



**Capacity building and
communications needs assessment
of smallholder tree growers to
implement Viet Nam Timber**

Viet Nam Forest Owners Association

August 2018

ACKNOWLEDGMENT

Viet Nam Forest Owners Association would like to thank the FAO-EU FLEGT Program, members of Multi-Core group for their contribution to the content and methodology of the capacity building and communication needs assessment survey for smallholder tree growers to implementation Viet Nam Timber Legality System (VNTLAS).

We would also like to thank the local sub-association, 274 smallholder tree growers, especially those who participated in the three core groups in Phu Tho, Quang Tri and Quang Ninh for their practical contributions. and effective in conducting field surveys.

Viet Nam Forest Owners Association

ABBREVIATIONS

BNNPTNT	Ministry of Agriculture and Rural Development
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FLEGT	Forest Law Enforcement, Governance and Trade
JIF	VPA general implementation framework
PO	Purchase order
TT	Circulars
UBND	People's Committee
VIFORA	Viet Nam Forest Owners Association
VNTLAS	Viet Nam Timber Legality Assurance System
VAT	Value added tax
VPA	Voluntary Partnership Agreement

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1. INTRODUCTION

After over 6 years of negotiations, 11th May 2017 marked an important change in the VPA-FLEGT process in Vietnam when leaders of EU and Viet Nam delegations signed the VPA. This also marked the starting point for the preparation of VPA – FLEGT implementation in Viet Nam. While it is expected that FLEGT license will be applied in 2020, findings from surveys in various parts of Viet Nam, undertaken by members of VNGO–FLEGT network and by EU FLEGT funded initiatives in Viet Nam, indicate that there is limited understanding among local officials and forest companies on VPA–FLEGT and VNTLAS. For smallholder tree growers, forests families and communities who are currently managing around 30% of the Vietnam’s forest area and cover 46% of the country’s plantation forests, understanding of this issue is close to zero. This poses a major problem of law compliance when Viet Nam has to implement the VNTLAS under the recently signed VPA–FLEGT. Without proper understanding of VNTLAS, concerned stakeholder, particularly smallholder tree growers in Viet Nam are unlikely to fully comply with its requirements.

In order to contribute to solving the above problem, FAO – EU FLEGT Program of Food and Agriculture Organization of the United Nations and VIFORA, on May 2018, Signed the Project Implementation Agreement **“Developing capacity of smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS)”**¹.

Capacity building and communication needs assessment report for smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS), under the framework of the project, is the product of VIFORA's capacity building and communication needs assessment, on August 2018, in area of 6 VIFORA’s branches in 3 provinces Phu Tho, Quang Tri and Quang Ninh with 274 smallholder tree growers.

This report contains the main contents as follows:

- Objectives and scope of the evaluation;
- Evaluation methods;
- Key findings from the evaluation;
- Proposing a capacity building and communication program for smallholder tree growers to implement VNTLAS;
- Conclusion;
- Appendix;
- References.

¹ PO 332769

2. GOALS AND SCOPE OF EVALUATION

2.1. Goals of evaluation

Evaluated in order to determine the basis for achieving outcome 1² of Letter of Agreement between FAO-EU FLEGT Programme and VIFORA included:

- Survey and analysis of legal compliance in the exploitation and consumption/sale of plantation timber by smallholder tree growers. Evaluate capacity and identify gaps in knowledge and skills, in terms of legal timber, of household members belonging to VIFORA who have afforestation and other smallholder tree growers participating in the wood supply chain is regulated by VNTLAS, in which:
 - Assessment of existing knowledge and skills of small-scale forest growers on legal timber and the practical application of these knowledge and skills in fact;
 - Identification of gaps/inadequacies and the need to improve the capacity and communications need for legal timber so that smallholder tree growers can successfully participate in the timber supply chain under the regulation of VNTLAS. The scope is regulated by VNTLAS.
- Proposals for capacity building and communication programme on legal timber, for member of VIFORA who have plantation forest and other smallholder tree growers.

2.2. Scope of evaluation

Objects

The evaluation plan was implemented with 250 households. However, in fact, the assessment has been conducted with 274 smallholder tree growers, inside and outside VIFORA, involved in the timber supply chain, in the area of 6 VIFORA's branches in 3 provinces of Phu Tho, Quang Ninh, Quang Tri - provinces with large plantations established by smallholder tree growers. It also looks at capacity and capacity building needs of local sub-associations (branch and group) and local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions).

Contents

- Clarify how smallholder tree growers implementing legal requirements for production of planted-forest timber and bring planted-forest timber into the supply chain in the stages of plantation, harvesting timber from plantations;
- Clarify required legal knowledge and skills to meet the requirements of Viet Nam Timber Legality Assurance System for smallholder tree growers. In the definition of legal timber

² Outcome 1: Capacity building programs in accordance with the key conditions of smallholder tree growers was developed

for households of VNTLAS, Smallholder tree growers should implement principle I “Domestic logging comply with regulations on land use rights, forest use, environmental and social management”. There are eight criteria to evaluate depending on the conditions of each locality. Households must also comply with principle VII “Compliance with tax regulations”³;

- Clarify the gaps/inadequacies for smallholder tree growers is a lack of knowledge/skills on legal timber that needs to be supplemented/improved;
- Propose a communication and capacity building program on legal timber; What is the need for communication and training? Who needs training, what training and how?

3. EVALUATION METHODS

To achieve this goal with the scope of assessment above, the assessment was carried out by the following method:

- Use semi-directed interviews and questionnaires⁴; Use the tools to extract the results of the investigation, problem analysis and core-group discussion. Conducted 03 discussions with 3 core groups (20 people per group, the total of 3 groups is 60 people) 6 VIFORA’s branches in 3 provinces of Phu Tho, Quang Ninh, Quang Tri.
- The core group discussions specifically focus on capacity assessment and capacity building needs of local sub-associations (branch and group) and local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions) as well as the participation of these organizations during and after the implementation of the project.
- This project will contribute to strategic actions identified and agreed upon in the JIF Program, in particular Strategic Task 4 (Information Needs Assessment and Training), Strategic Task 6 (preparation of information and communication strategies and development of VPA-FLEGT standard communication materials for different target audiences), and Strategic Task 7 (implementing spatial actions with multi-stakeholder, VIFORA shared Outlines and questionnaires with FAO and Multi-Stakeholder Core Group to receive inputs prior to conducting field surveys and assessments;
- At present, a circular on the implementation of VNTLAS is in the process of drafting, on the other hand the legal norm as: Decision No. 44/2006 / QD-BNN dated June 1, 2006, Decision No. 107/2007 / QD-BNN dated 31/12/2007, Circular 87/2009 / TT-BNNPTNT dated 31/12/2009, Circular No. 01/2012 / TT-BNNPTNT dated 04/01/2012, Circular No. 40/2015 / TT-BNNPTNT dated 21/10/2015, Circular No. 47/2012 / TT-BNNPTNT dated 25/9/2012 , Circular No. 21/2016 / TT-BNNPTNT dated 28/6/2016, Circular No. 17/2017 / TT-BNNPTNT dated 11/9/2017 still in force, therefore, the assessment is concurrently based on the requirements of VNTLAS (Annex V of VPA dated 11/05/2017), the legal norms mentioned above, and draft circulars on exploitation and management and traceability of forest products.

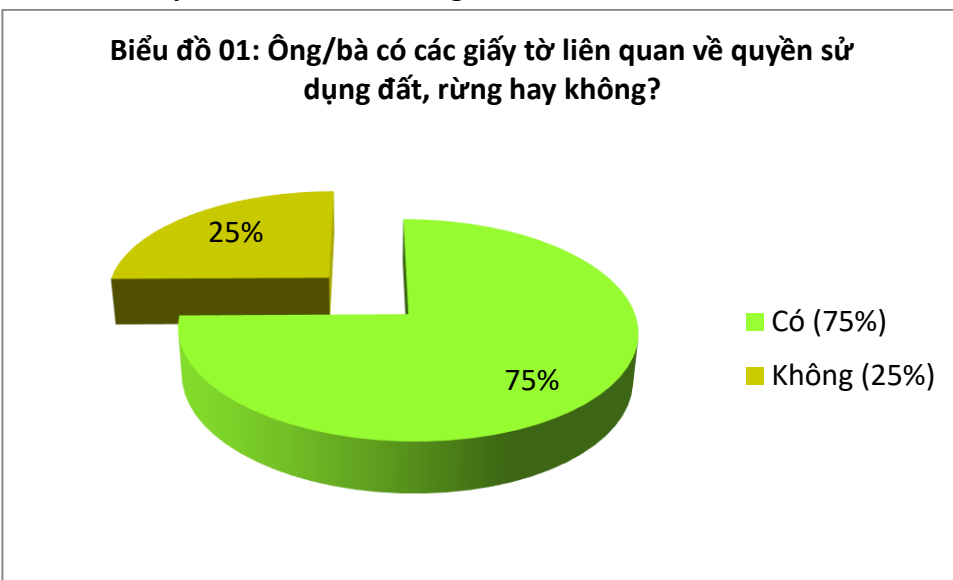
³ Appendix 1B, Annex II of VPA signed on May 11, 2017.

⁴ See annex.

4. KEY FINDINGS AND SUGGESTION

The field survey was conducted in August 2018 in the area of 6 VIFORA's branch in 3 provinces Phu Tho, Quang Tri and Quang Ninh. The following are the key findings from the 28-item evaluation conducted with 274 smallholder tree growers in there and the results of the discussions of the three core groups in that area of the six branch of 3 provinces Phu Tho, Quang Tri, Quang Ninh.

