring report. Phuc Khoa in Tan Uyen district is the commune where REDD+ activities have been piloted with support from SNRM Project.

4.1.1. Monitoring results

a) Solution package 1: Reduce forest fire

Baseline data: The average number of forest fires over the 2010-2016 period was 7 times/year; the average area damaged by forest fire over the 2010-2016 period was 18.60 ha/year.

Result indicator: The annual average number of forest fires and areas damaged reduced by 20% or more over the 2017-2020 period.

Monitoring duration: 01/01/2018-31/12/2018

Data sources: FRMS data and forest fire records of Sub-FPD.

Table 01. Monitoring results of solution package 1 – Results framework

District	Number of forest fire times			Damaged area		
	Number of times	Increase (+)/reduce (-)_compared to baseline data	Satisfactory/Unsatisfactory	Area (ha)	Increase (+)/reduce (-)_compared to baseline data	Satisfactory/Unsatisfactory
Than Uyên	0			0		
Tân Uyên	4			21.43		
Sin Hồ	0			0		
Total	4	- 43%	Satisfactory	21.43	+ 15%	Unsatisfactory

Implementation of the solution package 1 in 2018 did not achieve the defined indicators since the number of incidents reduced but the areas damaged by fire exceeded the baseline.

According to Table 01, there were 4 forest fire incidents happened in the target areas which was a reduction of 43% compared to baseline data; and 21.43 ha was damaged which was an increase of 15% compared to baseline data.

Largely burnt acacia plantation belonged to Phong Minh Ltd. Over the last few years, the company did not pay sufficient attention to the maintenance and protection of its forest and the accumulated flammable materials (e.g. clearing of understory and forest debris) which can cause fire in dry season. Moreover, awareness raising for the local people was not effectively implemented, especially to whom living nearby the forests. Some of them

kept burning vegetation for agriculture and used fire to collect honey without proper control. The steep terrain made the fire brigades difficult to access to the spot and extinguish fire.

b) Solution package 2: Stop forest clearing for upland cultivation

Baseline data: The average number of illegal clearing forests for upland cultivation over the period of 2010-2016 was 6 cases/year; upland crop area is 31,625 ha.

Result indicator: The annual average number of deforestation reduced by 30% or more over the period of 2017-2020; illegal agriculture crop area reduced 5%/year during 2017-2020 period.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: FRMS data and illegal violation records of Sub-FPD.

Table 02. Monitoring result of solution package 2 – Results framework

District	Illegal clearing of forests for upland cropping					
	Number of cases	Increase (+)/reduce (-)_compared to baseline data	Satisfactory/Unsatisfactory	Area (ha)	Increase (+)/reduce (-)_compared to baseline data	Satisfactory/Unsatisfactory
Than Uyên	0			1,525		
Sin Hồ	0			13,473		
Total	0	- 100%	Satisfactory	14,998	- 53%	Satisfactory

Implementation of solution package 2 in 2018 achieved the defined indicators.

According to Table 02, in the target area, there was no forest cutting for upland cropping in 2018, which was a reduction of 100% compared to the baseline; upland cropping area was approximately 14,998 ha, which was a reduction of 53% compared to the baseline.

The incentive policies effectively encouraged the local people to practice sedentary agricultural production on their lands through promotion of intensive cropping method and introduction of crop varieties with higher productivity and economic value; demand for agricultural lands also reduced as the younger generation moved out from agriculture sector to industrial sector for their job; and since upland cultivation lands were often degraded in their soil condition after intensive use over years, some farmers abandoned the lands.

c) Solution package 3: Stop illegal and unsustainable timber logging and harvesting of NTFPs

Baseline data: The average cases of illegal logging detected over the 2010-2016 period was 8 cases/year.

Result indicator: During 2017-2020, illegal logging reduced by 30% or more.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: FRMS data and violation records of Sub-FPD.

Table 03. Monitoring results of solution package 3 - Results framework

District	Number of cases of illegal logging	Increase (+)/reduce (-)_ compared to baseline data	Satisfactory/Unsatisfactory
Tam Đường	2		
Sìn Hồ	29		
Total	31	+ 288%	Unsatisfactory

Implementation of the solution package 3 in 2018 did not achieve the defined indicator. According to Table 03, there were 31 cases of illegal logging in the target areas, which was an increase of 23 cases or 288% compared to the baseline data.

During 2011-2016 baseline period, according to government regulations and laws, the local people were allowed to cut trees from natural forests for their domestic use, such as building houses, cooking and heating, etc. However, since 2017, cutting trees for domestic use was completely banned as in accordance with the Directive no. 13-CT/TW dated 12 January 2017 of the Central Secretariat and the Information letter no. 511/TB-VPCP dated 1 November 2017 of the Office of Government, but the local people continued to log timbers from natural forests as their limited cash income did not allow them to afford the use of alternative materials. This caused the increase of illegal logging being reported.

According to the violation records, although illegal logging cases increased compared to the baseline period, many of them were in small scale and limited in their impact, such as for firewood and household tools (e.g. agricultural equipment).

d) Solution package 4: Mitigate the impacts of cardamom plantations

Baseline data: In 2016, there were 3,014 ha of cardamom plantations; none of households who plant cardamom used fuel-saving drying method.

Result indicators: Ensure no new area of cardamom plantations are developed in the forest areas during 2017-2020; 50% of households who plant cardamom are expected to use fuel-saving methods for drying cardamom by 2020.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Social-economic development survey and data collection from target district in 2018.

Table 04. Monitoring results of solution package 4 - Results framework

District	Newly developed cardamom plantations			% of households who used fuel-saving drying method		
	Area (ha)	Increase (+)/reduce (-)_ compared to baseline data	Satisfactory/Unsatisfactory	% of households who used fuel-saving drying method	Increase (+)/reduce (-)_ compared to baseline data	Satisfactory /Unsatisfactory
Tân Uyên	0			60		
Tam Đường	0			75		
Sìn Hồ	0			60		
Total	0	+ 0%	Satisfactory	65	+ 65%	Satisfactory

Implementation of solution package 4 in 2018 achieved the defined indicators.

According to the table 04, there were no newly developed cardamom plantations in 2018, and approximately 65% of the cardamom growers have been using fuel-saving drying method.

The achievement was attributable to the efforts of the local government and the cardamom farmers who followed the provincial policy to keep the status quo of the current cardamom plantations area; and the collaboration between the cardamom growers and technical guidance given by the local government which promoted the introduction of fuel-saving cardamom drying method which uses closed ovens and high heat to dry the cardamom quicker with less fuel.

e) Solution package 5: Improve effectiveness of planted forest development

Baseline data: The rate of planted forest that formed forests (with forest cover) was in range of 70% - 75% over the 2011 – 2016 period

Result indicator: The rate of planted forest that formed forests (with forest cover) have reached 80% by 2020

Monitoring duration: 01/01/2018-31/12/2018.

Source of data: Final investment report of Protection Forest Management Boards of target districts.

Table 05. Monitoring results of solution package 5 - Results framework

District	Planted forest area 2017 (ha)	Growth
Than Uyên	555.7	Medium or more
Tân Uyên	536.8	Medium or more
Sìn Hồ	1,139.8	Medium or more
Total	2,232.3	Medium or more

Note: the monitoring applies only to the lands newly planted in 2017.

According to the plan, indicators of the solution package 5 will be only ready for assessment by the end of 2020. However, to make sure the target will be achieved, it is necessary to monitor and collect data on annual planted forest and its growth. According to the table 05, the target districts have planted 2,232.3 ha and the quality of their growth is medium or more.

f) Province-wide cross cutting solution package (1): Improvement of the FRMS

Baseline data: 4 district FPDs and 4 Management Boards for protection forest have been applying advanced FRMS since 2016.

Result indicator: The advanced FRMS will be smoothly and effectively applied in the entire target district by 2020.

Monitoring duration: 01/01/2018-31/12/2018.

Source of data: Forest Resource Monitoring report of Sub-FPD.

