


PROVINCIAL REDD+ Environmental and Social Index



- RESI: What is it?
- Why need to create RESI?
- RESI : Conceptual Framework and Methodology

 Provincial REDD+ Environmental and Social Index (RESI)

What is RESI?



RESI is a tool that **measures the environmental and social conditions/status**, with the purpose of reflexing the advantages and risks in the case REDD+ is developed and implemented at provincial level.


In other words, RESI identify **the level of readiness for REDD+ implementation** at provincial level, especially in environmental and social aspects.

 Provincial REDD+ Environmental and Social Index (RESI)

Why create the RESI?

- (i) To assess the relevance of the environmental – social conditions to develop and implement REDD+ efficiently and effectively in each province
- (ii) To identify the advantages and potential risks if REDD+ is developed and implemented at provincial and local level.
- (iii) To provide background or additional information for the REDD+ development and implementation at provincial/local level (PRAP/SIRAP) as well as for the REDD+ monitoring and evaluation system later on.



 Provincial REDD+ Environmental and Social Index (RESI)

RESI development process

Step 1: Literature review, expert consultation and development of RESI conceptual framework

Step 2: Design and test a set of tools for collecting information and data for RESI, tool for analyzing, scoring and organizing of results

Step 3: Piloted RESI assessment in some selected provinces: Son La, Dien Bien, Kon Tum, Kien Giang and Lam Dong

Step 4: Peer review of results, consultation workshops and then consolidate and finalize the RESI framework and tools



RESI development is based on...

1. International experiences on environmental and social index for REDD+

- Safeguards Principles in the Cancun Agreements (UNFCCC, 2010)
- REDD+ Social and Environmental Standards (SESS, ver.2, Sept. 2012) và guidelines for national level (ver.2, Nov.2012)
- UN-REDD's Social and Environmental Principles and Criteria (March, 2012)
- Environmental and Social Safeguards Policy of PCPF/World Bank

2. Vietnam experiences on developing provincial indexes

- Vietnam Provincial Governance and Public Administration Performance Index (PAPI by UNDP)
- Provincial Competitiveness Index (PCI by VCCI)
- Provincial Sustainable Development Index (Case-study: Quang Tri Province)
- REDD+ Participation Governance Assessment (REDD+ PGA, piloting at Lam Dong province)

3. REDD+ National Action Plan, period 2011 -2020 (Decree No.799/2012/QĐ-TTg approved on 27 June, 2012)



Provincial REDD+ Environmental and Social Index (RESI)

RESI framework: Criteria and Indicators

RESI is based on the collection of information covering 04 categories that represent key areas related to social and environmental safeguards in REDD+ :

- ✓ **Legislation and Policy:** The *availability and suitability* of the existing policy and legislation system that can support for the implementation of REDD+ at provincial and local level
- ✓ **Institutional setting:** The *rules, roles and responsibilities* of the main actors involved in the forest management and protection as well as *their response ability and readiness* at the provincial, district and local level
- ✓ **Environmental conditions (Status and challenges):** The *suitability* of provincial environmental conditions on the effectiveness and efficiency of REDD+ implementation.
- ✓ **Social conditions (status and challenges):** The *potential risks* by the existing social conditions for REDD+ implementation or vice versa, the threats of REDD+ on local social context.



Provincial REDD+ Environmental and Social Index (RESI)

RESI Framework, Criteria and Indicators

| LEGISLATION AND POLICY 04 criteria, 16 indicators | |
|---|---|
| 1.a. Forest management, protection and development policies at provincial level | 1a.01. Provincial land-use planning to 2020 and vision toward 2030 |
| | 1a.02. Provincial Forest protection and development Plan in the period 2011-2020 |
| | 1a.03. Provincial Forest Land Allocation Plan |
| | 1a.04. The scheme or project for land acquisition from State-owned Enterprises and allocation to other actors |
| | 1a.05. Policy on "closing natural forests" at provincial level |
| 1b. Integrating Forest Protection and Climate Change in social-economic development policies | 1b.01. Master Plan of Social and Economic Development to 2020 at provincial level |
| | 1b.02. Provincial Environmental Protection Action Plan |
| | 1b.03. Provincial Climate Change Mitigation Action Plan |
| | 1b.04. Integrating forest protection objectives into other programs/plans |
| | 1b.05. Risk assessment of forestland conversion for social - economic development at provincial level |