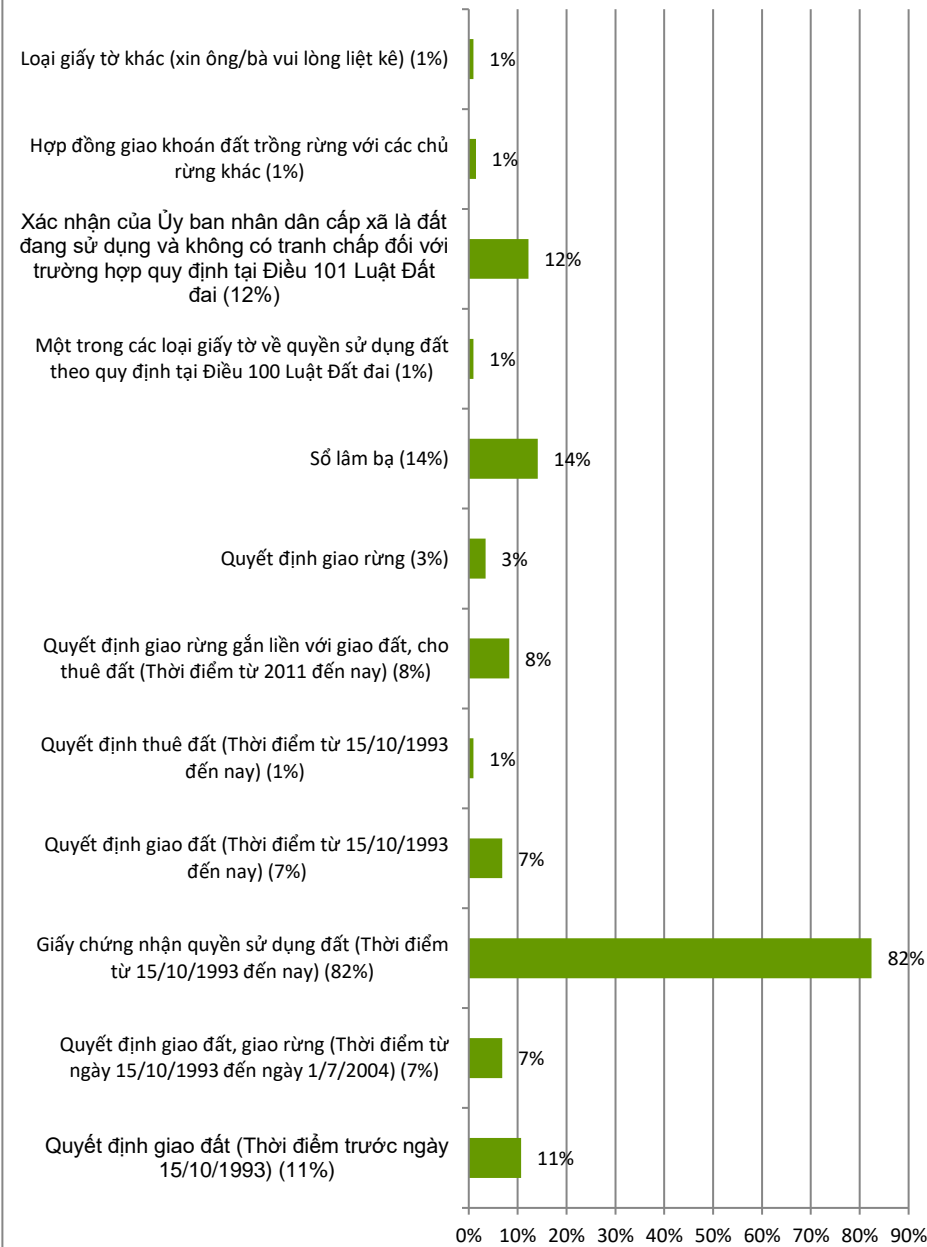
4.1. Ownership, land / forest use rights



Finding: 75% of 274 smallholder tree growers has the document relevant to land/forest use rights as required on principle I of VNTLAS. While 25% of interviewed households have no documents related to land/forest use rights.

Suggestion: 25% of 274 is not a small number. It shows that if that problem can't be dissolve, when VNTLAS comes into operation, one in four smallholder tree growers will be excluded from their supply chains because their timber is not legal, lack of Documents on land use rights, forests use rights. So ownership issues, Forest/land use rights will be an important element in capacity building and communication.

Biểu đồ 02: Nếu có, đó là những loại giấy tờ nào?

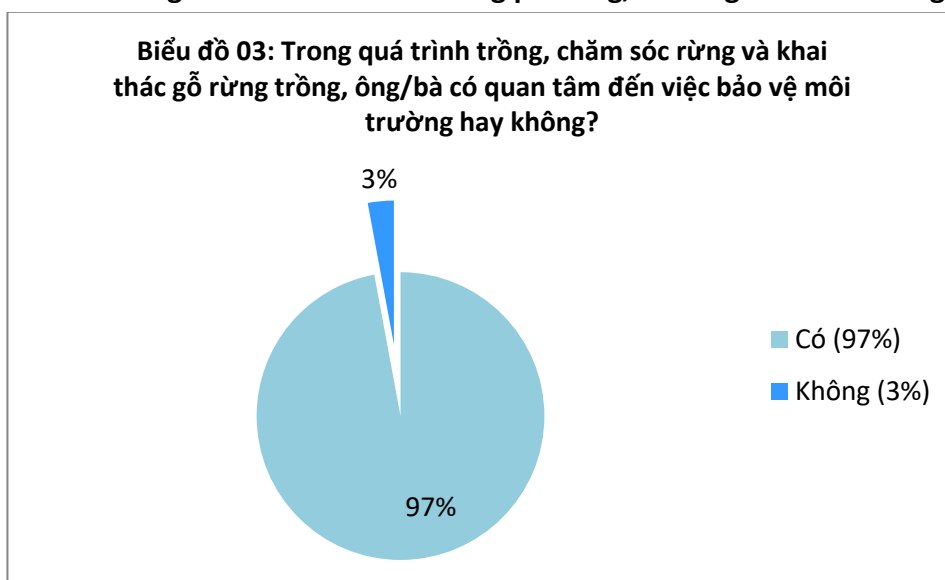


Finding: Figure 02 describes the status of specific documents demonstrating land/forest use rights of 75% of afforestation households have answered that they have the document on land/forest use right in figure 01. VNTLAS stipulates that afforestation households must have at least one of the 11 land use rights documents, as depicted in Figure 02, the timber planted on that land is legal timber. Figure 02 shows that the number of households with land use right certificate is the highest (82%), then the forest register (14%). Among the remaining paper, one type 12%, one type 11%, one type 8%, 2 types 7%, 4 types 1%. However 1% is another document, out of

11 types of VNTLAS, no legal value.

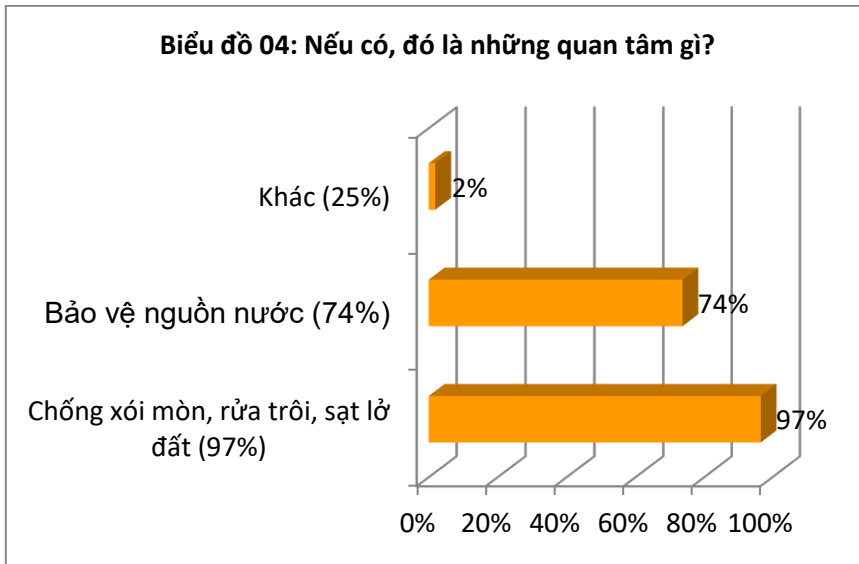
Suggestion: 11 types of legal papers on land are quite a lot. This, in addition to complexity, also has the advantage for planters if they know and apply the advantage of this requirement of VNTLAS. The advantage is that in addition to the land use right certificate, they have 10 other types of documents that can prove their legal basis for forest / plantation land. So specific legal documents related to forest / forest land will be required in the capacity building program and communication program.

4.2. Protecting the environment during planting, tending and harvesting from plantations



Finding: Only 3% of the 274 smallholders interviewed were not interested in environmental protection, while 97% of them responded to environmental concerns during the process of planting, tending and harvesting.