Table 06. Monitoring results of province wide cross-cutting solution package - Results framework

District	Application of the FRMS (Effective / not effective)	Increase (+)/reduce (-)_ compared to baseline data	Satisfactory/Unsatisfactory
Than Uyên	Effective		
Tân Uyên	Effective		
Tam Đường	Effective		
Sìn Hồ	Effective		
Total	Effective	100%	Satisfactory

According to Table 06, the FRMS has been applied effectively across the four target districts namely Than Uyen, Tan Uyen, Tam Duong and Sin Ho, therefore fulfilling 100% of the result indicator.

g) Province-wide cross cutting solution package (2): Awareness raising and training on REDD+ implementation

Baseline data: 70 related officials participated in provincial workshops on PRAP development organized in 2016 and 2017.

Result indicator: By 2020, 400 provincial and target districts officials will have attended training courses and workshops on awareness raising on climate change and REDD +

Monitoring duration: 01/01/2018-31/12/2018.

Source of data: Data collected at target districts, annual report of the SNRM Project.

Table 07. Monitoring results of province wide cross-cutting solution package - Results framework

District	Number of participants to trainings and awareness raising on REDD+ and CC			Number of communes/towns		
	Number of participants	Increase (+)/reduce (-) compared to baseline data	Satisfactory/Unsatisfactory	Commune /town	Increase (+)/reduce (-)_ compared to baseline data	Satisfactory /Unsatisfactory
Than Uyên	13.007			8		
Tân Uyên	6.395			8		
Tam Đường	17.736			8		
Sìn Hồ	6.614			14		
Total	43.752	+ 10.838%	Satisfactory	38	+ 100%	Satisfactory

According to the table 07, in the target district, there were 43,752 participants who are villagers, teachers, and students got disseminated on forestry law, forest protection, fire prevention and fighting, development, and forestry sector development policies that exceed the result indicator set for the whole period. 38 out of 38 communes/towns got accessed to the information.

The results show that achievement of solution package 6 (general solution package) exceeded the set target that was thanks to awareness raising and communication on forest protection and REDD+ and CC. However, intensive communication was not implemented in the entire target district due to limited funding so not everyone knows about this, thus, some of commune staff and local people found this is new to them.

It should be noted that there was a discrepancy on the target of monitoring among the baseline data, result indicator and the actual result. The baseline data and result indicator defines 'officials' as the target group while the result counted the 'number of villagers, teachers, and students' who were involved in this solution package. This needs to be addressed in the next monitoring cycle.

4.1.2. Shortcomings and their causes

a) Shortcomings

- Solution package 1: In 2018, forest fire incidents in the target area reduced by 43%, but areas damaged increased by 15% compared to the 2011-16 period.

- Solution package 3: Violations to forest protection regulation in 2018 increased to 31 cases compared to the average of 8 cases for the 2011- 2016 period.

- Province-wide cross-cutting solution package (2): Number of participants who joined awareness raising events met the result indicator. However the contents often focused more on general forestry issues and some commune staff still lack good understanding on REDD+ and climate change.

- The results of other solution packages can be assessed only in the end of 2020, therefore only the progresses were summarized under each section.

b) Causes

Implementation of the solution package 1 and 3 was unsatisfactory due to the reasons as analyzed in 4.1.1. Those are summarized as below:

- For the solution package 1: the plantation owner did not pay sufficient effort on forest fire prevention; awareness raising campaign by the local authorities and technical departments were not effective enough on reaching out to the forest communities. In addition, remoteness of the forests hindered the fire brigades to promptly access the site and extinguish the fire.

- For the solution package 3: traditional practice, increasing population and poor living conditions were the main causes of increasing pressure on forest resources. Forest products are important resource for the livelihood of the people, and they often harvest them illegally despite the stipulations in the laws and regulations. It should be noted that as the legal provisions on reporting of the violations have changed over the past few years, the standard of the data recorded for each period has some difference.

- Province-wide cross-cutting solution package (2): Budget for training and awareness raising activities on REDD+ and climate change was limited.

Besides, there were common reasons that affected the implementation of all solution packages:

- The results of the solution package level largely depended on the degree of implementation of associated activities. In fact, implementation and monitoring of PRAP activities (described as “Component 2: Additional activities” in the PRAP) were carried out in all targeted communes, but the results of other communes were not as good as that of the Phuc Khoa commune supported by SNRM project due to the different intensity of implementation.

- Lack of funding is another cause of unsatisfactory implementation. The total budget planned for PRAP implementation (component II) is VND 154,320 million in which the local budget shares the largest proportion with VND 97,954 million (63%), however, allocation from this source remain insufficient so far. In addition, ODA support through JICA 3 Project with a planned budget of VND 48,926 million (30%) has not materialized yet. Lai Chau is a poor Northwest province which relies largely on state budget, therefore, funding for REDD+ implementation is still limited.

4.2. Social and Environmental Benefit-Risk Assessment Framework

Monitoring against the social and environmental benefit-risk assessment framework was carried in order to ensure the REDD+ safeguards following the principles of the seven Cancun Safeguards are met. The monitoring particularly focused on the risks that have occurred or may occur during the PRAP implementation in order to avoid and mitigate negative impacts to the society and environment. Categorization of the social and environmental risks and the seven Cancun Safeguards are shown in Annex 04 and 05. Criteria for the assessment results (i.e. ‘low’ ‘medium’ ‘high’ impacts) were defined by the PRAP monitoring team of the province as shown in Annex 06.

4.2.1. Monitoring results

a) *Solution package 1: Reduce forest fires*

Social risk: Loss of traditional knowledge, culture and livelihoods; Land and resource use conflicts

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 08. Monitoring results of solution package 1- social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Than Uyên	Loss of traditional knowledge, culture and livelihoods	8 people	0.02%	Low
	Land and resource use conflicts	none	none	Low
Tân Uyên	Loss of traditional knowledge, culture and livelihoods	100 people	0.21%	Low
	Land and resource use conflicts	none	none	Low
Sin Hồ	Loss of traditional knowledge, culture and livelihoods	7,676 people	24.14%	Low
	Land and resource use conflicts	none	none	Low

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Total	Loss of traditional knowledge, culture and livelihoods	7,784 people	6.69%	Low
	Land and resource use conflicts	none	none	Low

In 2018, implementation of the solution package 1 did not create serious social concerns.

According to Table 8, no cases of conflicts on land and resource use were recorded in the target areas, and impact to the traditional knowledge, culture and livelihoods of the local people as a result of implementation of this solution package was assessed as low.

The risk of loss of traditional knowledge, culture and livelihoods mainly occurred in Sin Ho district with total of 7,676 people being affected (24.24% of target commune population). Majority of the affected people are Mong, Dao, Thai people who are living around forest, mainly in Pa Tan, Hong Thu, Phang So Lin, Ta Ngao, Can Co communes. Their main livelihoods are harvesting of forest products such as honey, and upland cropping associates with field burning. As a result, controlling the use of fire to prevent forest fire affected their lifestyle by (partly) restricting their livelihood activities.

b) Solution package 1: Reduce forest fires

Environmental risk: Create flammable materials, which are potential for forest fire

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 09. Monitoring results of solution package 1- social and environmental benefit-risk assessment framework

District	Risk	Area (ha)	Impact level
Than Uyên	Create flammable materials, which are potential for forest fire	152	
Tân Uyên	Create flammable materials, which are potential for forest fire	421	
Sin Hồ	Create flammable materials, which are potential for forest fire	5	
Total	Create flammable materials, which are potential for forest fire	578	Medium

According to Table 09, there were about 578 ha of planted forest with risk of fire in the target area, mainly in Tan Uyen district with 421 ha (account for 73%). Therefore, implementation of the solution package 1 in 2018 is assessed to created medium impact and not satisfactory.

