



PROVINCIAL REDD+ ENVIRONMENTAL AND SOCIAL INDEX CHECKLIST

COMPONENT 1: LEGISLATION AND POLICY FRAMEWORK FOR REDD+

No.	Components	Criteria		Indicators		Questions		Answers
I	LEGISLATION AND POLICY FRAMEWORK FOR REDD+	1a	The availability and suitability of Forest management, protection and development policies at provincial level	1a.01	Provincial land-use planning to 2020 and vision toward 2030	1a.01.00	The overall land-use planning and the content related to forestland	a-e
I		1a		1a.02	Provincial Forest protection and development Plan in the period 2011-2020	1a.02.01	Objectives and tasks associated with managing and protecting the existing forest area in order to reducing violations, deforestation and forest degradation	a-e
I		1a		1a.02		1a.02.02	Objectives and tasks associated with developing forest and enhance forest cover	a-e
I		1a		1a.02		1a.02.03	Objectives and tasks associated with the creation of jobs in the forestry sector	a-e
I		1a		1a.02		1a.02.04	Objectives and tasks associated with the contribution to poverty alleviation	a-e
I		1a		1a.02		1a.02.05	Objectives and tasks associated with the increase of income from forestry sector	a-e
I		1a		1a.02		1a.02.06	Objectives and tasks associated with the increase of environmental services revenues	a-e
I		1a		1a.03	Provincial Forest Land Allocation Plan	1a.03.00	Yes/no?	a-e
I		1a		1a.03		1a.03.01	If applicable, Areas, Objects and Forms of Forest Allocation?	a-e
I		1a		1a.03		1a.03.02	If applicable, Forest Allocation Plan for each type of forest (Special-used forest, Protection Forest and Production Forest)	na
I		1a		1a.04	The scheme or project for land acquisition from State-owned Enterprises and allocation to other actors	1a.04.00	Yes/No?	a-e

I	Integrating and prioritizing Forest Protection and Climate Change in social-economic development policies	1a	1a.05	Policy on “closing natural forests” at provincial level	1a.05.00	Yes/No?	a-e
I		1a			1a.05.01	If applicable, forest management and protection plan for these areas?	a-e
I		1b	Master Plan of Social and Economic Development to 2020 at provincial level	1b.01	1b.01.01	Environmental aspect of the forestry sector’s objectives	a-e
I		1b			1b.01.02	Economic aspect of the forestry sector’s objectives	a-e
I		1b			1b.01.03	Social aspect of the forestry sector’s objectives	a-e
I		1b		1b.02	Provincial Environmental Protection Action Plan	Avoiding and Reducing Deforestation and Forest Degradation	a-e
I		1b		1b.02		Conserving and enhancing forest carbon stocks	a-e
I		1b		1b.02		Sustainable management of forest resources	a-e
I		1b		1b.02		Conserving biodiversity and ecosystems	a-e
		1b		1B.03	Provincial Climate Change Mitigation Action Plan	1b.03.00	Yes/no
I		1b		1b.03		1b.03.01	Reducing the impacts of climate change on forest resources
I		1b		1b.03		1b.03.02	Reducing emissions from activities in forestry sector
I		1b		1b.03		1b.03.03	Improving the climate change mitigation through forestry activities
I		1b	1b.04	Integrating forest protection objectives into other programs/plans	1b.04.00	Quoting “...the related contents”	na
I		1b	1b.05	Risk assessment of forestland conversion for social – economic development at provincial level	1b.05.01	Hydropower, Dam Construction	a-e
I		1b	1b.05		1b.05.02	Mining	a-e
I		1b	1b.05		1b.05.03	Expansion of Rubber plantation	a-e
I		1b	1b.05		1b.05.04	Expansion of coffee and tea plantation	a-e
I		1b	1b.05		1b.05.05	Expansion of cassava, sugarcane...plantation (commodity tree)	a-e
I		1b	1b.05		1b.05.06	Infrastructure (road construction)	a-e

