



A Guide to Monitoring and Evaluation  
of the Non-legally Binding Instrument  
on all Types of Forests (NLBI)



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# Table of Contents

<b>2</b>	<b>Background and introduction</b>	
<b>2</b>	<b>What is the purpose of the NLBI?</b>	
<b>2</b>	<b>The national policies and measures of the NLBI</b>	
<b>3</b>	<b>The NLBI as an overarching policy framework</b>	
<b>3</b>	<b>Why monitor the implementation of the NLBI through an M&amp;E system?</b>	
<b>4</b>	<b>What is the purpose of this guide?</b>	
<b>4</b>	<b>Methodological aspects of an M&amp;E system for the NLBI</b>	
<b>4</b>	<b>General aspects</b>	
<b>5</b>	<b>The baseline</b>	
<b>5</b>	<b>Indicators</b>	
<b>6</b>	<b>The different roles of monitoring and evaluation in an M&amp;E system for the NLBI</b>	
<b>7</b>	<b>Result-orientation of the M&amp;E system for the NLBI</b>	
<b>7</b>	<b>Lessons from international experience: success factors for M&amp;E systems</b>	
<b>8</b>	<b>How to organize an</b>	
<b>8</b>	<b>M&amp;E system for the</b>	
<b>8</b>	<b>NLBI at country level</b>	
<b>8</b>	<b>Creating positive conditions for M&amp;E</b>	
<b>9</b>	<b>Establishing a baseline for NLBI implementation</b>	
<b>11</b>	<b>Organizing monitoring and evaluation of NLBI implementation</b>	<b>1</b>
<b>19</b>	<b>Glossary of terms</b>	
<b>20</b>	<b>Annexes</b>	
<b>20</b>	<b>Annex 1</b>	
<b>23</b>	<b>Annex 2 - Full text of NLBI decision</b>	
<b>28</b>	<b>Annex 3</b>	

# Background and introduction

## What is the purpose of the NLBI?

Every year, forest loss and degradation is costing the global economy between USD 2 and 4.5 trillion in lost revenues, according to a global study published by The Economics of Ecosystems and Biodiversity (TEEB) in 2010. Furthermore, they produce 17% of worldwide greenhouse gas emissions. Forests have a huge potential as carbon stores and provide livelihoods and subsistence for a considerable part of the rural population in developing countries. Their significance on a global scale reinforces the importance to manage them in a sustainable way.

In May 2007, the United Nations Forum on Forests (UNFF) adopted the Non-legally Binding Instrument on All Types of Forests (NLBI), which is also commonly known as the "Forest Instrument". This significant international consensus was reached to boost the implementation of sustainable forest management (SFM), and thus to maintain and enhance the economic, social and environmental values of all types of forests, for the benefit of present and future generations.

The purpose of the NLBI according to the UNFF resolution (UNFF A/RES/62/98) is:

- To strengthen political commitment and action for SFM at all levels to implement effectively SFM of all types of forests and to achieve the shared Global Objectives on Forests (Box 1)

### Box 1

#### Global Objectives on Forests

1. Reverse the loss of forest cover worldwide through SFM
2. Enhance forest-based economic, social and environmental benefits
3. Increase significantly the area of protected forests worldwide, and the portion of forest products from SFM
4. Reverse the decline of overseas development aid (ODA) for SFM and increase financial resources for SFM

- To enhance the contribution of forests to the achievement of the internationally agreed development goals including the Millennium Development Goals (MDG), in particular with respect to poverty eradication and environmental sustainability;

- To provide a framework for national action and international cooperation.

The resolution also formulates a number of guiding principles for the NLBI, including its voluntary nature, the responsibility of each country for the sustainable management of its forests, the importance of stakeholder participation in SFM and of good governance, and the co-responsibility of international cooperation particularly for financial support.

## The national policies and measures of the NLBI

Through the UNFF-resolution on the NLBI, member states commit themselves on a voluntary basis to implement 25 national policies and measures to foster SFM and to periodically report on progress to UNFF.