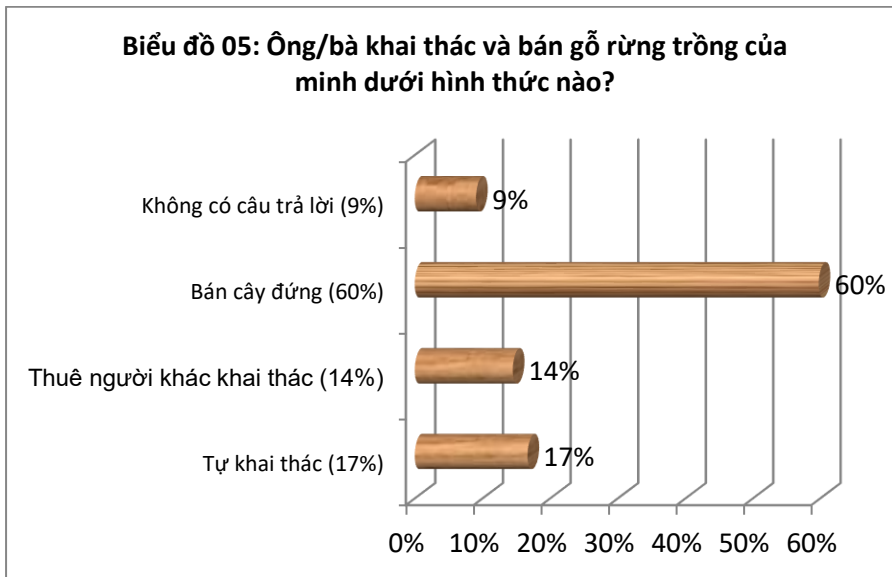
Suggestion: This figure reflects the overwhelming reality of smallholder tree growers who are interested in protecting the environment. Their interest should be further encouraged and supported to develop into regular, continuous actions that provide the basis for sustainable plantation development. Thus, in the program of capacity building and communication program for smallholder tree growers plantation households, there should be a suitable place for environmental protection in the process of planting, tending and harvesting.



Finding: Figure 04 shows the specific environmental concerns of smallholder tree growers in their planting, tending and harvesting. 97% of them are interested in protecting the soil from erosion, landslide. 74% are interested in water conservation; Another 2% expressed interest in forest fire prevention.

Suggestion: The environmental protection concerns of smallholder tree growers plantation households have shown very good for soil protection, relatively good for water protection, but are not commensurate with other environmental protection requirements: forest fire prevention; pest and disease control; create forest landscape in the area. Capacity building and communication programs for smallholder tree growers plantation households should have environmental protection including forest fire prevention and control, pest and disease control; create forest landscape in the area.

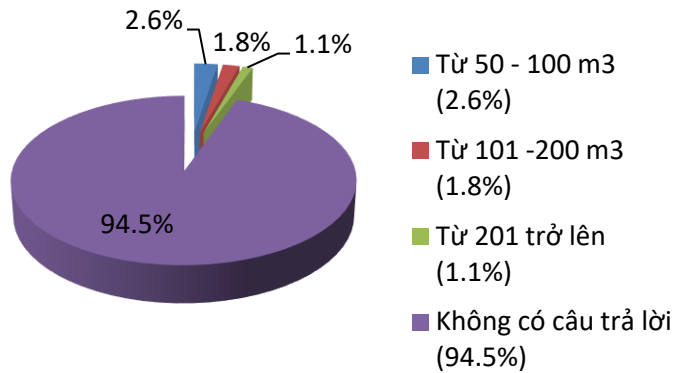
4.3. Form of harvesting and selling the timber



Finding: When asked about the type of timber harvesting and marketing / selling, 60% of the 274 smallholder tree growers sell standing trees. 17% of them are self-harvest, 14% of them employ others, and 9% of them don't have the answers.

Suggestion: The above figures reflect the fact that smallholder tree growers harvesting is very diversified and there are no specific criteria for the forest owner to decide which species to use. Therefore, selection the form of timber harvesting, especially the criteria for selection, should be part of the capacity building and communication program for smallholder tree growers.

Biểu đồ 06: Khối lượng gỗ ông/bà đã bán trong năm gần nhất?

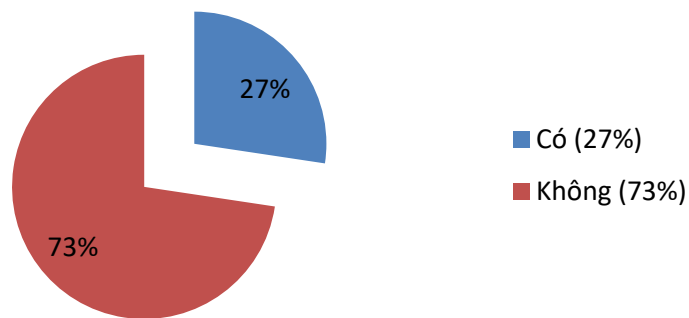


Finding: With question: "The volume of wood you have sold in the last year?", the team received a very interesting response. Only 5.5% of the 274 smallholder tree growers surveyed answered the volume of timber they sold in the last year, while 94.5% of them did not answer.

Suggestion: Figure 06 reflect the fact that smallholders are not really interested in the volume of timber that their plantations produce. The lack of interest in productive production demonstrates the professional level of smallholder tree growers in managing production and managing their products. The capacity building and communication program for smallholder tree growers should have the content of management, harvest and consumption related to the volume of timber produced by households.

4.4. Knowledge of legal norms currently applicable to the exploitation, consumption/sale and transportation of plantation timber

Biểu đồ 07: Ông/bà có biết về các quy phạm pháp luật hiện đang áp dụng cho việc khai thác, tiêu thụ/bán và vận chuyển gỗ rừng trồng?



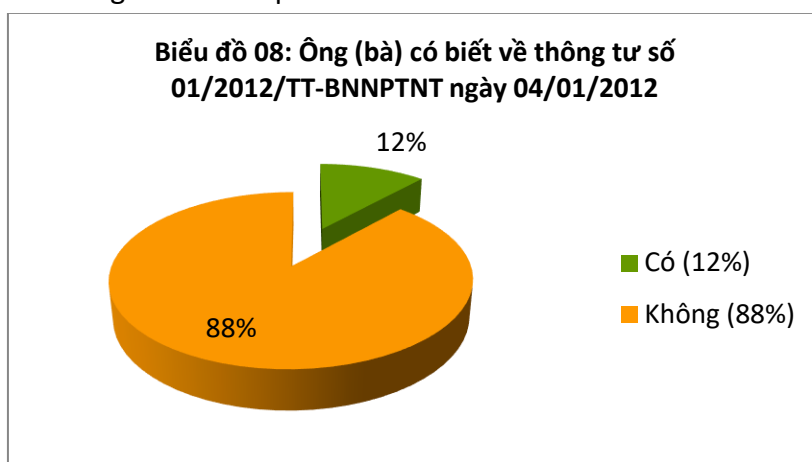
Finding: When asking: "Do you know the regulations (laws) currently applied to the harvesting of planted forest?", only 27% of the 274 smallholder tree growers responded, while 73% of them answered no.

Suggestion: The limited understanding of smallholder plantations in terms of legal norms currently applied to harvesting, selling, and transporting planted timber will inevitably prevent them from entering the supply chain that regulated by VNTLAS. Thus, the content of legal understanding on the exploitation, sale, and transportation of planted timber must be included in the capacity building and communication program for smallholder tree growers.

4.5. Know the current circulars detailing about legal timber

A more detailed understanding of smallholder plantations on legal timber legality is provided by asking them about the four existing circulars.

- 4.5.1. Circular No. 01/2012 / TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development stipulating dossiers of lawful forest products and inspection of the origin of forest products.

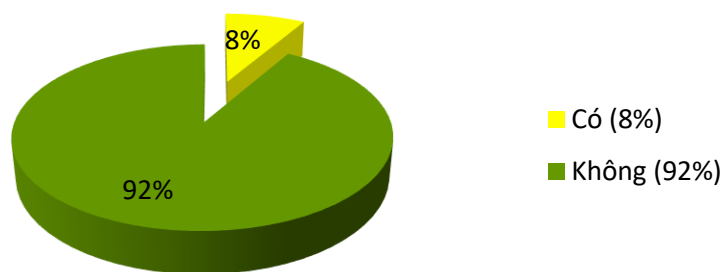


Finding: Circular No. 01/2012/TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development stipulating dossiers of lawful forest products and inspection of the origin of forest products, was established 8 years ago, but 88% of the 274 smallholder tree growers don't know about it, only 12% of them know about this circular.

Suggestion: It means that 88% of the households don't know about legal forest products record and checking the origin of forest products, so the risk of being excluded from the supply chain is very high. Therefore, in capacity building and communication program for smallholder tree growers, the content of legal forest products record and checking the origin of forest products should be included.

- 4.5.2. Circular No. 40/2015/TT-BNNPTNT dated 21 October 2015 amending and supplementing a number of articles of Circular No. 01/2012 / TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development regulating on legal forest products record and checking the origin of forest products

Biểu đồ 09: Ông/bà có biết về thông tư số 40/2015/TT-BNNPTNT ngày 21/10/2015

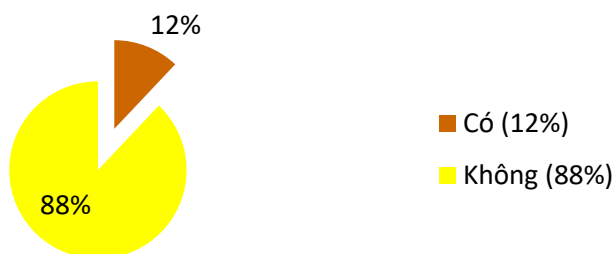


Finding: Circular No. 40/2015/TT-BNNPTNT dated 21 October 2015 amending and supplementing a number of articles of Circular No. 01/2012/TT-BNNPTNT dated 04/01/2012, was established 3 years ago but 92% of 274 smallholder tree growers don't know about this, only 8% know.