The planted forests have large volume of flammable material if the vegetation was not properly cleared before planting. In fact, many people plant trees just to receive subsidy from the state and do not always pay sufficient care to activities such as site preparation and tending of the planted trees. In addition, due to the limited funding sources, forest owners and forest protection contractors do not carry out silviculture activities (e.g. thinning, pruning) regularly following the technical procedures for forest plantation management.

c) Solution package 2: Stop forest clearing for upland cultivation

Social risk: Land and resource-used; conflicts between people and task forces; equity between the supported and not supported communities; loss of traditional knowledge, culture and livelihoods

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 10. Monitoring results of solution package 2 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Than Uyên	Land and resource-used	2 cases	none	
	Equity between the supported and not supported communities	8 people	0.02%	
	Loss of traditional knowledge, culture and livelihoods	599 people	1.61%	
Sin Hồ	Land and resource-used	none	none	
	Equity between the supported and not supported communities	2,451 people	4.72%	
	Loss of traditional knowledge, culture and livelihoods	6,258 people	12.05%	
Total	Land and resource-use conflicts	2 cases	none	low
	Equity between the supported and not supported communities	2,459 people	2.76%	low
	Loss of traditional knowledge, culture and livelihoods	6,857 people	7.69%	low

In 2018, implementation of the solution package 2 did not create serious social concerns.

The impact of "loss of traditional knowledge, culture and livelihoods" occurred in Sin Ho district where 6,258 people distributed in Hong Thu, Ta Ngao, Sa De Phin, Pa Tan, Tua Sin Chai, Nam Cuoi, Can Co communes (accounting for 12.05% of the population) were affected. Actually, as many farmers had abandoned their lands due to soil degradation after intensive use, the lands eventually formed forests after years and became eligible for payment for forest environmental services. Although this is not against the government regulations, it may have contributed to the loss of traditional livelihoods of the local people.

The problem of "equity between the supported and not supported communities" was observed in Sin Ho district where 2,451 people experienced a certain level of social tension (accounting for 4.72% of population of the target area in the district) in Pa Khoa, Tua Sin Chai, Phang So Lin, Nam Tam communes. This is related to the implementation of forest protection policy using Decision 30a fund source. The allocated fund from Decision 30a was limited while the forest area of the province is large, therefore, the forest protection contracts prioritized the localities based on the criteria such as protection function and deforestation risk. Although such prioritization has been done properly and transparently,

issue of equity between the supported and un-supported communities still exists.

d) Solution package 2: Stop forest clearing for upland cultivation

Environmental risk: Displacement of shifting cultivation.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 11. Monitoring results of solution package 2 - social and environmental benefit-risk assessment framework

District	Risk	Deforested area (ha)	Impact level
Than Uyên	Deforestation due to shifting cultivation	none	
Sìn Hồ	Deforestation due to shifting cultivation	none	
Total	Deforestation due to shifting cultivation	none	Low

According to Table 11, there were no new displacement of shifting cultivation caused by this solution package in the target areas. Thus, implementation of the solution package 2 was successful with low impact to the environment.

The field survey showed that most people have transformed their agricultural practices from shifting cultivation into non-rotating farming system. A small part of ethnic group population still apply shifting cultivation, however, only by rotating in a fixed area in accordance with the agreed land and forest management regime.

e) Solution package 3: Stop illegal and unsustainable timber and NTFPs logging

Social risk: Land and resource-used conflicts; marginalization of particular groups; loss of traditional knowledge, culture and livelihoods.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 12. Monitoring results of solution package 3 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Tam Đường	Land and resource use conflicts	none	none	
	Marginalization of particular groups	6,115 people	35.99%	
	Loss of traditional knowledge, culture and livelihoods	13,846 people	81.48%	
Sìn Hồ	Land and resource use conflicts	01 case	none	
	Marginalization of particular groups	1,464 people	5.59%	
	Loss of traditional knowledge, culture and livelihoods	13,757 people	52.54%	
Total	Land and resource use conflicts	01 case	none	Low

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
	Marginalization of particular groups	7,579 people	17.55%	Low
	Loss of traditional knowledge, culture and livelihoods	27,603 people	63.93%	High

In 2018, implementation of the solution package 3 created social concerns which require attention.

According to Table 12, the impact of “land and resource use conflicts” and “marginalization of particular groups” were both assessed as ‘low’; the impact of “loss of traditional knowledge, culture and livelihoods” was assessed as ‘high’.

Regarding the risk of “loss of traditional knowledge, culture and livelihoods”, implementation of this solution package affected the livelihoods practice of the ethnic minorities living around forests and have long tradition and culture closely associated with forest and forest products, for example, building wooden house, cooking and heating with firewood, and coffins made of high-quality wood. In addition, their lifestyle maintains traditional self-supply system, such as collection of honey, medicinal herbs and other forest products from forests.

Regarding the risk of “marginalization of particular groups” the groups who have been conducting free grazing in the areas planned for forest protection, regeneration and development had to limit their grazing fields. In many localities, cattle grazing in natural forests seems to be a preferred choice. As a result, forest trees under regeneration are often destroyed by cattle and forest development is hindered.

Forest protection and control of encroachment into natural forests are the immediate needs in the forestry sector. However, due care should be given to the side effect, namely the negative impact to the traditional knowledge, culture and livelihoods.

f) Solution package 4: Mitigate negative impacts of cardamom plantations to forest resource

Social risk: Marginalization of particular groups.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 13. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Tân Uyên	Marginalization of particular groups	5,324 people	14.95%	
Tam Đường	Marginalization of particular groups	5 people	0.03%	
Sin Hồ	Marginalization of particular groups	800 people	55.67%	

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Total	Marginalization of particular groups	6,129 people	10.96%	Low

According to Table 13, the risk of "marginalization of particular groups" occurred and generated negative impact to group of people who are cultivating cardamom under the natural forest canopy. The level of impact is determined to be low with 6,129 people being affected (accounting for 10.96% of population in the target district), mainly in Tan Uyen and Sin Ho districts.¹

The results show that implementation of the solution package 4 has not created serious social concerns in 2018, but high number of impacted people in Sin Ho district which needs to be paid with good attention. Cardamom planting under forest canopy helps generating income to people, contributes to poverty reduction. However, it is one of drivers that causes forest degradation.

g) Solution package 4: Mitigate negative impacts of cardamom plantations to forest resource

Environmental risk: Displacement of degraded forests due to cardamom plantations.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 14. Monitoring results of solution package 4 - social and environmental benefit-risk assessment framework

District	Risk	Degraded forest area due to the impact of the shifting trend (ha)	Impact level
Tân Uyên	Displacement of degraded forests due to cardamom plantations.	none	
Tam Đường	Displacement of degraded forests due to cardamom plantations.	none	
Sin Hồ	Displacement of degraded forests due to cardamom plantations.	none	
Total	Displacement of degraded forests due to cardamom plantations.	none	Low

In 2018, implementation of the solution package 4 did not create serious environmental concerns.

According to Table 14, there were no displacement of forest degradation caused by expansion of cardamom plantations observed (no newly planted cardamom areas). There are two main factors: firstly, the PPC's policy encouraged the local people to maintain the current areas and not to expand further into forests, because of its negative impact on forest resources (forest degradation); secondly, the forest areas ecologically suitable for cardamom cultivation were limited mainly to remote areas, and often under strict protection and management. These factors seemed to have contributed in limiting the

expansion of cardamom.

h) Solution package 5: Improve effectiveness of forest plantation development

Social risk: Equity between the supported and not supported communities; Land and resource-used conflicts; marginalization of particular groups.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 15. Monitoring results of solution package 5 - social and environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Than Uyên	Equity between the supported and not supported communities	3 people	0.01%	
	Land and resource use conflicts	none	none	
	Marginalization of particular groups	4,128 people	12.5%	
Tân Uyên	Equity between the supported and not supported communities	none	0%	
	Land and resource use conflicts	3 cases	none	
	Marginalization of particular groups	695 people	2.07%	
Sìn Hồ	Equity between the supported and not supported communities	78 people	0.16%	
	Land and resource use conflicts	3 cases	none	
	Marginalization of particular groups	3,736 people	7.62%	
Total	Equity between the supported and not supported communities	81 people	0.07%	Low
	Land and resource use conflicts	6 cases	none	Low
	Marginalization of particular groups	8,559 people	7.41%	Low

In 2018, implementation of the solution package 5 did not create serious social concerns as show in Table 15.