I		1b		1b.05		1b.05.07	Resettlement	a-e
I		1b		1b.05		1b.05.08	Expansion of aquaculture farms	a-e
I		1b		1b.05		1b.05.09	Others	a-e
I		1c	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.01.01	State budget	a-e
I		1c		1c.01		1c.01.02	Provincial state budget	a-e
I		1c		1c.01		1c.01.03	ODA	a-e
I		1c		1c.01		1c.01.04	PFES revenue	a-e
I		1c		1c.01		1c.01.05	Private investment	a-e
I		1c		1c.01		1c.01.06	Others	a-e
I		1c		1c.02	Forest Protection and Development Fund and The role of PFES at provincial level	1c.02.00	Yes/no	a-e
I		1c		1c.02		1c.02.01	Size of Provincial Forest Protection and Development Fund	a-e
I		1c		1c.02		1c.02.02	The advantages and challenges in PFES Implementation	na
I		1c		1c.03	Socialization policies for forest protection and development at provincial level	1c.03.00	The effectiveness of the policies to attract direct investment in the forestry sector	a-e
I		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.01.01	DARD	a-e
I		1d		1d.01		1d.01.02	Provincial Forest Protection Department	a-e
I		1d		1d.01		1d.01.03	Provincial Forest Development Department	a-e
I		1d		1d.01		1d.01.04	Forest Management Boards	a-e
I		1d		1d.01		1d.01.05	Forest Enterprises	a-e
I		1d		1d.01		1d.01.06	Agricultural and Rural Development Division or Forest Protection Unit (District level)	a-e
I		1d		1d.01		1d.01.07	Forest Sciences Association	a-e
I		1d		1d.01		1d.01.08	Experts...	a-e
I		1d		1d.02	Kinds of projects that forestry agencies are participated in EIA appraisal committee	1d.02.01	Hydropower, dam construction	a-e
I		1d		1d.02		1d.02.02	Electric thermal plants and other energy projects	a-e
I		1d		1d.02		1d.02.03	Mining	a-e

I		1d	1d.02	The consultation level of forestry agencies during the EIA process	1d.02.04	Ruber Plantation	a-e
I		1d	1d.02		1d.02.05	Coffee and tea plantation	a-e
I		1d	1d.02		1d.02.06	Cassava, sugarcane plantation	a-e
I		1d	1d.02		1d.02.07	Ecotourism	a-e
I		1d	1d.02		1d.02.08	Industrial zone	a-e
I		1d	1d.02		1d.02.09	Infrastructure	a-e
I		1d	1d.02		1d.02.10	Resettlement	a-e
I		1d	1d.02		1d.02.11	Sea dikes	a-e
I		1d	1d.02		1d.02.12	Expansion of aquaculture farms	a-e
I		1d	1d.02		1d.02.13	Others	a-e
I		1d	1d.03		1d.03.01	DARD	a-e
I		1d	1d.03		1d.03.02	Provincial Forest Protection Department	a-e
I		1d	1d.03		1d.03.03	Provincial Forest Development Department	a-e
I		1d	1d.03		1d.03.04	Forest Management Boards	a-e
I		1d	1d.03		1d.03.05	Forest Enterprises	a-e
I		1d	1d.03		1d.03.06	Agricultural and Rural Development Division or Forest Protection Unit (District level)	a-e
I		1d	1d.03		1d.03.07	Forest Sciences Association	a-e
I		1d	1d.03		1d.03.08	Experts...	a-e

COMPONENT 2 : INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION AT PROVINCIAL LEVEL

No.	Components	Criteria	Indicators	Questions		Answers	
II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION AT PROVINCIAL LEVEL	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.01.00 Yes/no?	a-e
II		2a		2a.02	The diversity of stakeholders in the Steering Committee (Roles and responsibilities)	2a.02.01 Provincial People Committee	a-e
II		2a		2a.02		2a.02.02 DARD	a-e
						2a.02.03 Other departments (DONRE, Financial Department, ...)	
II		2a		2a.02		2a.02.04 District People Committees	a-e
II		2a		2a.02		2a.02.05 Representatives of the armed forces and judiciary	a-e
II		2a		2a.02		2a.02.06 Representatives of civil society	a-e
II		2a		2a.02		2a.02.07 Representatives of private sector	a-e
II		2a		2a.02		2a.02.08 Representatives of CBOs	a-e
II		2a		2a.02		2a.02.09 Experts	a-e
II		2a		2a.03	The Standing Office of the Steering Committee	2a.03.00 Yes/no?	a-b
II		2a		2a.03		2a.03.01 The Standing Office Operation	a-e
II		2a		2a.04	Assessing the effectiveness of the Steering Committee's operation	2a.04.00 Assessing the effectiveness of operation and recommendations	na
II	Access and property rights to forest and land at local level	2b	Access and property rights to forest and land at local level	2b.01	Kinds of forest owners at provincial/district/local level	2b.01.00 Forest owners Data	a-e
		2b		2b.01		2b.01.01 Information disclosure related to forest owner data	a-e
II		2b		2b.02	Distribution of forest owners/users at provincial/district/local level	2b.02.00 The results of forest allocation	a-e
		2b		2b.02		2b.02.02 Information disclosure related to forest allocation	a-e
II		2b		2b.03	Forest Co-management at provincial/district/local level	2b.03.01 Co-management between forest owners and local authority	a-e