Suggestion: It means that 92% of the households don't know about legal forest products record and checking the origin of forest products, so the risk of being excluded from the supply chain is very high. Therefore, in capacity building and communication program for smallholder tree growers, the content of legal forest products record and checking the origin of forest products should be included

4.5.3. Circular No. 21/2016 / TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products.

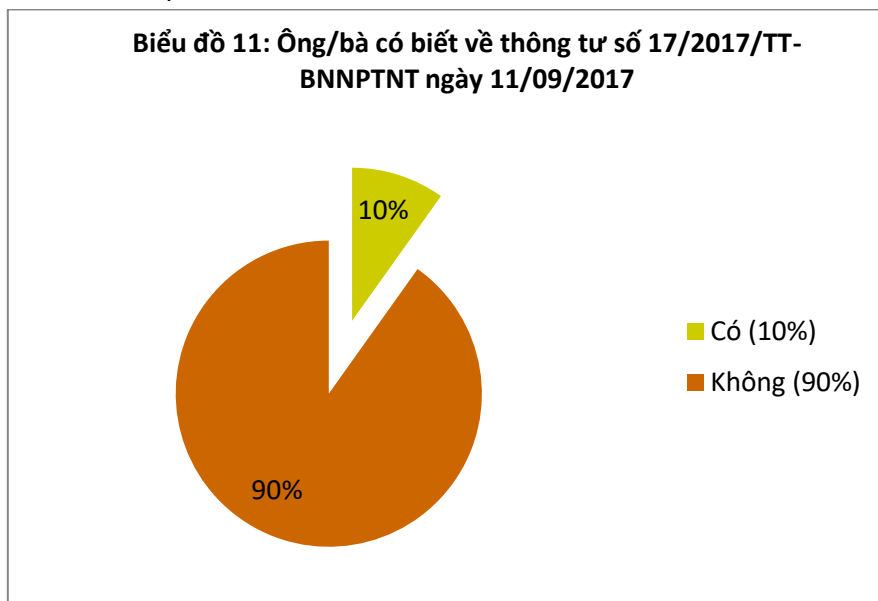
Biểu đồ 10: Ông/bà có biết về thông tư số 21/2016/TT-BNNPTNT ngày 28/06/2016



Finding: Circular No. 21/2016 / TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products was established 2 years ago but 88% of 274 smallholder tree growers don't know about that, only 12% know.

Suggestion: It means that 88% of the households don't know about main exploitation, full utilization and full collection of forest, so the risk of being excluded from the supply chain is very high. Therefore, in capacity building and communication program for smallholder tree growers, the content of main exploitation, full utilization and full collection of forest should be included.

4.5.4. Circular No. 17/2017/TT-BNNPTNT dated 11/9/2017 of the Ministry of Agriculture and Rural Development amending and supplementing several Articles of the Circular No. 21/2016/TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products.

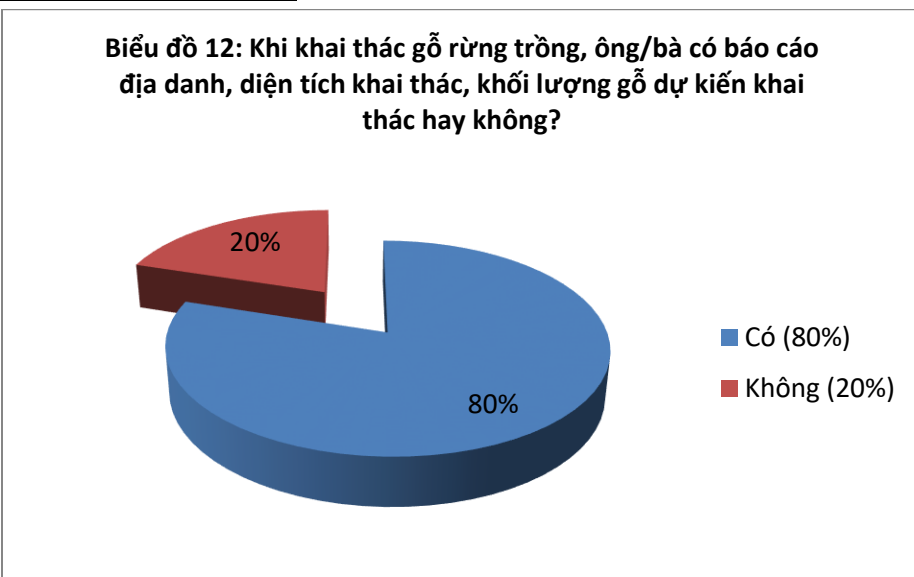


Finding: Circular No. 17/2017/TT-BNNPTNT dated 11/9/2017 of the Ministry of Agriculture and Rural Development amending and supplementing several Articles of the Circular No. 21/2016/TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products was established 1 year ago but 90% of 274 smallholder tree growers don't know about this, only 10% know.

Suggestion: It means that 88% of the households don't know about main exploitation, full utilization and full collection of forest, so the risk of being excluded from the supply chain is very high. Therefore, in capacity building and communication program for smallholder tree growers, the content of main exploitation, full utilization and full collection of forest should be included.

4.6. The implementation of legal regulations on legal timber

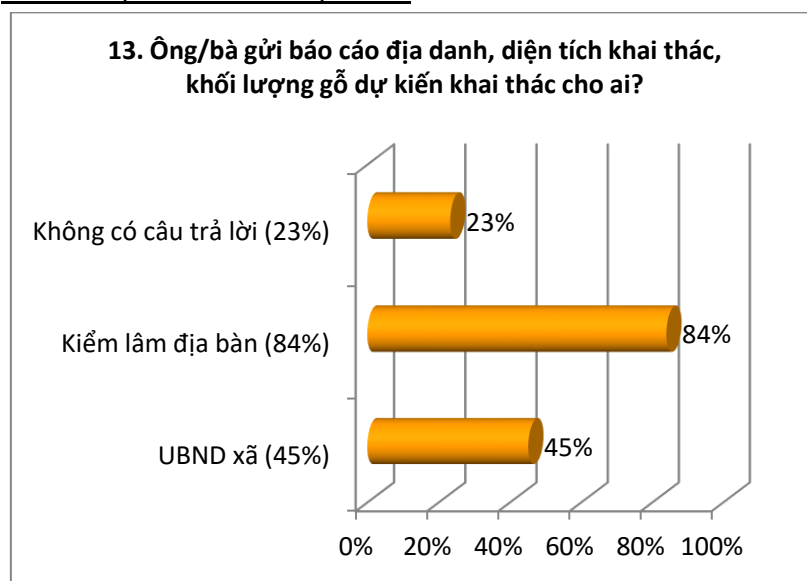
4.6.1. Report on the location, area of exploitation, volume of timber expected to be exploited when harvesting timber



Finding: Answer the question: “When logging timber plantations, do you report the location, area of exploitation, volume of timber expected to be exploited?”, 80% of 274 smallholder tree growers say yes, while 20% don’t do that (say no).

Suggestion: 80% higher than the numbers demonstrating the understanding of the circulars in Figures 08, 09, 10, 11 reflects the fact that when making a report on the location, area of harvest, volume of timber expected to be harvested may not be known in which legal document. This weakens the platform so that they comply with the necessary legal requirements. Therefore, in the program of capacity building and communication for smallholder tree growers, it is necessary to introduce the forms to be implemented and the legal origin of those forms.

4.6.2. The place to send the report on the location, the area of exploitation, the volume of timber expected to be exploited

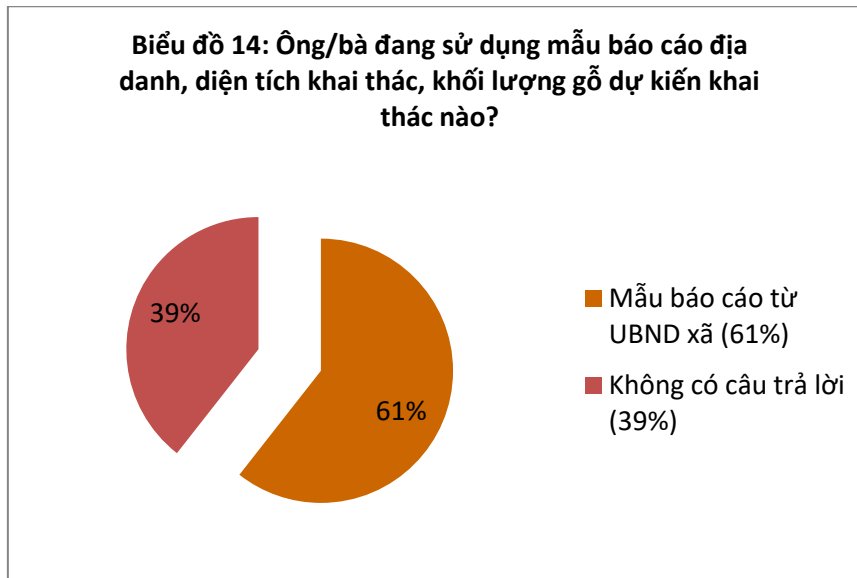


Finding: In Figure 13, 84% of the 219 (80%) of the smallholders reported that they had submitted report on location, area of exploitation, volume of timber expected to be exploited for forest rangers. 45% for the Commune People's Committee, including households reporting that they report to both forest rangers and Commune People's Committee. Interestingly, 23% of the 219

households had no answer to their submit address

Suggestion: 23% of 219 households can't show the address that they submitted the report showing incomplete understanding of the location, area of exploited and volume of timber expected to be exploited. related laws. This fact emphasizes that in the capacity building and communication program for smallholder tree growers need to introduce the forms to be implemented and the legal origins of those forms.