RESI framework: Criteria and Indicators

| LEGISLATION AND POLICY 04 Criteria and 16 indicators | |
|---|--|
| 1.c. Advantages in financial investment policy for forest protection and development | 1c.01. The diversity of financial resources annually for forest protection and development at provincial level |
| | 1c.02. Forest Protection and Development Fund and The role of PFES at provincial level |
| | 1c.03. Socialization policies for forest protection and development at provincial level |
| 1d. The role of forest and biodiversity in the Environmental Impact Assessment | 1d.01. The participation of forestry agencies in the EIA appraisal committee |
| | 1d.02. Kinds of projects that forestry agencies are participated in EIA appraisal committee |
| | 1d.03. The consultation level of forestry agencies during the EIA process |



Provincial REDD+ Environmental and Social Index (RESI)

RESI framework: Criteria and Indicators (cont.)

| INSTITUTIONAL SETTING 8 Criteria and 34 indicators | |
|---|--|
| 2a. Capacity and experiences on forest governance | 2a.01. The existence of the Steering Committee for implementing the Forest Protection and Development Plan 2011-2020 |
| | 2a.02. The diversity of participants in the Steering Committee |
| | 2a.03. The Standing Office of the Steering Committee |
| | 2a.04. Assessing the effectiveness of the Steering Committee's operation |
| 2b. Access and property rights to forest and land at local level | 2b.01. Kinds of forest owners at provincial level |
| | 2b.02. Structure of forest owners/users at provincial level |
| | 2b.03. Forest Co-management at local level |
| | 2b.04. Experiences on community-based forest management |
| | 2b.05. Experiences on sustainable forest management (FSC/PEFC) |
| | 2b.06. The satisfaction level for access and property rights to forest and land |
| | 2b.07. Rights of communities to forest/land |
| | 2b.08. Rights of households to forest/land |

RESI framework: Criteria and Indicators (Cont.)

| INSTITUTIONAL SETTING 8 Criteria and 34 indicators | |
|---|--|
| 2c. Process and priorities for REDD+ implementation | 2c.01. The existence of PRAP |
| | 2c.02. Experiences on REDD+ implementation |
| 2d. Cooperation and coordination on provincial forest management and protection activities | 2d.01. The cooperation in the forest management and protection at provincial level |
| | 2d.02. Institutionalization for cooperating among provincial forestry agencies |
| | 2d.03. The cooperation in the forest management and protection at district level |
| | 2d.04. Institutionalization for cooperating among district forestry agencies |



Provincial REDD+ Environmental and Social Index (RESI)

RESI framework: Criteria and Indicators (Cont.)

| INSTITUTIONAL SETTING 8 Criteria and 34 indicators | |
|---|---|
| 2e. Transparency and information disclosure in forestry sector | 2e.01. Updating Forestry Information through official websites |
| | 2e.02. Forestry Information through the radio and media mass system at provincial and district level |
| | 2e.03. The diversity of channels in forestry information providing to local authorities and communities (at communal level) |
| | 2e.04. The feedback channel for forestry information (hotline...) |
| | 2e.05. Awareness and access to forestry information of households/communities at communal level |
| 2f. Law enforcement on forest management, protection and development | 2f.01. Effectiveness assessment on forest protection of each forest owners/users (household, communities, FMBs, Forest Enterprises,...) |
| | 2f.02. Human resources for local forest protection |
| | 2f.03. The results of forest law enforcement |

RESI framework: Criteria and Indicators (Cont.)

| INSTITUTIONAL SETTING 8 Criteria and 34 indicators | |
|--|---|
| 2g. Monitoring and information collecting system in forestry sector | 2g.01. The establishment of system to monitor the change of forest status at provincial level |
| | 2g.02. The level of information disclosure of results forest status monitoring |
| | 2g.03. Technologies supports for the monitoring system |
| | 2g.04 . Challenges for operating the monitoring system |
| 2h. The economic value of forestry sector | 2h.01. The contribution of forestry sector to the provincial economy annually (during 5 recent years) |
| | 2h.02. The average of annual income from forestry sector |
| | 2h.03. The opportunity costs due to forestland conversion to other land-used purposes |
| | 2h.04. Trends of forest exploitation value in forestry sector |