II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION AT PROVINCIAL LEVEL	2b	2b.03		2b.03.02	Co-management between forest owners and private sector	a-e
II		2b	2b.03		2b.03.03	Co-management between forest owners and local households	a-e
II		2b	2b.03		2b.03.04	Co-management between forest owners and communities	a-e
II		2b	2b.03		2b.03.05	Co-management between forest owners and social organization	a-e
II		2b	2b.03		2b.03.06	Co-management between forest owners and others	a-e
II		2b	2b.04	Experiences on community-based forest management	2b.04.00	The existence of CBFM models	a-e
II		2b	2b.04		2b.04.01	Assessing the effectiveness of these models (if applicable)	a-e
II		2b	2b.04		2b.04.02	Regulations or guidelines for developing the CBFM models	a-e
II		2b	2b.05	Experiences on sustainable forest management (FSC/PEFC)	2b.05.00	The outcomes	a-e
II		2b	2b.06	The satisfaction level for access and property rights to forest and land of local households/community	2b.06.01	The recognition of customary system?	a-e
II		2b	2b.07	Rights of communities to forest/land	2b.07.01	Access right	a-e
II		2b	2b.07		2b.07.02	Withdrawal right	a-e
II		2b	2b.07		2b.07.03	Management right	a-e
II		2b	2b.07		2b.07.04	Exclusion right	a-e
II		2b	2b.07		2b.07.05	Alienation right	a-e
II		2b	2b.08	Rights of local households to forest/land	2b.08.01	Access right	a-e
II		2b	2b.08		2b.08.02	Withdrawal right	a-e
II		2b	2b.08		2b.08.03	Management right	a-e
II		2b	2b.08		2b.08.04	Exclusion right	a-e
II		2b	2b.08		2b.08.05	Alienation right	a-e
II	Process and priorities for	2c	2c.01	The existence of PRAP	2c.01.00	Yes/no?	a-e
II		2c	2c.01		2c.01.01	If applicable, the financial sources for PRAP implementation?	na

II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION AT PROVINCIAL LEVEL	2c	REDD+ implementation	2c.02	Experiences on REDD+ implementation	2c.02.00	Yes/no?	a-e
II		2c		2c.02		2c.02.01	The difficulties and challenges for REDD+ Implementation	na
II		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.01.01	Forest Management and Protection Planning	a-e
II		2d		2d.01		2d.01.02	Forest Allocation and Contract Planning	a-e
II		2d		2d.01		2d.01.03	Awareness Raising on Forest Policies, Laws and Regulations	a-e
II		2d		2d.01		2d.01.04	Law enforcement on forest management, protection and fire safety	a-e
II		2d		2d.02	Institutionalization for cooperating among provincial forestry agencies	2d.02.00	Official Agreement? (MoU, decision, decrees, agreement...)	na
II		2d		2d.03	The cooperation in the forest management and protection at district level	2d.03.01	Forest Management and Protection Planning	a-e
II		2d		2d.03		2d.03.02	Forest Allocation and Contract Planning	a-e
II		2d		2d.03		2d.03.03	Awareness Raising on Forest Policies, Laws and Regulations	a-e
II		2d		2d.03		2d.03.04	Law enforcement on forest management, protection and fire safety	a-e
II		2d		2d.04	Institutionalization for cooperating among district forestry agencies	2d.04.00	Official Agreement? (MoU, decision, decrees, agreement...)	na
II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION	2e	Transparency and information disclosure in forestry sector	2e.01	Updating Forestry Information (Policies and Law,...) through official websites	2e.01.00	Official websites	a-e
II		2e		2e.02	Forestry Information through the radio and media mass system at provincial and district level	2e.01.00	Radio/TV channels by local languages at provincial level	a-b
II		2e		2e.02		2e.01.01	Frequency?	a-e