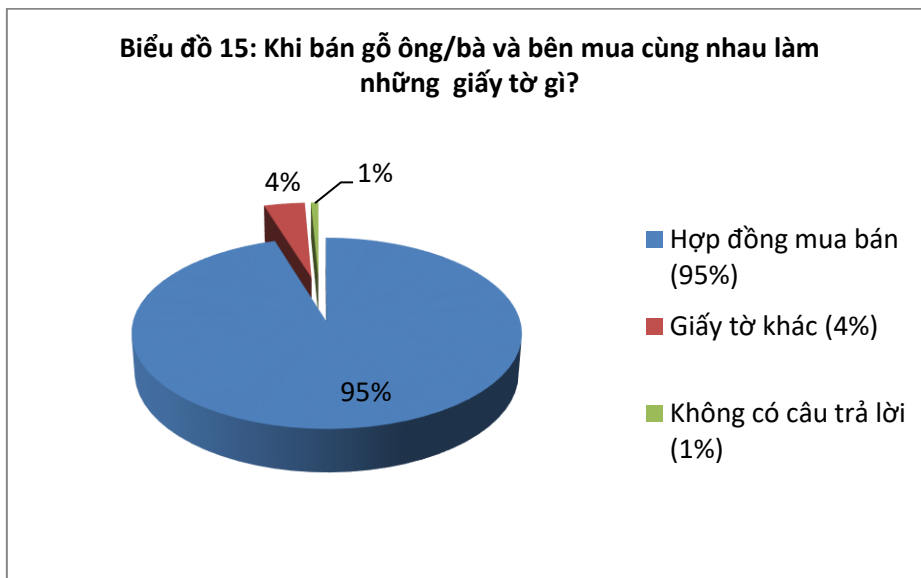
4.6.3. Form of location, area of exploitation, volume of timber expected to be exploited



Finding: With question: “Which form of location report, area of exploited, volume of timber expected to exploited are you using?” 61% of respondents used the form of the Commune People's Committee, while 31% of them did not answer. Notably, 53 (24%) of the 219 respondents that they send the report but they did not answer the form they used.

Suggestion: 24% of 219 households send the report but they did not show which form of report they are using format that demonstrates insufficient understanding of the location report, area of exploited, volume of timber expected to be exploited in related laws. This fact, again, further emphasizes that in the capacity building program and communication program for smallholder tree growers there should be introduction of forms to be implemented and legal origins of those forms.

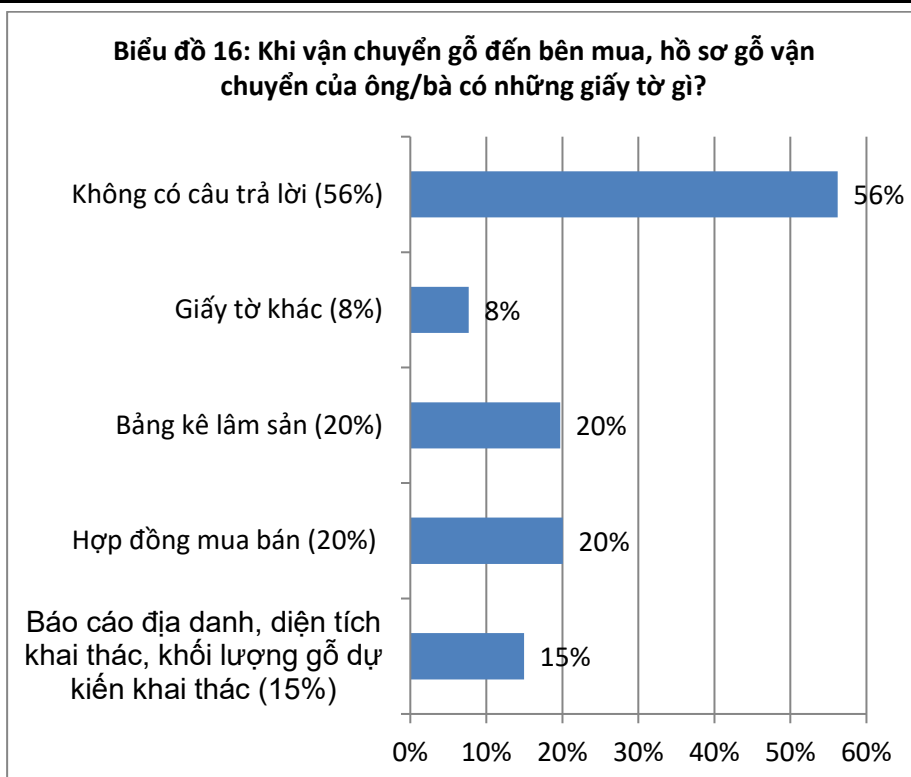
4.6.4. Document when selling timber



Finding: Answer the question: What documents made between you and the buyer when you sell timber? 95% of the 274 smallholder tree growers respond to purchase contracts, while 4% of these households make other document and 1% of households do not have answers.

Suggestion: The majority of smallholder tree growers, when selling timber, make a purchase contract with the buyer. However, a capacity building and communication program for smallholder planters should remain concerned about this in order to ensure the consistency of the purchase contract with other documents that meet the requirements legal wood.

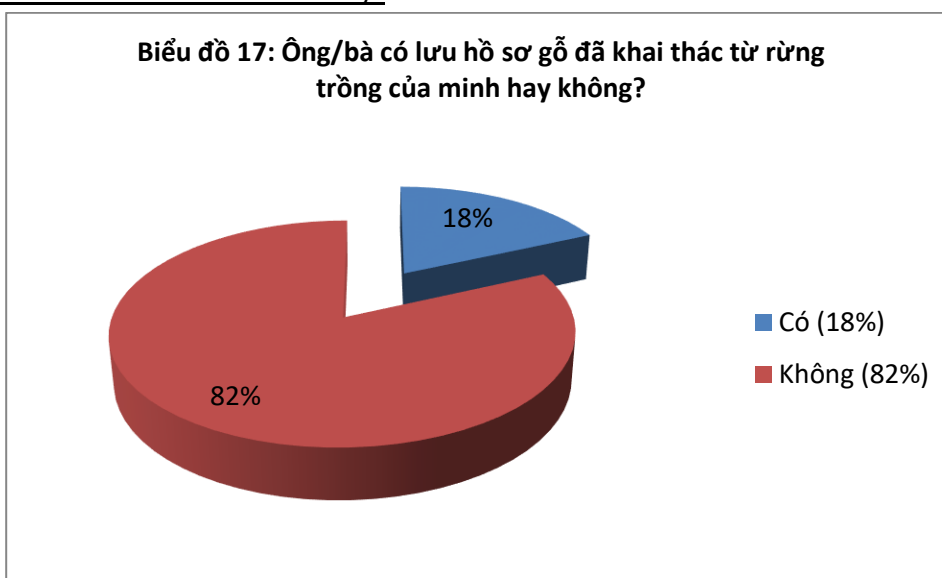
4.6.5. Documents when transporting timber harvested from production plantations to buyers



Finding: Figure 16 shows the results of the survey on transporting the timber harvested. Up to 56% of the 274 respondents did not answer. Sales contracts and lists of forest products are available only in 20% of total interviewed. Site reporting, area of exploited, expected volume of exploited is still less - only 15% of total interviewed.

Suggestion: Figure 16 reflect the fact that small-scale forest growers do not yet have a clear understanding of how record of timber harvesting transportation is regulated. Therefore, in the program of capacity building and communication for smallholder tree growers, the content of the timber harvested transportation record should be included.

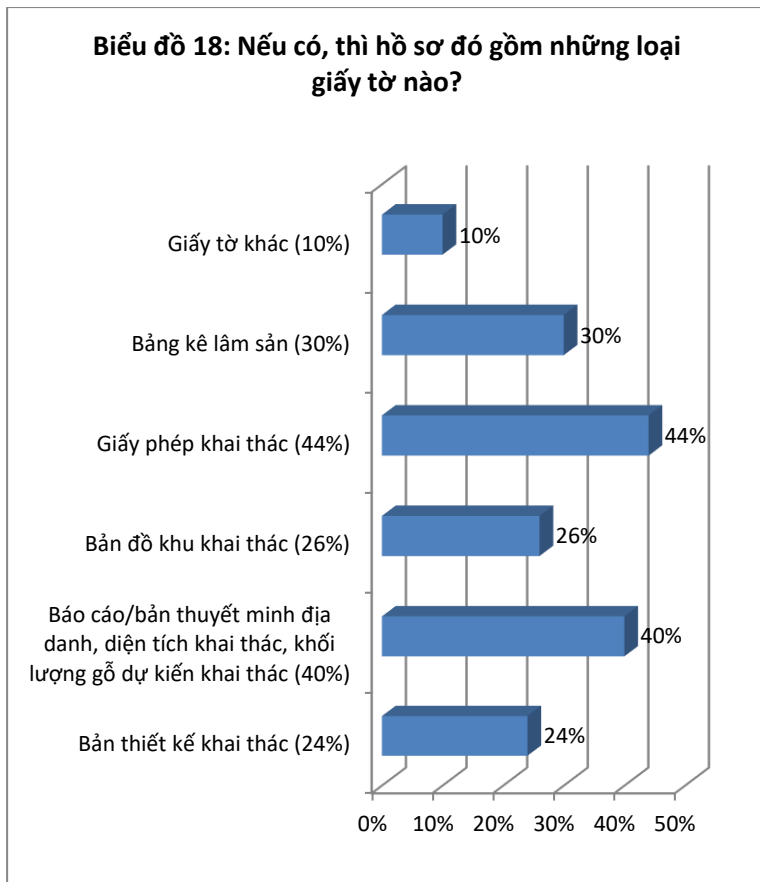
4.6.6. Record the harvested logs



Finding: Answer the question: "Do you keep records of timber harvested from your plantations?" 18% of the 274 smallholder tree growers responded, while 82% did not.

Suggestion: 82% of the interviewed households did not record timber harvested from their planted forest show that they did not see the effects and requirements of logging. A capacity building and communication program for smallholder tree growers should have the content of logs harvested from plantations.

