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## **Payments for Forest Ecosystem Services: Global and Local Assessments of Costs and Benefits**

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# Annex A

## *Survey on costs of forest carbon projects*

### INTRODUCTION

This survey is part of a scientific research project carried out by the University of Amsterdam and the Free University Amsterdam, the Netherlands. The survey's main aim is to obtain insight into the nature and the size of the costs to design and implement forest carbon projects.

Your name was found as a contact person for such a project. We hope that you are willing to have a look at the survey questions. All information you provide will be treated strictly confidential, and only be analysed and presented at a high level of aggregation, guaranteeing anonymity.

Completing the survey should not cost you more than 20 minutes. Your time and contribution is highly appreciated! As soon as the research is finished, we will send you the research report, which we hope will be useful for your organization as well.

### **Part 1: Factsheet**

1. *What is the function of your organization in this project?* (multiple answers possible)

- Project developer
- Project implementer
- Project financier/funder
- Carbon credit owner
- Carbon credit buyer
- Intermediary
- Other, namely

2. *What is the relevant type of the forestry project?* (multiple answers possible):

- Clean Development Mechanism (CDM) Afforestation
- Clean Development Mechanism (CDM) Reforestation

- non-CDM Afforestation
- non-CDM Reforestation
- non-CDM Avoided deforestation/Forest Conservation
- non-CDM Sustainable forest management
- Other, namely .....

3. *What is the current status of the project?*

- Under design
- Under implementation
- In operation
- Finished
- Other, namely .....

4. *What is the starting date of the project? (month -year):* .....

5. *What is the project duration? (number of years):* .....

6. *How long is the crediting period? (number of years):* .....

\* Crediting period is the period for which carbon emission reductions are verified and certified.

7. *Targeted total forest area size (hectares):* .....

8. *Area size currently implemented or under operation (hectares):* .....

9. *Targeted total amount of Carbon Emission Reductions.....metric ton of CO<sub>2</sub> per year*

10. *Total amount of carbon credits sold until now: ..... metric ton of CO<sub>2</sub>*

11. *Average price of carbon credits (per metric ton of CO<sub>2</sub>):* .....

\* Please specify the currency used and the year of price that you are referring to.

12. *In case Carbon credits have been sold, what was the payment mode to credit owners (multiple answers possible)?*

- Cash
- In-kind (e.g. seeds, infrastructure investments, etc.)
- Technical assistance
- Other, namely .....

13. *Does your project have any official other objectives besides carbon emission reduction?*

- No
- Yes, namely .....

14. *In this question, we would like to ask you about the project's participants. Could you specify in the table below:*

- (a) number of participants (column 1);
- (b) their origin: if they are from the host country (column 2) or abroad (column 3);
- (c) their institutional background, for example whether they are state or private company.

For example, if the project would have **10 landowners** including 2 international NGOs and 8 local individual farmers, then you fill in “**10**” in column (1) for the number of landowners, you tick column (2) and (3) for their origins, and you tick column (6) and (8) for their institutional background.

**Information of project's participants (multiple answers possible)**

	No. (a)	Origin (b)		Institutional level (c)				
		In the host country (2)	Abroad (3)	Government /State (4)	Private entity (5)	NGO (6)	Community (7)	Individuals (8)
Participants	(1)							
<i>Example</i>	10	✓	✓			✓		✓
Landowners		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Land users		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credits right holders		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit buyers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project funder/financer		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project developer		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project implementer		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intermediary		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other, namely		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part 2: Questions on project costs**

Please answer the questions *only* for the specific project you defined in the factsheet before.

**2.1. Search costs**

*Search costs* are those costs made to find a suitable project area and suitable project participants. For example, the time, personnel and money spent to obtain relevant information about the project area, project participants, and other legal issues.

2.1.1. *Can you specify which kind of information you looked for before participating in the project?*  
(multiple answers possible)

- Information about the project area (for example: natural and socio-economic characteristics; current land use practices)
- Information about project participants (for example: their interests, roles and responsibilities)
- Information about legal issues (for example: existing landownership, national forestry policy)
- Other, namely .....