Regarding the risk of “equity between the supported and not supported communities” some communities expressed lack of equity in the implementation of Decision No. 1203/QĐ-UBND dated on 15, September, 2016, Decision No. 1204/QĐ-UBND dated on 15, September, 2016 and Decision No. 1655/QĐ-UBND dated on 26, December, 2017 which support planting of cinnamon, macadamia and hawthorn. In fact, such activities are not under the solution package 5, but the province recorded as an information which will benefit improving their actions.

“Marginalization of particular groups” were observed to some groups who have been grazing cattle in forests in Trung Ong, Ta Mit, Nam Can, Phuc Khoa, Murong Khoa, and Ho Mit commune in Than Uyen district but the impact were regarded as low.

i) Province-wide cross cutting solution package (2)

Social risk: People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.

Monitoring duration: 01/01/2018-31/12/2018.

Data source: Field data collected at target districts by the district FPDs

Table 16. Monitoring result of province-wide cross cutting solution package – socio-environmental benefit-risk assessment framework

District	Risk	Number of affected people/cases	Rate of affected people out of total population of the target areas	Impact level
Than Uyên	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	none	none	
	People expect too much on benefits from PRAP implementation through different support and investment from government policies (for example projects/programs and PFES)	4,500 people	12.09%	
Tân Uyên	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	none	none	
	People expect too much on benefits from PRAP implementation through different support and investment from government policies (for example projects/programs and PFES)	12,202 people	25.81%	
Tam Đường	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	none	none	
	People expect too much on benefits from PRAP implementation through different support and investment from government policies (for example projects/programs and PFES)	4,532 people	13.68%	
Sìn Hồ	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	none	none	
	People expect too much on benefits from PRAP implementation through different support and investment from government policies (for example projects/programs and PFES)	3,152 people	6.07%	
Total	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	none	none	Low
	People expect too much on benefits from PRAP implementation through different support and investment from government policies (for example projects/programs and PFES)	24,386 people	14.38%	Low

In 2018, implementation of the solution package 6 did not create serious social concerns as show in Table 16.

Survey results collected from target areas showed that REDD+ is still a new concept to the majority of the local people and even including the commune staff, thus their expectations were limited. Awareness raising and communication regarding REDD+ were not conducted sufficiently due to lack of funding. However, some local people seemed to

have been expecting tangible benefits from the implementation of the PRAP, such as increased benefits from the investment programs and policies of the government (i.e. government initiatives, programs/projects including PFES).

4.2.2. Shortcomings and causes

a) Shortcomings

- Solution package 1 (*Reduce forest fires*): no serious social concerns were observed. However, there was an environmental concern observed (flammable materials remained in the forests) with the impact level 'medium', mainly in Tan Uyen district.

- Solution package 3 (*Stop illegal forest clearing for upland cultivation*)

During the course of implementation of the solution package 3, the impact of "loss of traditional knowledge, culture and livelihoods" was observed as 'high', especially in Tam Duong and Sin Ho District.

- For the remaining solution packages, the social and environmental concerns were assessed as 'low' or 'none'.

b) Causes

Implementation of the solution package 1 and 3 requires particular attention due to the reasons which were analyzed in part 4.2.1 and as summarized below:

- Solution package 1: Compliance and commitments of tree growers need to be carefully monitored as some of them tend to look at immediate benefits instead of long-term benefits and sustainability; awareness on the responsibilities of the forest owners and contracted parties need to be improved; and lack of funding for forest protection and maintenance after the initial subsidized periods need to be addressed.

- For the solution package 3: persistent customs and habits, poor living conditions, high forest-dependency of the people, and limited financial support for alternative livelihood development are the causes of unsuccessful implementation of the solution package 3.

Besides, there are general issues behind the unsatisfactory implementation of the solution packages as summarized below:

- In order to mitigate the negative impact, implementation of mitigation measures in a timely manner is critical. However, mitigation measures were often not implemented except for the cases where such measures are already incorporated in the PRAP activities. As a result, impact tend to increase. Although the SNRM project provided financial support for monitoring PRAP implementation, fund sources for implementation of mitigation measures are not clearly identified.

- Despite the active involvement of the authorities in the target districts, data collection for social & environmental impact assessment was relatively new task for them, thus requires more time to learn and comprehend. This may have partly affected the quality of the collected information, thereby affecting the accuracy of impact assessment.

5. Conclusion and recommendations

5.1. Conclusion

Implementation of solution packages are assessed as successful when the targets are met, through achievement of the indicators of the result framework, and by ensuring that the social and environmental impact related to the seven Cancun safeguards are sufficiently managed as ‘none’ or ‘low’.

Table 17. Monitoring results of Lai Chau PRAP solution package implementation in 2018

S: Satisfactory US: Unsatisfactory

No	Solution package	Results		Social & environmental impact		Overall assessment	
		S	US	S	US	S	US
1	Reduce forest fires		x		x		x
2	Stop forest clearing for upland cultivation	x		x		x	
3	Stop illegal and unsustainable timber and NTFPs logging		x		x		x
4	Mitigate negative impacts of cardamom plantations to forest resource	x		x		x	
5	Improve effectiveness of forest plantation development	x		x		x	
6	Province-wide cross cutting solution package	x		x		x	
6.1	<i>Improve the FRMS</i>	x		x		x	
6.2	<i>Raise awareness and capacity building on REDD+ implementation</i>	x		x		x	

According to Table 17, results of PRAP implementing in Lai Chau province in 2018 can be concluded as follows:

- Solution package 2, 4, 5 and 6 are on track to meet the result indicators without generating any serious environmental and social concerns.

- Solution package 1 and 3: implementation results have not reached the indicators set for 2018 and observed social and environmental impacts assessed as ‘medium’ and ‘high’.

5.2. Recommendations

Based on the results obtained from monitoring of PRAP implementation in 2018, recommendations to help promoting achievements and address pending issues during the course of PRAP implementing in the following years as follows.

- For the solution package 1: In order to prevent forest fires or mitigate the impact after occurrence, it is necessary to continue implementing the Directive No. 12 / CT-UBND on 27 November 2018 of Chairman of the Provincial People's Committee on strengthening forest management and protection, forest fire prevention and fighting during dry season in 2018-2019. In addition, it is critical to invest in equipment for forest fire prevention and fighting, improve communication on forest protection laws and regulations, pay special attention to the use of fire in forests, for upland field cultivation, and burning for refreshment of grazing fields. In order to mitigate negative impacts on environmental risks, it is necessary to promote awareness of the forest owners, tree growers and contracted parties in forest protection, and ensure their activities on planting, maintenance and protection of planted forests are in compliance with the agreements.

- For the solution package 3: In order to mitigate illegal forest exploitation cases, as a general direction, it is necessary to continue effective implementation of Forestry Law, Directive No. 13-CT / TW dated 12/01/2017 of the Provincial Secretariat Committee and the policies which support agricultural production in the province during the period of 2017-2021. In addition, it is necessary to prevent the illegal timber logging and firewood harvesting for commercial purposes; and improve technical skills of the local people on forest harvesting. In order to mitigate social impacts (27,603 people can potentially be affected in their indigenous knowledge, culture and traditional livelihood methods), alternative materials (e.g. for building houses and cooking.) need to be available, however in a way that can harmonize with the original lifestyle. In particular, REDD + good practice models should be replicated, such as firewood saving cook stoves, watermelon cultivation models, as they can contribute to reduce excessive pressure on natural forest resource and pave ways for sustainable use.

- Solution package 6 (province-wide cross cutting solution package): Although the goal of 2018 were achieved, for most people including the officials of the commune where PRAP has been implemented, REDD+ and climate change are still new concepts. Communication and dissemination of REDD+ and climate change should be carried out more intensively and effectively. Moreover, the results of this solution package are far exceeding the set indicators: it is necessary to review the appropriateness of the indicators, and then ensure the information collectors and analysis clearly understand the method of monitoring.