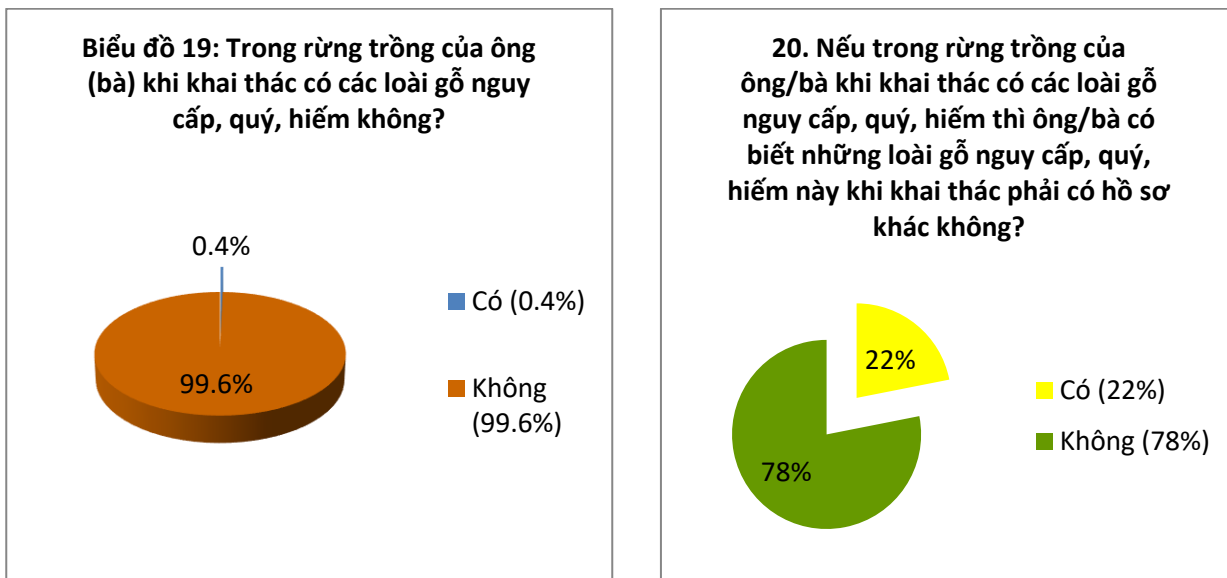
4.6.7. Record of timber harvested from planted forests



Finding: Figure 18 also shows more interesting information. In 50 households (18%) responded, the records are very diverse. Of which the harvest license is 44%; Site report, area of exploitation, volume of timber to be exploited 40%; Forest products 30%; 26% site map; Exploitation design 24%; Other document 10%.

Suggestion: The above data show that the respondents who have logged timber have not really been aware of what they need to keep and what is stored in accordance with the legal requirements. Therefore, a capacity building program and communication program for smallholder plantation households should address what content is being stored and how it is stored.

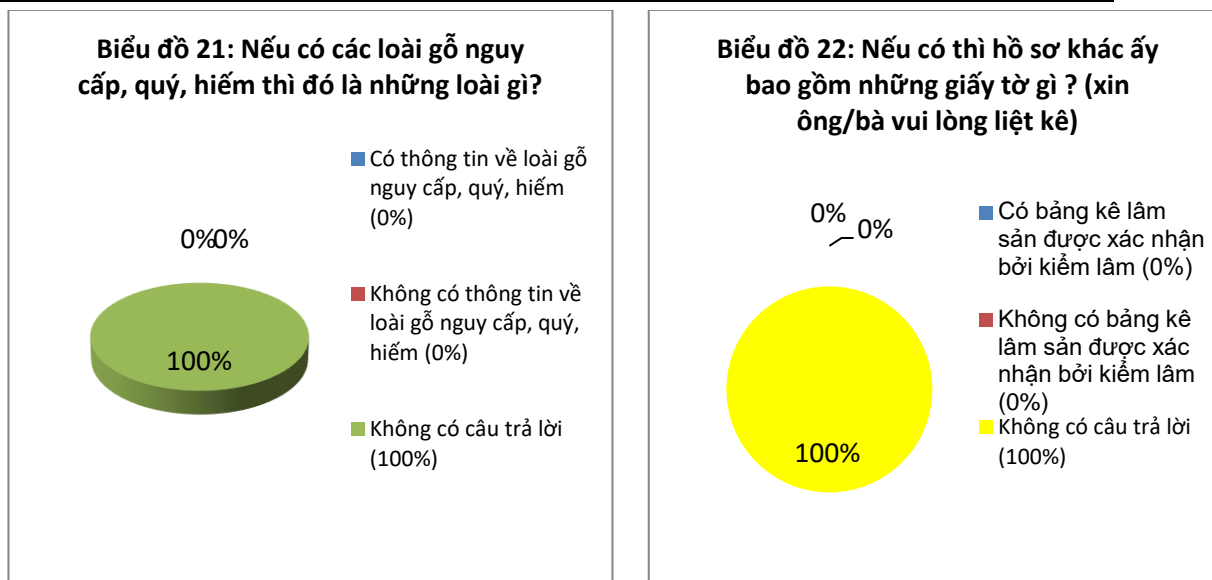
4.6.8. Endangered and rare timber species in planted forests when exploited



Finding: Figure 19 shows that only one (0.4%) of the 274 interviewed households reported that there was a rare, endangered species in their plantations. 99.6% of total households have the opposite answer. Figure 20 for more interesting information. That is 78% of interviewed households do not know that if they have rare and endangered species in their plantations, they must have other documents.

Suggestion: Capacity building and communication programs for smallholder tree growers should include the content of endangered and rare timber species in plantation forests

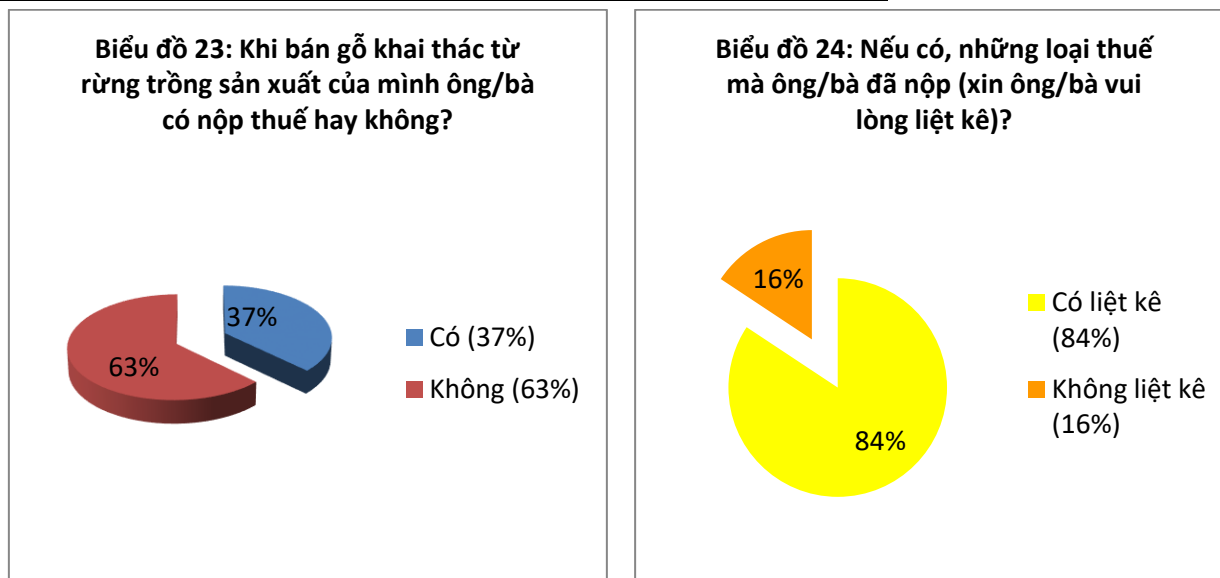
4.6.9. Knowledge of endangered, rare wood species and records when exploiting them



Finding: Figure 21 shows that 100% of total interviewed households do not know what endangered, rare and precious species are. Similarly, Figure 22 shows that 100% of interviewed households do not know about records when exploitation the endangered, rare species in plantation forest.

Suggestion: Capacity building and communication programs for smallholder tree growers should include the content of endangered, rare species and the record of exploitation of these species if common in plantation forests of households.

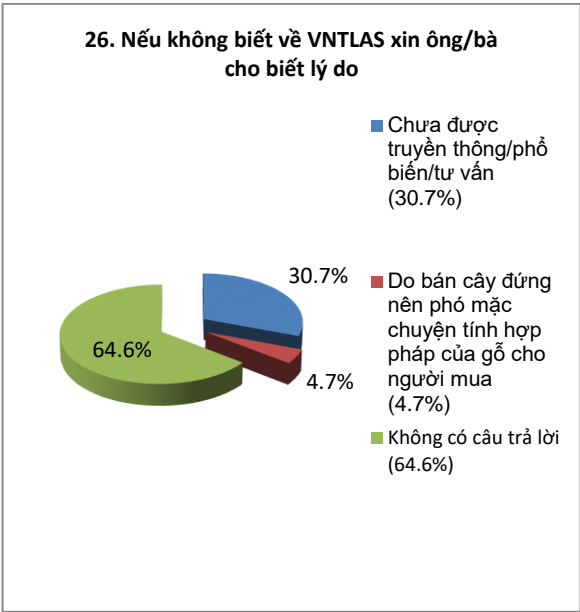
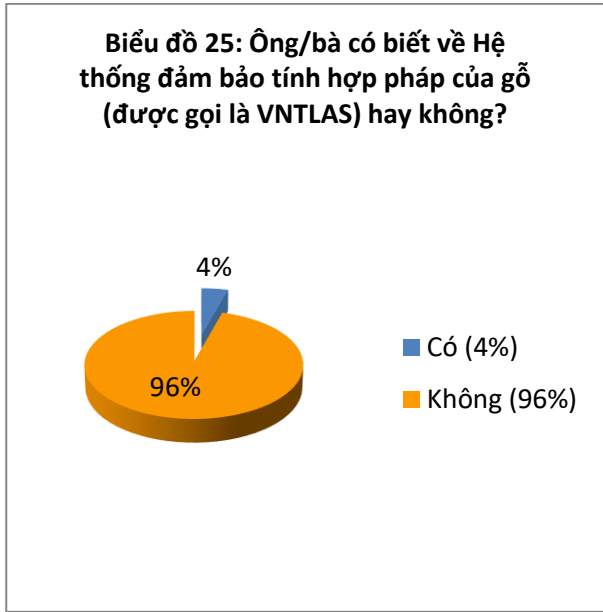
4.6.10. Pay taxes when selling timber harvested from planted forests



Finding: Figure 23 shows that 37% of total interviewed households paid tax when selling timber harvested from their production plantations, while 63% had the opposite answer. But figure 24 shows more information. That's up to 16% of 102 households (37% in Chart 23) can not answer, specifically, what taxes did they pay? 84% of the respondents said they pay VAT.