II	AT PROVINCIAL LEVEL	2e	2e.02	The diversity of channels in forestry information providing to local authorities and communities (at communal level)	2e.01.02	Radio/TV channels by local languages at district level	a-e	
II					2e.03.00	Yes/no?	a-b	
II					2e.03.01	If applicable, how?	a-e	
II					2e.03.02	Frequency?	a-e	
II					2e.04.00	Yes/no?	a-b	
II					2e.05.01	The reasons why people participate in forest protection?	a-e	
II					2e.05.02	Information access channels?	a-e	
II					2e.05.03	The readiness of participation in forest protection	a-e	
II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT AND PROTECTION AT PROVINCIAL LEVEL	2f	Law enforcement on forest management, protection and development	Law enforcement on forest management, protection and development	2f.01.01	Local households	a-e	
II					2f.01.02	Community	a-e	
II					2f.01.03	Protection Forest Management Board	a-e	
II					2f.01.04	Special-use Forest Management Board	a-e	
II					2f.01.05	Forest Enterprises	a-e	
II					2f.01.06	Other organizations	a-e	
II					2f.01.07	Local authorities	a-e	
II					2f.01.08	Police/Army	a-e	
II				2f.02	Human resources for local forest protection	2f.02.00	The number of forest rangers	a-e
II				2f.03	The results of forest law enforcement (5 years period)	2f.03.00	-	a-e
II	INSTITUTIONAL SETTING FOR FOREST MANAGEMENT	2g	Monitoring and information collecting system in forestry sector	The establishment of system to monitor the change of forest status at provincial level	2g.01.00	Yes/no	a-e	
II					2g.01.01	If applicable, who takes responsibilities?	na	
II					2g.01.02	If applicable, outcomes?	a-e	
II					2g.02.00	Yes/no	a-b	

II	AND PROTECTION AT PROVINCIAL LEVEL	2g	Giá trị kinh tế của hoạt động lâm nghiệp địa phương	2g.02	The level of information disclosure of results forest status monitoring	2g.02.01	If applicable, periodic reports?	a-e
II		2g		2g.02		2g.02.02	If applicable, the information is updated and completed?	a-e
II		2g		2g.02		2g.02.03	If applicable, where can get these reports?	a-e
II		2g		2g.03	Technologies supports for the monitoring system	2g.03.00	Yes/no?	a-b
II		2g		2g.04	Challenges for operating the monitoring system	2g.04.00	-	na
II		2h		2h.01	The contribution of forestry sector to the provincial economy annually (during 5 recent years)	2h.01.00	-	a-e
II		2h		2h.02	The average of annual income from forestry sector	2h.02.00	-	na
II		2h		2h.03	The opportunity costs due to forestland conversion to other land-used purposes	2h.03.01	Rubber plantation	a-e
II		2h		2h.03		2h.03.02	Coffee plantation	a-e
II		2h		2h.03		2h.03.03	Cassava plantation	a-e
II		2h		2h.03		2h.03.04	Paddy	a-e
II		2h		2h.03		2h.03.05	Forest plantation	a -e
II		2h		2h.04	Trends of forest exploitation value in forestry sector	2h.04.00	-	a-e

COMPONENT 3 – ENVIRONMENTAL CONDITIONS FOR REDD+

No.	Components	Criteria	Indicators		Questions		Answers	
III	ENVIRONMENTAL CONDITIONS FOR REDD+	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.01.01	The propotion of natural forest at provincial level (% RTN)	a-e
III		3a		3a.01		3a.01.02	The propotion of forest types	a-e
III		3a		3a.02	The structure of natural forest by forest quality	3a.02.00	The propotion of rich, medium and poor forests	na
III		3b	Scope and trends of local deforestation and forest degradation	3b.01	Deforestation and forest degradation trends in at least 5 years period	3b.01.00	Areas of Deforestation and Forest Degradation in the last 5 years	a-e
III		3b		3b.02	The area of forest deforestation/planted forest annually	3b.02.00	Changes in forest cover rate	a-e
III		3b		3b.03	Deforestation caused by forest conversion	3b.03.01	Hydropower, dams construction	a-e
III		3b		3b.03		3b.03.02	Mining	a-e
III		3b		3b.03		3b.03.03	Rubber plantation	a-e
III		3b		3b.03		3b.03.04	Coffee plantation	a-e
III		3b		3b.03		3b.03.05	Commodity tree plantation (Cassava, sugarcane...)	a-e
III		3b		3b.03		3b.03.06	Aquaculture	a-e
III		3b		3b.03		3b.03.07	Infrastructure	a-e
III		3b		3b.03		3b.03.08	Resettlement	a-e
III		3c	Forest Plantation at provincial level	3c.01	Investment and results of forest restoration and plantation annually	3c.01.00	The effectiveness	a-e
III		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,..)	3d.01.01	Risks of Forest fire	a-e
III		3d		3d.01		3d.01.02	Forest fire hotspots	a-e
III		3d		3d.01		3d.01.03	Risks of landslides/erosion	a-e
III		3d		3d.01		3d.01.04	Risks of swidden	a-e
III		3d		3d.01		3d.01.05	Risks of climate change impacts	a-e