Apart from the recommendations to specific solution packages, general recommendations are derived as follows:

- In order to achieve targets for the following years, it is critical to seek for more resources to implement the planned activities (i.e Component II of the PRAP). It is necessary to allocate sufficient provincial fund to implement the solution package 2 (stop deforestation for upland cultivation) which requires a total of VND 92,250 million (94% of the total local budget. See Table 09 of the approved PRAP). In addition, the province should continue to follow up the possibility of JICA 3 project and also actively call for

investment from domestic and international organizations.

- In order to mitigate negative social & environmental impacts, it is necessary to adopt impact mitigation measures when implementing REDD + activities (*refer to Annex 03 of the PRAP for more details*).

- Along with further refinement and operationalization of social and environmental impact monitoring, Feedback Grievance Redress Mechanism (FGRM: a mechanism to accept, assess, and resolve stakeholder feedback or complaints related to the implementation of REDD+) needs to be put into practice, building on existing institutions, regulatory frameworks, mechanisms and capacity. This shall promote the role of local communities, transparency and safeguarding the people's rights when implementing REDD+. However, further elaboration of the principles at the national level is required for the provincial level to operationalize FGRM in their own province.

- For PRAP monitoring in 2019 and the following years, it is important to organize trainings for staff in district-level agencies and FPD in order to improve efficiency and effectiveness of the information to be collected - especially the information related to social impact monitoring.

- Finally, financial and technical support of the SNRM project for implementing PRAP monitoring is critical and should be considered for the following years.

ANNEXES

Annex 01. List of target commune for PRAP implementation in Lai Châu

No.	Locations	Solution packages					
		Reduce forest fire	Stop forest clearing for upland cultivation	Stop illegal and unsustainable timber and NTFPs logging	Mitigate negative impacts of cardamom plantations to forest resource	Improve effectiveness of forest plantation development	Province-wide cross cutting solution package
I	Than Uyên district						
1	Khoe On	x	x			x	x
2	Mường Cang	x	x			x	x
3	Mường Kim	x	x			x	x
4	Mường Mít	x	x			x	x
5	Pha Mu	x	x			x	x
6	Ta Gia	x	x			x	x
7	Tà Hừa	x	x			x	x
8	Tà Mung	x	x				x
II	Tân Uyên district						
1	Hồ Mít	x			x	x	x
2	Mường Khoa	x			x	x	x
3	Nậm Cắn	x				x	x
4	Nậm Sô	x				x	x
5	Tà Mít	x				x	x
6	Phúc Khoa	x			x	x	x
7	TTr Tân Uyên	x			x		x
8	Trung Đồng	x			x	x	x
III	Tam Đường district						
1	Thên Sin						x
2	Sùng Phài			x			x
3	Tả Lèng			x	x		x
4	Giang Ma						x
5	Bình Lư			x			x
6	Sơn Bình				x		x
7	Bản Bo				x		x
8	Khun Há			x	x		x
IV	Sin Hồ district						
1	Hồng Thu	x	x			x	x
2	Nậm Cuối	x	x	x		x	x
3	Nậm Hăn		x	x		x	x
4	Nậm Tăm	x	x			x	x
5	Pa Khóa		x	x		x	x
6	Phăng Sô Lin	x	x			x	x
7	Pu Sam Cáp		x		x	x	x
8	Chăn Nưa	x	x	x			x
9	Làng Mô		x	x		x	x
10	Pa Tần	x	x			x	x
11	Xà Dề Phìn		x	x		x	x
12	Tả Ngáo	x	x			x	x
13	Tùa Sín Chải		x	x		x	x
14	Căn Co	x	x			x	X
Total: 38 communes		24 communes	22 communes	11 communes	10 communes	27 communes	38 communes

**Annex 02. Monitoring results of Lai Chau PRAP implementation in 2018
(Result framework)**

No.	Solution packages	Baseline data	Result indicators	Monitoring measure	Means of verification	Duration
1	Reduce forest fires	1. The average number of forest fires over the 2010-2016 period was 7 cases. 2. The average annual forest fire area over the period of 2010-2016 was 18.60 ha.	The annual average number of forest fires/burnt forest area reduced by 20% or more over the period of 2017-2020.	- Number of forest fire cases - Burned forest area	FRMS, forest fire records of sub-FPD	1/1/2018 – 31/12/2018
2	Stop forest clearing for upland cultivation	1. The average number of annual illegal forest clearing for upland cultivation was 6 cases over the 2011-2016 period 2. Upland fields were 31,625 ha	1. The annual average number of deforestations will have been reduced by 30% or more by 2020 2. Upland field will have been reduced during by 5%/year during the 2017 – 2020 period	- Number of deforestation cases - Upland field area	FRMS, violation records of sub-FPD	1/1/2018 – 31/12/2018
3	Stop illegal and unsustainable timber and NTFPs logging	The average number of illegal forest logging cases was 8 cases per year over the 2010-2016 period.	The annual average number of illegal logging cases will have been reduced by 30% or more over the period of 2017-2020.	Number of illegal forest logging cases	FRMS, violation records of sub-FPD	1/1/2018 – 31/12/2018
4	Mitigate negative impacts of cardamom plantations to forest resource	1. 3,014 ha of cardamom plantations in 2016 2. None of the cardamom planting HHs used the fuel-saving method for drying cardamom in 2016	1. Ensure that there will be no newly planted area of cardamom in the priority areas over the 2017-2020 period. 2. Fuel-saving methods will have been used by at least 50% of total local household for cardamom drying by 2020	- New planted cardamom area - Number of HHs have been using fuel-saving drying methods	Socio-economic development report of forest rangers in target districts in 2018.	1/1/2018 – 31/12/2018
5	Improve effectiveness of forest plantation development	The rate of planted forest that formed forests (with forest cover) was in range of 70% - 75% over the 2011 – 2016 period	The rate of planted forest that formed forests (with forest cover) will have reached 80% by 2020	- Planted forest area in 2018 - Tree growth	Final assessment report of protection forest Management Board	1/1/2018 – 31/12/2018
6	Province-wide cross cutting solution package	NA	NA	NA	NA	NA

No.	Solution packages	Baseline data	Result indicators	Monitoring measure	Means of verification	Duration
6.1	Improve the FRMS	4 FPU and 4 Forest Management Boards are applying the improved FRMS in 2016.	By 2020, the FRMS will have been applied in all target districts of the Province	Number of districts that use FRMS	Annual FRM reports of sub-FPD	1/1/2018 – 31/12/2018
6.2	Raise awareness and capacity building on REDD+ implementation	70 related officials participated in provincial workshops on PRAP development organized in 2016 and 2017.	(1). By 2020, 400 provincial and target districts officials will have attended training courses and workshops on awareness raising on climate change and REDD + (2). 38 target communes will have been accessed by awareness raising activities during the period of 2017 – 2020.	- Number of participants to workshop on awareness raising and capacity building - Number of communes that got communicated	Interview results collected by target district FPDs and annual report of SNRM project	1/1/2018 – 31/12/2018

**Annex 03. Monitoring results of Lai Chau PRAP implementation in 2018
(Social and Environmental Benefit-Risk assessment Framework)**

No.	Solution package	Risk	Input data	Data source	Duration
1	Reduce forest fire	(1). Loss of traditional knowledge, culture and livelihood (2). Land and resource-use conflicts (3). Create flammable materials, which are potential for forest fire	(1). Number of affected people (2). Number of cases (3). High fire risk forest area (ha)	- Target district surveys	1/1/2018 – 31/12/2018
2	Stop forest clearing for upland cultivation	(1). Land and resource-use conflicts (2). Displacement of deforestation (3). Equity between the supported and not supported communities. (4). Loss of traditional knowledge, culture and livelihood	(1). Number of cases (2,3,4). Number of affected people	- Target district surveys	1/1/2018 – 31/12/2018