Suggestion: The capacity building and communication program for smallholder tree growers should include taxation in the sale of timber harvested from plantation forests.

4.7. Understanding the Timber Legality Assurance System (VNTLAS)



Finding: In figure 25, 96% of the 274 interviewed households did not know about VNTLAS, while only 4% knew of VNTLAS. Figure 26 shows the unknown reasons for VNTLAS. There was no answer (no reason) for 64.6%; Not communicated / disseminated / consulted is 30.7%; because the sale of standing trees, the legality of wood depends on the buyer.

Suggestion: *The capacity building and communication program for smallholder tree growers need to be fully informed about the content of VNTLAS in relation to smallholder tree growers.*

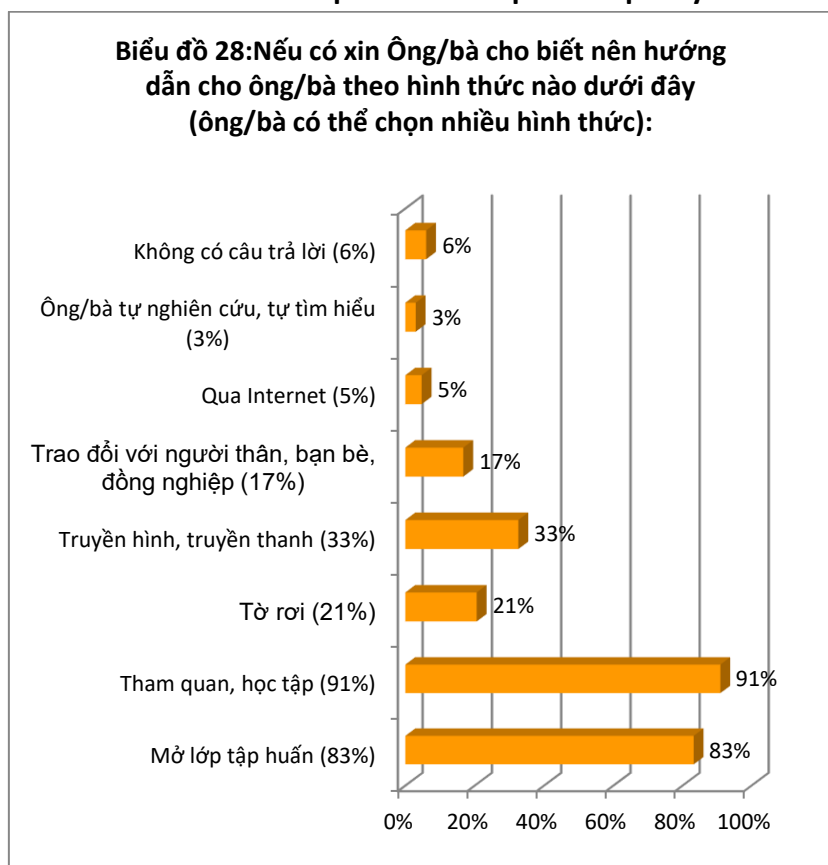
4.8. The need for awareness or the need to be guided in the Timber Legality Assurance System (VNTLAS)



Finding: Figure 27 shows that 85% of the 274 interviewed respondents said they had a need to raise awareness or the need to be guided by the Timber Legality Assurance System, while up to 15% said no.

Suggestion: *15% of respondents who said no is the first beneficiary of the communication program, as this program would help them change their perceptions and promote behaviors that, with their current perception, unnecessary. Of course, capacity building and communication programs are needed for 100% of smallholder tree growers because if not, how can they participate in the timber supply chain adjusted by VNTLAS.*

4.9. Form of information provide to improve capacity and communication



Finding: The questionnaire presents nine options for interviewees to choose. Chart 28 shows the selection results of 274 households in the interview. According to the sightseeing, learning, 91% of households selected; followed by 83% training; Radio broadcasting 33%; Leaflets 21%; Talking to relatives, friends, colleagues 17%; Internet 5%; Self study / learn 3%; and 6% have no specific answer.

Suggestion: The training program should give priority to training and sightseeing, learning while communication programs should focus on leaflets; notebook; exchanging with relatives, friends, colleagues; and over the internet.

4.10. The need to improve the capacity of local VIFORA branch (branch and group), partner organizations (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions)

Finding

Based on the discussion of 3 core groups in the area of 6 sub-associations in Phu Tho, Quang Tri and Quang Ninh provinces, it was found that local sub-associations and counterparts (Cooperatives, Farmer's Association, Women's Union, Youth Union):

- Inadequate legal understanding of legal timber;
- No knowledge needed about VNTLAS;
- Due to limited understanding of current legal regulations on legal timber and VNTLAS, local sub-associations and partnerships can not carry out communication activities nor provide guidance to associations of VIFORA or members of counterparts in compliance with current legal regulations on timber and VNTLAS (in the future);
- The coordination between local sub-associations and counterparts has more opportunities to improve;

- The local sub-associations and counterparts are willing to participate in the communication and capacity building program for smallholder tree growers who are VIFORA or non-VIFORA members.

Suggestion

Cause of local sub-associations (branch and group), local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions) are very important in the process of project implementation as well as the sustainability of project results after project completion. So:

- *The project should consider local sub-associations (branch and group), local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions) as one of the very important stakeholders in the communication and capacity building program;*
- *Officials of the consider local sub-associations (branch and group), local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions) should be prioritized in the training of trainers to improve capacity and communication for smallholder tree growers so that they and their organizations become key to the communication and capacity building program during project implementation and the sustainability of activities related to VNTLAs after the project closes.;*
- *The project should support the coordination between local sub-associations (branch and group), local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions) in local activities related to VNTLAS.*

5. SUGGESTION FOR COMMUNICATION PROGRAMS AND CAPACITY DEVELOPMENT PROGRAM

5.1. Based on the proposal of the capacity building and the communication program

The bases of the proposal include:

- a) Project document “Developing capacity of smallholder tree growers to implement Viet Nam Timber Legality Assurance System” (PO 332769);
- b) EU-Vietnam VPA and the attached appendices, including VNTLAS, signed May 11, 2017;
- c) Findings from the capacity building and communication needs assessment for smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS);
- d) Discussion results of 3 core groups in the area of 6 sub-associations in Phu Tho, Quang Tri, Quang Ninh;
- e) Resources of VIFORA;
- f) Cooperation and support of the Multi-Stakeholder Core Group;
- g) Cooperation and support of the local sub-associations (branch and group), local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions).

5.2. Capacity building program

5.2.1. The goal of the program

The capacity of smallholder tree growers, within the scope of the project's objectives, to meet the requirements of VNTLAS is enhanced. Detail:

- a) At least 48 trainers have been trained and are willing to train smallholder tree growers;
- b) At least 180 smallholder tree growers will be able to improve their capacity through training.

5.2.2. Capacity building content and training materials

Capacity building for smallholder tree growers, within the scope of the project objectives, meets the requirements of VNTLAS including the following topics:

- a) Sustainable development and sustainable forest management;
- b) Wood supply chain;
- c) VPA and VNTLAS;
- d) Ownership, land/forest use rights and certificates on ownership, land/forest use rights;
- e) Protect the environment in the process of planting, tending forests and harvesting timber from planted forests;
- f) Current legal norms for the exploitation, sale and transportation of planted timber;
- g) Types of exploitation and consumption/sale of planted forest timber;
- h) Document when consumption/sale of planted forest timber;
- i) Papers when transporting planted forest timber to buyer;
- j) File and record of planted forest timber;
- k) Procedures and dossiers for endangered and rare timber species in planted forests when being exploited;
- l) Pay taxes when selling planted forest timber.

For trainers, in addition to the topics from (a) to (l) above, additional guidance will be provided (describing training methods, training steps, additional reading materials) to help them have the knowledge, methods and necessary skills of the trainer.

Training materials will be prepared to meet these capacity building needs, with reference to existing materials from WWF, HAWA, FPA Binh Dinh and other organizations.

5.2.3. Specific capacity building activities (updating the work plan and project timeframe)

Activity description	Months (project timeframe) in 2018 and 2019											
	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Outcome 1: Capacity building programs tailored-made to the key conditions of smallholder tree growers are developed												
Activity 1.1. Conduct capacity and communications needs assessment (Situation Analysis)		x	x									

Activity 1.2. Develop capacity building courses for specific groups smallholder tree growers				x	x													
Activity 1.3. Develop training material appropriate for training the courses and targeted audiences					x	x	x											
Outcome 2: Trainers are trained and are ready to train smallholder tree growers																		
Activity 2.1. Identification of trainers to participate in the Training of Trainers programme				x	x													
Activity 2.2. Implementation of the Training of Trainers (TOT) programme							x	x	X									
Activity 2.3. Facilitate participation of key trainers in relevant events								x	X	x	x	x	x	x	x	x	x	x
Outcome 3: The capacities of targeted smallholder tree growers to meet the requirement of the VNTLAS is strengthened																		
Activity 3.1 Identify smallholder tree growers to be trained					x	x	x	x										
Activity 3.2. Provide targeted trainings for selected groups of smallholder tree growers									x	x	x	x						
Activity 3.3. Facilitate participation of smallholder tree growers at relevant events and networking with relevant stakeholders										x	x	x	x	x	x			

Capacity building activities will be carried out simultaneously and linked to capacity building for the local sub-associations (branch and group) and local counterparts (Cooperatives, Farmers' Unions, Women's Unions, Youth Unions), Especially through activities 2.1, 2.2, 2.3 and 3.2.