2.1.2. *Can you specify in the boxes below how much personnel and time you spent to search for the information specified before?*

- Number of **personnel** involved (persons): .....
- Total amount of **time** spent by all personnel together (please specify the unit: days/months/years): .....

2.1.3. *Did you pay others outside of your organization in order to obtain the relevant information?*

- No
- Yes

If your answer is YES, *how much did you pay for the relevant information?* ..... (please specify the currency used)

2.1.4. *Can you specify in which year(s) you paid the search costs?.....*

## 2.2. Project design costs

*Project design costs* are those costs made to design the project, including the development of an implementation plan, methods used for carbon quantification and monitoring, credit verification and certification as well as studying potential impacts of the project on the environment and society.

2.2.1. Does the project have a project design document (PDD) or a similar document?

Yes

No

if your answer is NO, please go to question 3.

2.2.2. Can you indicate which of the component(s) below are included in the PDD of your project? (multiple answers possible):

Implementation plan of the forestry activities (for example plantation of trees or conservation of existing forests)

Net carbon emission reduction

Plans for monitoring, credit verification and certification (techniques/standards used and parties involved)

Enforcement rules

Potential environmental and socio-economic impacts of the proposed project

2.2.3. Can you specify in the boxes below how much personnel and time you spent to design the project?

- Number of **personnel** involved (persons): .....
- Total amount of **time** spent by all personnel together (please specify the unit: days/months/years): .....

2.2.4. Did you pay others outside of your organization to develop the PDD?

- No
- Yes

If your answer is YES, how much did you pay for the relevant information? ..... (please specify the currency)

2.2.5. Can you specify in which year(s) you paid the project design costs?

.....

### 2.3. Negotiation costs

Negotiation costs are those costs made to reach an agreement between the project’s participants about their rights and responsibilities in implementation, monitoring, verification, certification, selling of carbon credits, or any enforcement rules to make sure everyone complies with the project’s terms and conditions.

2.3.1. Do you have a contract specifying the terms and conditions of your participation in the project?

- No
- Yes

2.3.2. Can you specify which kind of negotiation costs you face(d) specifically before you implement(ed) the project? (multiple answers possible)

- Negotiation about the rights and responsibilities of the participants
- Negotiation about the implementation of the project such as forestry activities, monitoring, verification, certification, and selling of carbon credits
- Negotiation about enforcement rules to make sure everyone complies with the terms and conditions of the project and/or contract
- Other, namely .....



2.3.3. *Can you specify how these negotiations took place? (multiple answers possible)*

- Face-to-face during (a series of) meetings
- Via telephone or email
- Otherwise, namely .....

2.3.4. *Can you specify in the boxes below how much personnel and time you spent to negotiate the terms and conditions of your participation and those of the other participants in the project?*

- Number of **personnel** involved (persons): .....
- Total amount of **time** spent by all personnel together (please specify the unit: days/months/years): .....

2.3.5. *Can you specify in the boxes below how much money you spent to negotiate the terms and conditions of your participation and those of the other participants in the project?*

- Costs in money spent on travel: ..... (please specify currency)
- Other costs in money spent like phone bills etc.: ..... (please specify currency)

## 2.4. Some final questions

2.4.1. *What is the type of contract signed with the Carbon credit owners? (multiple answers possible)*

- Collective (contract with the whole community or farmer association)
- Individual (contract with individual households/ farmers)
- Other, namely .....

2.4.2. *What is the frequency of the payment to Carbon credit owners?*

- One-off
- Annual
- Other, namely .....

2.4.3. *Do you have any past experiences working with the participants in the project?*

- Yes
- No

2.4.4. *Has this in any way affected the costs of setting up or implementing the project?*

- Not at all
- Somewhat
- A lot

2.4.5. *Does this project fit in your view well under existing policy and/or legislation in the country in which it is (planned to be) implemented?*

- Yes
- No

2.4.6. *Has this in any way affected the costs of setting up the project?*

- Not at all
- Somewhat
- A lot

This is the end of the survey, do you have any other comments or information that you think might be relevant in view of the main objective of this survey?