No.	Solution package	Risk	Input data	Data source	Duration
3	Stop illegal and unsustainable timber logging and harvesting of NTFPs	(1). Land and resource-use conflicts (2). Marginalization of particular groups (3). Loss of traditional knowledge, culture and livelihood	(1). Number of cases (2, 3). Number of affected people	- Target district surveys	1/1/2018 – 31/12/2018
4	Mitigate the impacts of cardamom plantations	(1). Marginalization of particular groups (2). Displacement of forest degradation due to cardamom planting	(1). Number of affected people (2). Area of degraded forest	- Target district surveys	1/1/2018 – 31/12/2018
5	Improve effectiveness of planted forest development	(1). Equity between the supported and not supported communities. (2). Land and resource-use conflicts (3). Marginalization of particular groups	(1,2,3). Number of affected people.	- Target district surveys	1/1/2018 – 31/12/2018
6	Province-wide cross cutting solution package	NA	NA	NA	NA
6.1	Improve Forest Resource Monitoring System (FRMS)	NA	NA	NA	NA
6.2	REDD+ awareness raising and capacity building training	(1). People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may create disturbances in the community. (2). People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	(1,2) Number of affected people	- Target district surveys	1/1/2018 – 31/12/2018

Annex 04. Environmental risk classification by CanCun safeguard

No.	Environmental risk	CanCun safeguard
1	Displacement of forest encroachment	Cancun safeguard (g) – displacement of emissions
2	Create flammable materials, which are potential for forest fire	Cancun safeguard (e) – conservation of natural forests and biological diversity

Annex 05. Social risk classification by CanCun safeguard

No.	Social risk	CanCun safeguard
1	Land and resource-use conflicts	Safeguard (b) – transparent and effective national forest governance Safeguard (d) – full and effective participation of relevant stakeholders
2	Marginalization of particular groups	Safeguard (c) – indigenous peoples’ and local communities’ rights Safeguard (d) – full and effective participation of relevant stakeholders
3	Equity between the supported and not supported communities	Safeguard (b) – transparent and effective national forest governance Safeguard (d) – full and effective participation of relevant stakeholders
4	Loss of traditional knowledge, culture and livelihood	Safeguard (c) – indigenous peoples’ and local communities’ rights

Annex 06. Criteria for risk classification

No.	Classification	Measures	Measures	Remarks
1	Low		Forest plantation area (ha) at high fire risk due to flammable material (0 - <500)	Applicable for the risk of create flammable materials, which are potential for forest fire (solution package 1).
			Forest area (ha) affected by displacement of forest encroachment for upland cultivation (0 - <5)	Applicable for the risk of displacement of deforestation (solution package 2).
			Degraded forest area (ha) due to displacement of cardamom plantations (0 - <5)	Applicable for the risk of displacement degraded forest due to of cardamom plantations (solution package 4).
			Number of cases (0 - 10)	Applicable for the risk of land and resource-use conflicts (solution package 1, 2, 3, 5).
			Number of affected people (0 - <25%)	Applicable for the risks of Equity between the supported and not supported communities; Marginalization of particular groups (solution package 1, 2, 3, 4, 5 and province-wide cross cutting solution package).

No.	Classification	Measures	Measures	Remarks
2	Medium		Forest plantation area (ha) at high fire risk due to flammable material (500 - <1.000)	nt
			Forest area (ha) affected by displacement of forest encroachment for upland cultivation (5 - <10)	nt
			Degraded forest area (ha) due to displacement of cardamom plantations (5 - <10)	nt
			Number of cases (10 - <20)	nt
			Number of affected people (25 - <50%)	nt
3	High		Forest plantation area (ha) at high fire risk due to flammable material (≥ 1.000)	nt
			Forest area (ha) affected by displacement of forest encroachment for upland cultivation (≥ 10)	nt
			Degraded forest area (ha) due to displacement of cardamom plantations (≥ 10)	nt
			Number of cases (≥ 20)	nt
			Number of affected people (50-100%)	nt

Annex 07. Synthesis of social and environmental data collection from target districts in 2018

No.	Needed data	Risk	Unit		Data collection by district									
					Cộng		Than Uyên		Tân Uyên		Tam Đường		Sin Hồ	
1	Solution package 1: Reduce forest fire													
	Are there any people being affected by controlling the use of fire in forest to mitigate forest fire? How many affected people?	Loss of traditional knowledge, culture and livelihood	Yes/No	People	Yes	531	Yes	8	No	0			Yes	523
	Number of detected and handled violation cases of using fire in forest? How many detected violators	Equity between the supported and not supported communities	case	People	0	0	0	0	0	0			0	0
	Is there any upland cultivating land shortage due to banding of use of fire for vegetation burning? How many affected people?	Loss of traditional knowledge, culture and livelihood	Yes/No	People	Yes	7253	No	0	Yes	100			Yes	7153
	Forest plantation area with high fire risk due to accumulated flammable material; How many ha of forest plantations at this risk?	Forest plantation area at high fire risk (ha) due to flammable material	Yes/No	Ha	Yes	578	Yes	152	Yes	421			Yes	5
2	Solution package 2: Stop forest clearing for upland cultivation													
	Are there any conflicts between authorities and local people in management and use of land due to strict controlling use of fire? How many affected people?	Land and resource-use conflicts	case	People	2	4	2	4					0	0
	Is there any equity between the supported and not supported communities? How many affected people?	Equity between the supported and not supported communities	Yes/No	People	Yes	2459	Yes	8					Yes	2451
	Were local people's traditional knowledge, culture and livelihood affected due to strict controlling forest encroachment for upland cultivation? How many affected people?	Loss of traditional knowledge, culture and livelihood	Yes/No	People	Yes	6857	Yes	599					Yes	6258
	Any forest area deforested for agriculture production? How many ha?	Displacement of deforestation	Yes/No	Ha	No	0	No	0					No	0
3	Solution package 3: Stop illegal and unsustainable timber and NTFPs logging													
	Are there any conflicts between authorities and local people in forest protection? Estimated number of affected people	Land and resource-use conflicts	Case	People	1	3						0	0	1
	Are there any people being affected by strict control to natural forest harvesting? How many affected people?	Marginalization of particular groups	Yes/No	People	Yes	7579						Yes	6115	Yes

No.	Needed data	Risk	Unit		Data collection by district									
					Cộng		Than Uyên		Tân Uyên		Tam Đường		Sin Hồ	
	Are there any people being affected to their traditional knowledge, culture and livelihood by controlling the use of fire in forest to mitigate forest fire? How many people being affected?	Loss of traditional knowledge, culture and livelihood	Yes/No	People	Yes	27603					Yes	13846	Yes	13757
4	Solution package 4: Mitigate the impacts of cardamom plantations													
	Is there anyone being affected to their income due to limitation of new cardamom area? How many affected people?	Marginalization of particular groups	Yes/No	People	Yes	6129			Yes	5324	Yes	5	Yes	800
	Area of degraded forest due to new planted cardamom	Displacement degraded forest due to of cardamom plantations	Yes/No	Ha	No	0			No	0	No	0	No	0
5	Solution package 5: Improve effectiveness of planted forest development													
	Is there any equity between the supported and not supported communities? How many affected people?	Equity between the supported and not supported communities	Yes/No	People	Yes	81	Yes	3	No	0			Yes	78
	Number of land-use conflicts between commune, village, and households for forest tree planting and other land-use purposes. How large the conflicted area is?	Land and resource-use conflicts	Case	Ha	6	14,9	0	0	3	4,3			3	10,6
	Cattle grazing being affected due to control of authority to protect forests; How many affected people?	Marginalization of particular groups	Yes/No	People	Yes	8559	Yes	4128	Yes	695			Yes	3736
6	Solution package 6: Province-wide cross cutting solution package													
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.		Yes/No	People	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.		Yes/No	People	Yes	24386	Yes	4500	Yes	12202	Yes	4532	Yes	3152

Annex 08. Synthesis of social and environmental data collection in Than Uyen districts in 2018