Provincial REDD+ Environmental and Social Index (RESI)

RESI framework: Criteria and Indicators (Cont.)

| ENVIRONMENTAL CONDITIONS FOR REDD 04 criteria and 07 indicators | |
|---|---|
| 3a. Area, Classification and quality of forest resources | 3a.01 The proportion of natural forest area to the total area of forest at provincial level |
| | 3a.02. The structure of natural forest by forest quality |
| 3b. Scope and trends of local deforestation and forest degradation | 3b.01 Deforestation and forest degradation trends in at least 5 years period |
| | 3b.02. The area of forest deforestation/planted forest annually |
| | 3b.03. Deforestation caused by forest conversion |
| 3c. Forest Plantation at provincial level | 3c.01. Investment and results of forest restoration and plantation annually |
| 3d. The vulnerability of forest caused by the impacts of human activities and climate change | 3d.01. The vulnerability of forests due to extreme conditions (forest fires, drought, pests,..) |

**RESI framework: Criteria and Indicators (Cont.)**

| SOCIAL CONDITIONS FOR REDD+ 05 criteria and 15 indicators | |
|--|--|
| 4a. Population, ethnic minorities and poverty | 4a.01. The proportion of ethnic minorities |
| | 4a.02. Provincial poverty rates |
| 4b. Livelihood and labor in forestry sector | 4b.01. Number of jobs generated by forestry sectors annually at provincial level |
| | 4b.02. Land-used planning for households and communities |
| | 4b.03. The average income level (the level of forest dependence) |
| 4c. Land-use rights, conflicts and dispute resolution | 4c.01. The prevalence of these types of disputes, complaints and claims |
| | 4c.02. The ability to resolve the disputes, complaints and claims |

**RESI framework: Criteria and Indicators (Cont.)**

| SOCIAL CONDITIONS FOR REDD+ 05 criteria and 15 indicators | |
|---|--|
| 4d. The participation of households, and local authority in forest management and protection | 4d.01. The level of participant of households in forest management and protection |
| | 4d.02. The level of participant of local authority in forest management and protection |
| 4e. The role of gender in forest management and protection | 4e.01. Policies/rules that allow women to participate in forestry programs, projects and policy implementation |
| | 4e.02. The role of the provincial women association in forest management and protection at provincial level |
| | 4e.03. The participation of women in forest management and protection in forestry agencies |
| | 4e.04. Access and property rights of women to forest/land at communal level |
| | 4e.05. Impacts of forestry activities and projects on women development at communal level |
| | 4e.06. Identify opportunities for increasing the participation of women in forestry sector |



SCORING AND ORGANIZING THE RESULTS

- All the questions related to criteria and indicators will be counted into results of RESI
- Weighting of all the criteria, indicators in RESI is equal and is 1
- Each question will have 5 answer choices and was scored on a scale of 0 to 100, reflecting the variable availability, readiness of policies and information as well as environmental – social conditions for REDD+ implementation with 04 main score: 100, 67, 33 and 0, which depend on the answer.
- If a question was scored “not applicable” , it will dropped from the pool of questions used to determine a provincial’s score in RESI.
- The final score is a simple average of all the values of questions in RESI



SCORING AND ORGANIZING THE RESULTS

Comprehensive readiness (average score: 100-67): provinces in thi group have relatively full conditions in policy, institution setting as well as environmental and social status for REDD+ implementation

Ranking the provinces

Partial Readiness (average score: 66 - 34): Provinces show important gap in one or more specific categories of the RESI Index, in policy, institutional setting or environmental and social conditions.

Notyet readiness (average score: 33 - 0): Provinces have the lowest levels of readiness in policy and institutional setting, not applicable in environmental conditions as well as high risks in social context if REDD+ is implemented.



Methodology