.....  
.....

*Thank you very much for your collaboration!*

# Annex B

Transaction costs per hectare and their distribution across internal and external activities in the two PFES schemes in Vietnam in 2014 (US\$/hectare)

	Re-distribution of PFES payments			Monitoring and compliance checking			Total sum
	Internal	External	Total	Internal	External	Total	
Lam Dong	0.080	0.670	0.750	0.016	0.008	0.024	0.774
Son La	0.080	0.250	0.330	0.000	0.028	0.028	0.358

# Annex C

## *Form of interview with the FPDFs*

### INTRODUCTION

This interview is part of independent scientific research for my PhD. The purpose of this interview is to discuss about the implementation of PES in Lam Dong/Son La in general and institutional settings of the Forest Protection and Development Fund in particular. Insights from this interview will be used solely for scientific purposes. The expected outcome is a scientific report. I will send you the report once it is finished and if possible I will come back and present my findings to you and your organization and other interested parties. The outcomes of this study may help you and your organization too by identifying strengths and weaknesses, opportunities and threats of PES implementation. All information obtained from this interview will be treated completely confidential. No names will be used in the final report.

### **Part 1. Questions on the general institutional setting of the Fund**

*Description:* in this first part, we will ask you questions about the general setting of the Fund and the implementation of PES in your province. This part will take approximately 45 minutes.

*General setting of the Fund:*

1. What is the general status, position and strategy of your organization and how does it function at provincial/district/communal level?
2. How many staff are there in your organization (at provincial/district/communal level)?
3. What organizations do you work with, and what are their status, position and functions at provincial/district/communal level?
4. How frequently do you meeting or have contacts with these organizations?
5. What is the degree of freedom of your organization in implementing PES at provincial level?

*The implementation of PES in the province:*

6. How many hectares of forested land are there in the province in total? How many of these hectares are registered under the PES scheme? How many forest owners are involved? Are there specific reasons why not all the forested land is PES registered or not all forest owners participate?
7. Amongst the PES registered land, how much of this forested land has identified or official land users?
8. Amongst the identified land, how much forested land is directly leased to farmers and how much is contracted via intermediaries like forest enterprises?
9. Who are the ES buyers? Who selected them as ES buyers?
10. What is the payment frequency and mode of payment by the ES buyers? Do they always pay in due time?
11. Who are the ES providers? Who selected them as ES providers? What are the selection criteria? What would be the reasons for not participating in PES even though selected?
12. What is the payment frequency to the ES providers (is this the same compared to ES buyers)?
13. What was the payment per hectare in the pilot phase and in the implementation phase (from 2008-2010 to 2014)? Was there a difference? If so, why? How is the payment amount exactly calculated and by whom? Does the payment vary across the years and if so, why?
14. Are participations of ES buyers and ES providers voluntary?
15. Are there any specific PES contracts that are being used? Between whom is the contract signed? What is the contract duration?
16. If there is a contract, can you indicate what contractual terms and conditions are included? What are the rights and obligations?

## Part 2. Questions on the PFES procedure and the associated TC

*Description:* in this part, we will ask you some questions about the general procedure of PFES and the TC incurred by your organizations. This part will take approximately 45 minutes.

*Overall:*

17. What is the general procedure of PFES?
18. Which step in the PES implementation brings about in your opinion the highest transaction costs (searching for and connecting different stakeholders; contract signing; money collection; money allocation/transfer; monitoring and enforcement; reporting and evaluating; financial planning)? Can you explain why?