No.	Inputs	Unit		Data collection by commune															
				Khoen On		Mường Mít		Pha Mu		Tà Hừa		Mường Cang		Mường Kim		Tà Mung		Ta Gia	
1	Solution package 1: Reduce forest fire																		
	Are there any people being affected by controlling the use of fire in forest to mitigate forest fire? How many affected people?	Yes/No	People	No	0	No	0	Yes	8	No	0	No	0	No	0	No	0	No	0
	Number of detected and handled violation cases of using fire in forest? How many detected violators	Case	People	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Is there any upland cultivating land shortage due to banding of use of fire for vegetation burning? How many affected people?	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	Forest plantation area with high fire risk due to accumulated flammable material; How many ha of forest plantations at this risk?	Yes/No	Ha	No	0	Yes	2	No	0	Yes	100	Yes	50	No	0	No	0	No	0
2	Solution package 2: Stop forest clearing for upland cultivation																		
	Are there any conflicts between authorities and local people in management and use of land due to strict controlling use of fire? How many affected people?	Case	People	0	0	0	0	2	4	0	0	0	0	0	0	0	0	0	0
	Is there any equity between the supported and not supported communities? How many affected people?	Yes/No	People	No	0	Yes	8	No	0	No	0	No	0	No	0	No	0	No	0
	Were local people's traditional livelihood affected due to strict controlling forest encroachment for upland cultivation? How many affected people?	Yes/No	People	Yes	35	Yes	32	No	0	No	0	Yes	500	No	0	No	0	Yes	32
	Any forest area deforested for agriculture production? How many ha?	Yes/No	Ha	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
3	Solution package 5: Improve effectiveness of planted forest development																		
	Is there any equity between the supported and not supported communities? How many affected people?	Yes/No	People	No	0	No	0	No	0	Yes	3	No	0	No	0			No	0
	Number of land-use conflicts between commune, village, and households for forest tree planting and other land-use purposes. How large the conflicted area is?	Case	Ha	0	0	0	0	0	0	0	0	0	0	0	0			0	0

No.	Inputs	Unit		Data collection by commune															
				Khoen On		Mường Mít		Pha Mu		Tà Hừa		Mường Cang		Mường Kim		Tà Mung		Ta Gia	
	Cattle grazing being affected due to control of authority to protect forests; How many affected people?	Yes/No	People	Yes	660	Yes	572	Yes	366	Yes	450	Yes	700	Yes	1000			Yes	380
4	Solution package 6: Province-wide cross cutting solution package																		
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	Yes/No	People	Yes	4500	No	0	No	0	No	0	No	0	No	0	No	0	No	0

Annex 09. Synthesis of social and environmental data collection in Tan Uyen districts in 2018

No.	Inputs	Unit		Data collection by commune															
				Thị trấn		Mường Khoa		Phúc Khoa		Trung Đông		Hố Mít		Nậm Sỏ		Nậm Cản		Tà Mít	
1	Solution package 1: Reduce forest fire																		
	Are there any people being affected by controlling the use of fire in forest to mitigate forest fire? How many affected people?	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	Number of detected and handled violation cases of using fire in forest? How many detected violators	Case	People	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Is there any upland cultivating land shortage due to banding of use of fire for vegetation burning? How many affected people?	Yes/No	People	No	0	No	0	No	0	Yes	100	No	0	No	0	No	0	No	0
	Forest plantation area with high fire risk due to accumulated flammable material; How many ha of forest plantations at this risk?	Yes/No	Ha	No	0	Yes	30	Yes	11	Yes	12	Yes	30	Yes	280	Yes	3	Yes	55
2	Solution package 4: Mitigate the impacts of cardamom plantations																		
	Is there anyone being affected to their income due to limitation of new cardamom area? How many affected people?	Yes/No	People	Yes	1237	Yes	715	Yes	1260	Yes	2112	No	0						

No.	Inputs	Unit		Data collection by commune															
				Thị trấn		Mường Khoa		Phúc Khoa		Trung Đông		Hố Mít		Nậm Sỏ		Nậm Cắn		Tà Mít	
	Area of degraded forest due to new planted cardamom	Yes/No	Ha	No	0	No	0	No	0	No	0	No	0						
3	Solution package 5: Improve effectiveness of planted forest development																		
	Is there any equity between the supported and not supported communities? How many affected people?	Yes/No	People			No	0	No	0	No	0	No	0	No	0	No	0	No	0
	Number of land-use conflicts between commune, village, and households for forest tree planting and other land-use purposes. How large the conflicted area is?	Case	Ha			0	0	0	0	0	0	1	0,3	0	0	2	4	0	0
	Cattle grazing being affected due to control of authority to protect forests; How many affected people?	Yes/No	People			Yes	30	Yes	50	Yes	375	Yes	100	No	0	Yes	15	Yes	125
4	Solution package 6: Province-wide cross cutting solution package																		
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	Yes/No	People	No	0	No	0	No	0	No	0	Yes	3316	Yes	5386	Yes	2000	Yes	1500

Annex 10. Synthesis of social and environmental data collection in Tam Duong districts in 2018

No.	Inputs	Unit		Data collection by commune															
				Thèn Sin		Bình Lư		Bản Bô		Tả Lềng		Sùng Phài		Khun Há		Sơn Bình		Giang Ma	
1	Solution package 3: Stop illegal and unsustainable timber and NTFPs logging																		
	Are there any conflicts between authorities and local people in forest protection? Estimated number of affected people	Case	People			0	0			0	0	0	0	0	0				
	Are there any people being affected by strict control to natural forest harvesting? How many affected people?	Yes/No	People			Yes	2000			Yes	2095	Yes	520	Yes	1500				
	Are there any people being affected to their traditional knowledge, culture and livelihood by controlling the use of fire in forest to mitigate forest fire? How many people being affected?	Yes/No	People			Yes	5000			Yes	4326	Yes	520	Yes	4000				
2	Solution package 4: Mitigate the impacts of cardamom plantations																		
	Is there anyone being affected to their income due to limitation of new cardamom area? How many affected people?	Yes/No	People					No	0	No	0			Yes	5	No	0		
	Area of degraded forest due to new planted cardamom	Yes/No	Ha					No	0	No	0			No	0	No	0		
3	Solution package 6: Province-wide cross cutting solution package																		
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	Yes/No	People	Yes	615	Yes	120	No	0	Yes	1277	Yes	520	Yes	2000	No	0	No	0

Annex 11. Synthesis of social and environmental data collection in Sin Ho districts in 2018

No.	Inputs	Đơn vị		Data collection by commune													
				Chăn Nưa		Căn Co		Nậm Cuối		Pa Khóa		Pu Sam Cáp		Tủa Sín Chải		Pa Tàn	
1	Solution package 1: Reduce forest fire																
	Are there any people being affected by controlling the use of fire in forest to mitigate forest fire? How many affected people?	Yes/No	People	No	0	No	0	No	0							Yes	277
	Number of detected and handled violation cases of using fire in forest? How many detected violators	Case	People	0	0	0	0	0	0							0	0
	Is there any upland cultivating land shortage due to banding of use of fire for vegetation burning? How many affected people?	Yes/No	People	No	0	Yes	2000	No	0							Yes	277
	Forest plantation area with high fire risk due to accumulated flammable material; How many ha of forest plantations at this risk?	Yes/No	Ha	No	0	No	0	No	0							No	0
2	Solution package 2: Stop forest clearing for upland cultivation																
	Are there any conflicts between authorities and local people in management and use of land due to strict controlling use of fire? How many affected people?	Case	People	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Is there any equity between the supported and not supported communities? How many affected people?	Yes/No	People	No	0	No	0	No	0	Yes	596	No	0	Yes	170	No	0
	Were local people's traditional livelihood affected due to strict controlling forest encroachment for upland cultivation? How many affected people?	Yes/No	People	No	0	Yes	200	Yes	200	No	0	Yes	60	Yes	150	Yes	277
	Any forest area deforested for agriculture production? How many ha?	Yes/No	Ha	No	0	No	0	No	0	No	0	No	0	No	0	No	0
3	Solution package 3: Stop illegal and unsustainable timber and NTFPs logging																
	Are there any conflicts between authorities and local people in forest protection? Estimated number of affected people	Case	People	0	0			0	0	0	0			1	3		
	Are there any people being affected by strict control to natural forest harvesting? How many affected people?	Yes/No	People	No	0			Yes	96	No	0			No	0		
	Are there any people being affected to their traditional knowledge, culture and livelihood by controlling the use of fire in forest to mitigate forest fire? How many people being affected?	Yes/No	People	Yes	105			Yes	4500	Yes	1460			Yes	1000		
4	Solution package 4: Mitigate the impacts of cardamom plantations																