5.3. Communication programme

5.3.1. The goal of the programme

Help Smallholder tree growers understand VNTLAS and are in demand (action) to make their reforestation, harvesting and consumption/selling activities compliant with the requirements of VNTLAS.

5.3.2. Communication materials

On communication and information materials, the project will do the following:

- a) A summary of the project will be developed and submitted to the public;
- b) Leaflets;
- c) A VPA-FLEGT practice manual for smallholder tree growers;

- d) The project will focus on receiving comments and periodic assessments of project activities to collect stories about change and document the lessons learned. Based on that, relevant communication products will be developed and distributed to the appropriate public through a variety of channels (eg, internet, hard copies, presentations by associations, short news and social media).

Communication materials need to be developed so that their messages meet the requirements: (i) attention, (ii) interest, (iii) Wanting / needing, and motivating action.

5.3.3. Select media

Direct communication channel

The project will develop direct communication channels based on existing relationships between local sub-association of VIFORA and counterparts (Cooperatives, Farmers' Associations, The Women's Union, the Youth Union), the trainer with smallholder tree growers.

Indirect communication channel

The project will pay attention to the promotion of indirect channels such as broadcasting information on the project, VPA-VNTLAS, legal timber on radio stations of communes in the project area.

In addition, the project will make full use of the internet to communicate to local sub-association of VIFORA, local counterparts (Cooperatives, Farmers' Associations, Women's Unions, Youth Union), and trainer, then information was disseminated to small-scale planters who did not have direct access to the project.

5.3.4. Specific communication activities (updating the work plan and project timeframe)

Activity description	Months (project timeframe) in 2018 and 2019											
	Jun	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Activity 1.4: Produce relevant communication materials targeted at smallholder tree growers				X								
Outcome 4: Monitoring, evaluation and visibility framework developed												
Activity 4.1. Organize a project inception			X									
Hoạt động 4.2. Final presentation of the project												X
Activity 4.3. Evaluate all workshop, seminars, trainings				X	X	X	X	X	X	X	X	X
Activity 4.4. Awareness raising and visibility activities				X	X	X	X	X	X	X	X	X

6. CONCLUSION

In August 2018, VIFORA conducted a survey with 274 smallholder tree growers and discussed with their local sub-associations (branch and group) and local counterparts (Cooperatives, Farmers' Association, Women's Union, Youth Union) to assess capacity building and communication needs for smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS). The results of the survey, as detailed in section 4 of this report, reaffirms that capacity building and communication for the smallholder tree growers is necessary for them to successfully participate in the timber supply chain regulated by VPA-VNTLAS.

Based on the project document, the requirements of the VNTLAS signed, survey results, current legal regulations on legal timber, the VPA Joint Implementation Framework (JIF), and other bases, the report proposed a capacity building and communication program for smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS).

VIFORA welcomes all comments to complete the report to create a solid basis for the full implementation of the project: “Developing capacity of smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS)” signed between VIFORA and FAO.

7. APPENDIX

Smallholder tree growers' questionnaire

A. Information of Questionnaire

- Name of interviewer:

- Name of Interviewees:

- Address:

- Date:

- Type of forest: Area: ha; Type of tree:

B. Contents of Interview

I. About Ownership, Land/Foest Use Rights

1. Do you have any documents related to land/forest use rights?

Yes

No

If yes, what is it?

Land allocation decision (Before 15/10/1993)

Land, forest allocation decision (From 15/10/1993 to 1/7/2004)

Certificates of land use rights (Since 15/10/1993)

Land allocation decision (Since 15/10/1993)

Land lease decision (Since 15/10/1993)

Forest allocation decision associated with land allocation or lease (Since 2011)

Forest allocation decision

Certificates of forest use right

One of documents about land use rights following the Article 100 of the Land Law

Affirmation of Commune People's Committee that is the land in use and there is no dispute in the case specified in Article 101 of the Land Law

Contract of land allotment with another forest owners

Another (please list)

2. In the process of planting, tending and harvesting planted forest, are you interested in protecting the environment?

Yes

No

If yes, what is it?

- Prevent erosion, landslide
- Water protection
- Another (please list)

3. How do you exploit and sell your plantation timber?

- Self-harvest
- Employ others
- Sell standing tree

The volume of wood you have sold in the most recent year: m³

4. Do you know the current legal norms for the exploitation, consumption/sale and transportation of planted-forest timber?

- Yes
- No

5. Do you know about the circulars below?

Circular No. 01/2012/TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development stipulating dossiers of lawful forest products and inspection of the origin of forest products

- Yes
- No

Circular No. 40/2015/TT-BNNPTNT dated 21 October 2015 amending and supplementing a number of articles of Circular No. 01/2012 / TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development regulating on legal forest products record and checking the origin of forest products.

- Yes
- No

Circular No. 21/2016 / TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products.

- Yes

No

Circular No. 17/2017/TT-BNNPTNT dated 11/9/2017 of the Ministry of Agriculture and Rural Development amending and supplementing several Articles of the Circular No. 21/2016/TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products.

Yes

No

6. When exploitation, do you report the location, area of exploitation, volume of timber expected to be exploited?

Yes

No

7. You send the report on the location, area of exploitation, volume of timber expected to be exploited for whom?

Commune People's Committee

Forest Rangers

Another (please list)

8. Which form of location report, area of exploitation, volume of timber expected to exploited are you using?

.....
.....
.....

9. *What documents made between you and the buyer when you sell timber?*

Sell contract

Another document (please list)

10. Documents when transporting timber harvested from production plantations to buyers?

Location report, area of exploitation, volume of timber expected to exploited

Sell contract

List of forest products

Another document (please list)

11. Do you keep records of timber harvested from your plantations?

Yes

No

If yes, what is it?

Exploit design

Report/location explanation, area of exploitation, volume of timber expected to exploit

Map of exploitation area

Exploitation license

List of forest products

Another document (please list)

12. Any endangered and rare timber species in planted forests when exploited?

Yes

No

13. If there are rare, endangered species in your plantations do you know which document you need when you exploited?

Yes

No

If yes, which species?

.....

.....

If yes, What documents are included? (please list)

.....

.....

.....

II. For tax issues

14. When selling timber from your planted forest, do you pay taxes?

- Yes
- No

If yes, what taxes have you paid (please list)?

.....
.....
.....

III. Communication needs

15. Do you know about Viet Nam Timber Legality Assurance Systems (VNTLAS)?

- Yes
- No

If not, please tell us why:

16. Would you like to raise awareness or need guidance about Viet Nam Timber Legality Assurance Systems (VNTLAS)?

- Yes
- No

If yes, please tell us what kind of following guidance you want (you can choose from a variety of formats):

- Training
- Sightseeing, learning
- Leaflets
- Television, radio
- Communicate with relatives, friends, colleagues
- Internet
- self-study
- Another (please list)

THANK YOU FOR YOUR ATTENTION

REFERENCES

- 1) Letter of Agreement between the Food and Agriculture Organization of the United Nations ("FAO") under the FAO-EU FLEGT Programme and Viet Nam Forest Owners Association (VIFORA) for provision of "Developing capacity of smallholder tree growers to implement Viet Nam Timber Legality Assurance System (VNTLAS)" (PO 332769);
- 2) EU-Vietnam VPA signed on 11 May 2018;
- 3) Decision No. 44/2006 / QĐ-BNN dated 01/6/2006 of the Minister of Agriculture and Rural Development Promulgating the Regulation on management and use of tree-marking and ranger hammers;

- 4) Decision No. 107/2007/QĐ-BNN Amending and supplementing the Regulation on management of tree-marking hammering and ranger hammering promulgated together with Decision No. 44/2006/QĐ-BNN of June 1, 2006, of the Minister of Agriculture and Rural Development;
- 5) Circular No. 87/2009/TT-BNNPTNT dated December 31, 2009 of the Ministry of Agriculture and Rural Development guidelines for designing natural forest exploration;
- 6) Circular No. 01/2012/TT-BNNPTNT dated 04/01/2012 of the Ministry of Agriculture and Rural Development stipulating dossiers of lawful forest products and inspection of the origin of forest products;
- 7) Circular No. 40/2015/TT-BNNPTNT dated 21 October 2015, amending and supplementing several Articles of the Circular No. 01/2012/TT-BNNPTNT on stipulating dossiers of lawful forest products and inspection of the origin of forest products;
- 8) Circular No. 47/2012 / TT-BNNPTNT dated 25/9/2012 of the Ministry of Agriculture and Rural Development providing on managing the exploitation from the nature and the nurture of usual forest animals;
- 9) Circular No. 21/2016 / TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products;
- 10) Circular No. 17/2017/TT-BNNPTNT dated 11/9/2017 of the Ministry of Agriculture and Rural Development amending and supplementing several Articles of the Circular No. 21/2016/TT-BNNPTNT dated 28/6/2016 of the Ministry of Agriculture and Rural Development providing for the main exploitation, full utilization and full collection of forest products;
- 11) Draft (20/06/2018) Circular regulating exploitation and management and traceability of forest products.