*Questions about the money-redistribution step:*

19. What is the general procedure of the money-redistribution step?
20. How many times per year do you receive money from ES buyers, and how (cash, bank transfer or other methods)?
21. How many times per year do you redistribute money to ES providers? How long does it take to finish one money re-distribution process on average?
22. How much money has been collected from ES buyers from 2008 to 2014?
23. How much money has been allocated to ES providers from 2008 to 2014?
24. How do you allocate the money to the participating ES providers?
25. Are there any external intermediary organizations involved in this step? If so, who are they and what are their functions at which level (provincial/district/commune)?
26. How much time (hours/days) in total does the money redistribution step cost (your organization plus the external intermediaries if any)?
27. How many personnel in total are involved in the money redistribution step (your organization plus the external intermediaries if any)?
28. What is the average wage per person per day (your organization plus the external intermediaries if any) in the money redistribution step?
29. How much money does the abovementioned process cost in total, besides salary?
30. What is the biggest challenge in redistributing PES money to ES providers? Can you explain why?
31. Has your organization tried to overcome this challenge by changing the way you work or operate? If so, did that help?

*Questions about the monitoring and enforcement step:*

32. What is the general procedure of the monitoring and enforcement step?
33. How many times per year do you carry out monitoring and compliance checking activity?
34. Are there any external intermediary organizations involved in this step? If so, who are they and what are their functions at which level (provincial/district/commune)?
35. How much time (hours/days) in total does the monitoring and compliance checking step cost (your organization plus the external intermediaries if any)?
36. How many personnel in total are involved in the monitoring and compliance checking step (your organization plus the external intermediaries if any)?
37. What is the average wage per person per day (your organization plus the external intermediaries if any) in the monitoring and compliance checking step?
38. How much money does the abovementioned process cost in total, besides salary?
39. What is the biggest challenge in this step of monitoring and compliance checking? Can you explain why?
40. Has your organization tried to overcome this challenge by changing the way you work or operate? If so, did that help?

*That is the end of the interview. We thank you very much for your time and participation!*

# Annex D

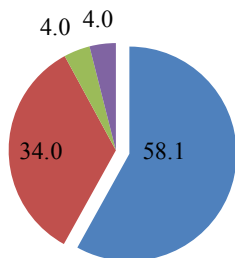
General household characteristics across the 4 selected villages.

Variable	Village			
	Hamashing	Lam Tuyen	Phu Thuan	Ma Rang
Share belonging to Kinh majority	0.63	0.63	0.59	0.61
Mean education level (years)	6.98	7.08	6.84	7.02
Mean age (years)	40.72	40.75	39.46	40.88
Share living >20 years in study area	0.92	0.92	0.95	0.92
Mean distance to the forest (km)	22.40	22.28	22.21	21.97
Mean household size (number of persons)	4.67	4.67	4.69	4.73
Mean number of working household members	2.59	2.61	2.62	2.67
Mean number of dependent household members	2.08	2.06	2.07	2.05
Share coffee as main crop	0.78	0.77	0.79	0.74
Mean agricultural land size (ha)	1.18	1.15	1.20	1.13
Mean total income before PES (US \$/household)	3,778	3,761	3,401	3,912

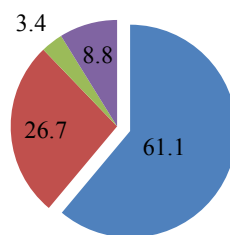


# Annex E

**PES participants (Pre-PES)**

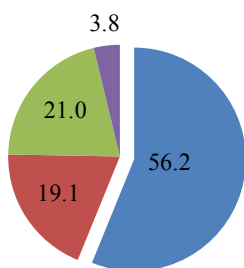


**Non-participants (Pre-PES)**

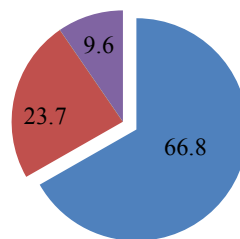


- Agriculture
- Hired labour
- Forestry
- Other

**PES participants (2014)**



**Non-participants (2014)**



Relative share of different income sources in total household income for PES participants and non-participants, before and after PES implementation.