No.	Inputs	Đơn vị		Data collection by commune													
				Chăn Nura		Căn Co		Nậm Cuối		Pa Khóa		Pu Sam Cáp		Tủa Sín Chải		Pa Tàn	
	Is there anyone being affected to their income due to limitation of new cardamom area? How many affected people?	Yes/No	People									Yes	800				
	Area of degraded forest due to new planted cardamom	Yes/No	Ha									No	0				
5	Solution package 5: Improve effectiveness of planted forest development																
	Is there any equity between the supported and not supported communities? How many affected people?	Yes/No	People			No	0	No	0	No	0	Yes	34	Yes	44	No	0
	Number of land-use conflicts between commune, village, and households for forest tree planting and other land-use purposes. How large the conflicted area is?	Case	Ha			0	0	0	0	0	0	3	10,6	0	0	0	0
	Cattle grazing being affected due to control of authority to protect forests; How many affected people?	Yes/No	People			Yes	60	Yes	1850	Yes	360	No	0	No	0	No	0
6	Solution package 6: Province-wide cross cutting solution package																
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	Yes/No	People	No	0	No	0	No	0	No	0	No	0	No	0	No	0

Annex 12. Synthesis of social and environmental data collection in Sin Ho districts in 2018

No.	Inputs	Data collection by commune													
		Hồng Thu		Phăng Sô Lin		Nậm Tăm		Tả Ngáo		Sà Dề Phìn		Nậm Hăn		Làng Mỏ	
1	Solution package 1: Reduce forest fire														
	Are there any people being affected by controlling the use of fire in forest to mitigate forest fire? How many affected people?	No	0	No	0	Yes	20	Yes	226						
	Number of detected and handled violation cases of using fire in forest? How many detected violators	0	0	0	0	0	0	0	0						
	Is there any upland cultivating land shortage due to banding of use of fire for vegetation burning? How many affected people?	Yes	4100	Yes	550	No	0	Yes	226						
	Forest plantation area with high fire risk due to accumulated flammable material; How many ha of forest plantations at this risk?	Yes	5	No	0	No	0	No	0						
2	Solution package 2: Stop forest clearing for upland cultivation														
	Are there any conflicts between authorities and local people in management and use of land due to strict controlling use of fire? How many affected people?	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Is there any equity between the supported and not supported communities? How many affected people?	No	0	Yes	360	Yes	1325	No	0	No	0	No	0	No	0
	Were local people's traditional livelihood affected due to strict controlling forest encroachment for upland cultivation? How many affected people?	Yes	4100	No	0	Yes	45	Yes	226	Yes	1000	No	0	No	0
	Any forest area deforested for agriculture production? How many ha?	No	0	No	0	No	0	No	0	No	0	No	0	No	0
3	Solution package 3: Stop illegal and unsustainable timber and NTFPs logging														
	Are there any conflicts between authorities and local people in forest protection? Estimated number of affected people	0	0							0	0	0	0	0	0
	Are there any people being affected by strict control to natural forest harvesting? How many affected people?	Yes	368							Yes	1000	No	0	No	0
	Are there any people being affected to their traditional knowledge, culture and livelihood by controlling the use of fire in forest to mitigate forest fire? How many people being affected?	Yes	4584							Yes	2000	Yes	47	Yes	61
4	Solution package 4: Mitigate the impacts of cardamom plantations														

No.	Inputs	Data collection by commune													
		Hồng Thu		Phăng Sô Lin		Nậm Tăm		Tả Ngáo		Sà Dề Phìn		Nậm Hăn		Làng Mô	
	Is there anyone being affected to their income due to limitation of new cardamom area? How many affected people?														
	Area of degraded forest due to new planted cardamom														
5	Solution package 5: Improve effectiveness of planted forest development														
	Is there any equity between the supported and not supported communities? How many affected people?	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	Number of land-use conflicts between commune, village, and households for forest tree planting and other land-use purposes. How large the conflicted area is?	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Cattle grazing being affected due to control of authority to protect forests; How many affected people?	No	0	Yes	850	Yes	121	No	0	Yes	300	Yes	195	No	0
6	Solution package 6: Province-wide cross cutting solution package														
	People may misunderstand about REDD+ and expect too much on benefits from REDD+, thus, it may lead disturbances in the community.	No	0	No	0	No	0	No	0	No	0	No	0	No	0
	People may expect too much on PRAP implementation through support activities, and investment of the government such as projects/programs, and PFES.	Yes	1352	No	0	No	0	No	0	Yes	1800	No	0	No	0

Annex 13. Total population of target communes in 2018 by solution package

No.	District/commune	By solution package					
		Solution package 1	Solution package 2	Solution package 3	Solution package 4	Solution package 5	Solution package 6
Total		116.292	89.164	43.176	55.932	115.569	169.576
I	Thân Uyên	37.222	37.222	-	-	33.021	37.222
1	Khoe On	4.822	4.822			4.822	4.822
2	Mường Cang	6.322	6.322			6.322	6.322
3	Mường Kim	11.062	11.062			11.062	11.062
4	Mường Mít	2.098	2.098			2.098	2.098
5	Pha Mu	965	965			965	965
6	Ta Gia	5.396	5.396			5.396	5.396
7	Tà Hừa	2.356	2.356			2.356	2.356
8	Tà Mung	4.201	4.201				4.201
II	Tân Uyên	47.277	-	-	35.606	33.508	47.277
1	Hồ Mít	3.316			3.316	3.316	3.316
2	Mường Khoa	7.266			7.266	7.266	7.266
3	Nậm Cắn	2.209				2.209	2.209
4	Nậm Sỏ	7.887				7.887	7.887
5	Tà Mít	1.575				1.575	1.575
6	Phúc Khoa	4.322			4.322	4.322	4.322
7	TTr Tân Uyên	13.769			13.769		13.769
8	Trung Đồng	6.933			6.933	6.933	6.933
III	Tam Đường	-	-	16.993	18.889	-	33.135
1	Thên Sín						3.184
2	Sùng Phài			2.078			2.078
3	Tà Lèng			4.280	4.280		4.280
4	Giang Ma						3.784
5	Bình Lư			5.200			5.200
6	Sơn Bình				4.005		4.005
7	Bản Bò				5.169		5.169
8	Khun Há			5.435	5.435		5.435
IV	Sin Hồ	31.793	51.942	26.183	1.437	49.040	51.942
1	Hồng Thu	4.484	4.484			4.484	4.484
2	Nậm Cuối	4.569	4.569	4.569		4.569	4.569
3	Nậm Hãn		5.423	5.423		5.423	5.423
4	Nậm Tầm	4.377	4.377			4.377	4.377
5	Pa Khóa		2.253	2.253		2.253	2.253
6	Phăng Sỏ Lin	2.735	2.735			2.735	2.735
7	Pu Sam Cáp		1.437		1.437	1.437	1.437
8	Chấn Nưa	2.902	2.902	2.902			2.902
9	Làng Mô		3.790	3.790		3.790	3.790
10	Pa Tân	4.147	4.147			4.147	4.147
11	Xà Dề Phìn		2.047	2.047		2.047	2.047
12	Tà Ngáo	4.550	4.550			4.550	4.550
13	Tùa Sín Chải		5.199	5.199		5.199	5.199
14	Căn Co	4.029	4.029			4.029	4.029