COMPONENT 4: SOCIAL CONDITIONS FOR REDD+

No.	Components	Criteria	Indicators		Questions		Answers	
IV	SOCIAL CONDITIONS FOR REDD+	4a	Population, ethnic minorities and poverty	4a.01	The proportion of ethnic minorities	4a.01.01	Statistic Data	a-e
IV		4a		4a.02	Provincial annual income and poverty rates	4a.02.01	The proportion of income from agriculture, forestry and fisheries to total revenue per capita/month (Statistic Data)	a-e
IV		4a		4a.02		4a.02.02	The poverty rate at provincial/district/local level	a-e
IV		4b	Livelihood and labor in forestry sector	4b.01	Number of jobs generated by forestry sectors annually at provincial level	4b.01.00	-	CXD
IV		4b		4b.02	Land-used planning for households and communities	4b.02.00	-	a-e
IV		4b		4b.03	The average income level (the level of forest dependence)	4b.03.00	-	a-e
IV	SOCIAL CONDITIONS FOR REDD+	4c	Land-use rights, conflicts and dispute resolution	4c.01	The prevalence of these types of conflicts, complaints and claims	4c.01.01	Boundary conflicts	a-e
IV		4c		4c.01		4c.01.02	Conflicts over withdrawal rights among state forest owners and others	a-e
IV		4c		4c.01		4c.01.03	Conflicts over withdrawal rights among local households/communities	a-e
IV		4c		4c.01		4c.01.04	Complaints on land acquisition compensation	a-e
IV		4c		4c.01		4c.01.05	Corruption	a-e
IV		4c	4c.02	The ability to resolve the disputes, complaints and claims	4c.02.01	Boundary conflicts	a-e	
IV		4c			4c.02.02	Conflicts over withdrawal rights among state forest owners and others	a-e	
IV		4c			4c.02.03	Conflicts over withdrawal rights among local households/communities	a-e	

IV		4c		4c.02		4c.02.04	Complaints on land acquisition compensation	a-e
IV		4c		4c.02		4c.02.05	Corruption	a-e
IV	SOCIAL CONDITIONS FOR REDD+	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.01.01	Communal forest protection and management plan	a-e
IV		4d		4d.01		4d.01.02	Forest allocation to local households/communities	a-e
IV		4d		4d.01		4d.01.03	Forest protection contracts to local households/communities	a-e
IV		4d		4d.01		4d.01.04	Land acquisition, forest lease	a-e
IV		4d		4d.01		4d.01.05	PFES	a-e
IV		4d		4d.01		4d.01.06	Forest Protection Patrolling	a-e
IV		4d		4d.01		4d.01.07	Law Enforcement Monitoring	a-e
IV		4d		4d.01		4d.01.08	Fire Safety	a-e
IV		4d		4d.01		4d.01.09	Others	a-e
IV		4d		4d.02	The level of participant of local authority in forest management and protection	4d.02.01	Communal forest protection and management plan	a-e
IV		4d		4d.02		4d.02.02	Forest allocation to local households/communities	a-e
IV		4d		4d.02		4d.02.03	Forest protection contracts to local households/communities	a-e
IV		4d		4d.02		4d.02.04	Land acquisition, forest lease	a-e
IV		4d		4d.02		4d.02.05	PFES	a-e
IV		4d		4d.02		4d.02.06	Forest Protection Patrolling	a-e
IV		4d		4d.02		4d.02.07	Law Enforcement Monitoring	a-e
IV		4d		4d.02		4d.02.08	Fire Safety	a-e
IV		4d		4d.02		4d.02.09	Others	a-e
IV	SOCIAL CONDITIONS FOR REDD+	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.01.00	-	a-e
IV		4e		4e.02		4e.02.01	Communal forest protection and management plan	a-e

IV		4e	4e.02	The role of the provincial women association in forest management and protection at provincial level	4e.02.02	Forest allocation to local households/communities	a-e
IV		4e	4e.02		4e.02.03	Forest protection contracts to local households/communities	a-e
IV		4e	4e.02		4e.02.04	Land acquisition, forest lease	a-e
IV		4e	4e.02		4e.02.05	PFES	a-e
IV		4e	4e.02		4e.02.06	Forest Protection Patrolling	a-e
IV		4e	4e.02		4e.02.07	Law Enforcement Monitoring	a-e
IV		4e	4e.02		4e.02.08	Fire Safety	a-e
IV		4e	4e.02		4e.02.09	Others	a-e
IV		4e	4e.03		4e.03.00	-	-
IV		4e	4e.04		4e.04.02	Who owns the land of households? (name in the redbook)	a - e
IV		4e	4e.04		4e.04.04	Opportunities to access and use of forest products	a - e
IV		4e	4e.05		4e.05.00	-	na
IV		4e	4e.06		4e.06.00	-	na