# Annex F

## *Survey at household level for the PFES ES providers*

### INTRODUCTION

This interview is part of independent scientific research for my PhD. The purpose of this interview is to discuss about the impacts of PFES in Lam Dong on household income and livelihoods. Insights from this interview will be used solely for scientific purposes. The expected outcome is a scientific report. All information obtained from this interview will be treated completely confidential. No names will be used in the final report.

### Part 1: General household characteristics

1. *How long have you been living here? .....years*
2. *Household members and labours:*

Description	Persons
Q2-1 Number of household members	
Q2-2 Number of members who are working	
Q2-3 Number of members having monthly salary	
Q2-4 Number of children below 15 years old	
Q2-5 Number of members older than 65 years	

3. *Agricultural and forested land:*

	Before PES	PES phase (2014)
Agricultural land (hectare)		
Forested land (hectare)		

4. *How long have you been working in the forestry sector?  
.....years*

**Part 2: Payment for Forest Environmental Services**

5. *When did you start participating in the PES programme?*

Year: .....

6. *What are your 3 main reasons to participate in PES?*

- a. More income for your family
- b. General responsibility in forest protection
- c. Increased forest quality and value
- d. More jobs
- e. Improved soil quality
- f. Technical assistance
- g. Land tenure
- h. Social relations
- i. Others, namely: .....

7. *Did you participate in one of the below forestry programs before PES (and when)?*

- The 661 Program (year: .....) )
- The Provincial Budget Program (year: .....) )
- The 304 Program (year: .....) )
- The Forest for Livelihood Improvement in the Central Highlands Program (year: .....)
- Others, namely: ..... (year: .....) )
- Not participating in any programs

8. *About the non-PES payment programs:*

Q8-1 How many hectares of your forest were registered under that program? .....hectare

Q8-2 What is the payment rate of that program?  
.....thousands VND/hectare OR .....thousands VND/year

Q8-3 What is the current status of that program?  
 Finished (since year: ..... )  Still on going

9. *PES contract:*

Q9-1 Did you sign a contract in order to participate in PES?  
 Yes  No

Q9-2 What is the type of contract?

Grouped household contract

Individual household contract

Q9-3 Who did you sign the contract with?

.....

Q9-4 What is the contract duration?

..... years

10. According to the contract, what are your main responsibilities as the ES providers?

.....

11. In case of non-compliance, what are the forms of penalty?

Contract termination

No payment received

Others, namely:

.....

12. Payment rates of all forestry programs (before and after PES):

	Before PES	2014
Name of the program		
Payment frequency (times/year)		
Payment rate for each time (thousands VND/time)		
Payment mode (cash/in-kind/mixed)		

13. What do you think about the current payment rate/hectare (2014)?

Reasonable

Low

High

14. What is the desirable payment rate according to you?

..... thousands VND/hectare

**Part 3. Household income and labour structure**

15. What are the main income sources in your family in the following phases?

	Before PES	PES phase (2014)
Agriculture (Cropping/Husbandry)	<input type="checkbox"/>	<input type="checkbox"/>
Forestry	<input type="checkbox"/>	<input type="checkbox"/>
Aquaculture	<input type="checkbox"/>	<input type="checkbox"/>
Salary, pension, subsidies	<input type="checkbox"/>	<input type="checkbox"/>
Others, namely: .....	<input type="checkbox"/>	<input type="checkbox"/>

16. What is the income level of your family in the following phases?

Q16-1 Before PES:

..... VND/month OR ..... VND/year

Q16-2 PES phase (2014):

..... VND/month OR ..... VND/year

17. Please specify the income level from agriculture and forestry:

	Agriculture generate income (VND/year)	Forestry generated income (VND/year)
Before PES		
PES phase (2014)		

18. What are the other income sources from forestry, besides PES?

- Legal/illegal timber extraction
- Non-timber forest products
- Others namely.....
- No other income

19. Can you estimate the income generated from those sources in the following phases?

Q19-1 Before PES:

..... VND/month OR ..... VND/year

Q19-2 PES phase (2014):

..... VND/month OR ..... VND/year

20. What are the 3 main types of expenses in your family?

- a. Daily expenses
- b. Education
- c. Health care
- d. Buying household equipment
- e. Investment in agriculture
- f. Investment in forestry
- g. Others, namely: .....

21. What is the labour structure of your family in the following phases?

	Number of labour (persons)		Time spent (days/month)	
	Agriculture	Forestry	Agriculture	Forestry
Before PES				
PES phase (2014)				

22. What are the other benefits, in addition to the payment, when participating in PES?

22.1 Technical training:

No  Yes (..... times/year)

22.2 Other benefits:

Rice provision:  No  Yes (.....kg/year)

Seeds/plants:  No  Yes (.....kg/year)

Loans:  No  Yes (.....VND/year)

**Costs of forest protection/forestation**

23. (Labour costs) Do you have to hire external labour?

- No  Yes (..... persons/forest visit)

24. (Time costs) Can you estimate the amount of time spent for taking care of the forest?

- Q24-1 Number of labour: .....persons/visit
- Q24-2 Labour cost (per day per person): .....VND/day/person
- Q24-3 Number of forest visit: .....times/month
- Q24-4 Number of hour per visit (excluding travel time): .....hours/visit
- Q24-5 Average distance from home to the forest: .....km
- Q24-6 Distance from home to the nearest forest: .....km
- Q24-7 Distance from home to the farthest forest: .....km
- Q24-8 Travel time (between home and the forest, one way): .....hours/person
- Q24-9 Transport means: .....

25. Can you estimate the costs associated with PES (equipment, gasoline, food, medicine)?

Item	Cost (VND/year)
Gasoline	
Knife	
Light(s)	
Gloves	
Blanket(s)	
Food	
Medicine	

26. Other costs, if any:

.....

27. Can you estimate the cost of agricultural production?

Item	Cost (VND/year)
Seeds/Plants	
Animals	
Equipment	
Fertilizer	
Pesticides/ Herbicides	
Facility investments	
Others, namely:	
<i>Total</i>	

28. How do you often spend the money from PES (3 choices)?

- To cover household daily expenses
- To cover educational and healthcare expenses
- To cover agricultural costs
- To cover forest protection costs
- To contribute to a collective fund that will be used for the whole community
- Others, namely: .....

**Other PFES related issues**

29. How do you receive PES money?

- Home delivery
- At a money collecting point, namely:  
.....
- Via bank transfer
- Others, namely: .....

30. In case there is a collecting point, what is the distance between home and that place?

.....km

31. How long does it take from home to there? .....hours OR days (one way)

32. Within your group, who is in charge of writing the monitoring reports?

- Everyone takes turn
- One assigned person does it all the time (who: .....) )



33. *How many times do you have to submit a monitoring report to the authority?*  
 .....times per month OR per year

34. *How much time does it cost you to finish a report?*  
 .....hour(s) per report

**Part 4. Environmental impacts and environmental awareness**

35. Q35-1 Do you think that forests bring benefits to our life?

Yes  No

Q35-2 If Yes, can you explain why/list down some benefits:

.....

36. Q36-1 Do you think that PES helps protecting forest in a better/more effective way?

Yes  No

Q36-2 If Yes, can you explain why/list down some reasons:

.....

37. *What would you do with your forest if PES does not exist?*

.....

38. *Can you qualitatively evaluate the changes in the following issues since the PES introduction?*

Issue	Increase	Unchanged	Decrease
Q38-1 Total forest area			
Q38-2 Number of fires/year			
Q38-3 Number of illegal logging/year			
Q38-4 Soil quality			
Q38-5 Responsibilities of forest users as ES providers			
Q38-6 Regulations about penalty in case of non-compliance			
Q38-7 Money spent on forestry practices			
Q38-8 Accessibility to governmental loan			

39. *Do you have any recommendations on how to improve PES?*

No

Yes, e.g.....