The 25 policies and measures essentially cover the following aspects (see Annex 2 for the full text of the NLBI):

1. Developing, implementing and updating the National Forest Programme (NFP)
2. Considering the seven thematic elements of SFM
3. Encouraging the use of instruments for environmental impact assessment (EIA) in projects that impact on forests
4. Enhancing the contribution of forestry to poverty reduction and sustainable development
5. Promoting efficient production and processing of forest products
6. Promoting the recognition and use of traditional forest-related knowledge
7. Further developing and implementing criteria and indicators for sustainable forest management
8. Promoting an enabling environment for private sector investment in SFM
9. Developing effective financing strategies for SFM
10. Promoting the recognition of values of goods and services provided by forests
11. Promoting cross-sectoral coordination for SFM (including NFPs)
12. Integrating NFPs or similar strategies into national development strategies and plans
13. Promoting partnerships for SFM
14. Reviewing and strengthening law enforcement and promoting good governance

15. Analyzing and addressing threats to forest health
16. Expanding and maintaining networks of protected forests
17. Assessing the condition and the management effectiveness of existing protected forest areas
18. Strengthening the contribution of science, research and technology to SFM
19. Promoting scientific and technological innovations
20. Promoting public understanding of importance of SFM and of benefits
21. Promoting access to education, extension and training on the implementation of SFM
22. Supporting education, training and extension programmes involving communities, forest workers and forest owners
23. Promoting active and effective participation
24. Promoting products of SFM forests through voluntary instruments (Certification)
25. Enhancing access of the local population to forest resources and relevant markets.

### The NLBI as an overarching policy framework

Although not legally binding, the NLBI is the first comprehensive international policy instrument dealing with all types of forests. It provides an overarching policy framework for “what” to do to achieve SFM and on how to create an enabling environment for SFM in general. In this sense, the NLBI strengthens the three pillars of forest governance: (i) policy, institutional and regulatory frameworks, (ii) planning and decision making processes and (iii) implementation, enforcement and compliance. In addition, it serves to intensify exchange of experiences and best practices at regional and international levels.

#### Box 2

##### Stakeholders

Stakeholders are persons, groups or institutions with interests in a project, program, or process

**Key stakeholders** are those who can significantly influence, or are important to the success of a project, program or process

**Multi-stakeholder** platforms in forestry usually include all relevant stakeholder groups, in particular government, civil society and the private sector. They may also include representatives of other relevant sectors.

At country level, the NLBI should be implemented through the National Forest Programme (NFP) or

similar forest policy platforms/processes. National Forest Programmes take into account the specific features of a particular country or region on “how” to implement SFM and are guided by the principles of country ownership, stakeholder participation and coordination with other sectors. Multi-stakeholder platforms established to guide the implementation of the NFP are also the ideal vehicle to implement the national policies and measures agreed in the NLBI.

Moreover, the NLBI can be a powerful tool to strengthen the National Forest Programme or similar national forest policy processes. It can help stakeholders to determine where a country stands in terms of implementing its National Forest Programme, including the enabling framework for sustainable forest management. The 25 national policies and measures of the NLBI reflect the sector as a whole and can provide a useful overview of successes and achievements as well as current challenges and priorities for action. For this reason monitoring and evaluation of the NLBI are of great importance.

As an overarching policy framework, the NLBI can serve to enhance coordination among various forest-related policy processes which, in most countries, are implemented in a fragmented manner. This fragmentation all too often leads to duplication of work and inefficient use of human and financial resources. In the worst case it can even lead to contradictory policy and legal provisions. Coordination is particularly important for forest-related initiatives such as Reducing Emissions from Deforestation and Forest Degradation (REDD+), the European Union’s Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan and related to this, the Voluntary Partnership Agreements (VPA) between the EU and partner countries. Coordination is also important with other forest-relevant sectors of the national economy.

### Why monitor the implementation of the NLBI through an M&E system?

The implementation of the NLBI (here also called “the NLBI process”) covers a broad range of issues and fields of intervention, from technical, institutional, structural and socio-economical to political issues. For countries wishing to strengthen their efforts towards achieving SFM through the implementation of the NLBI, it will be very beneficial to closely monitor this process. Monitoring will help forestry-related stakeholders to assess their situation vis-à-vis the policies and measures agreed in the NLBI. They will gain a better understanding

of progress achieved and the challenges they are still facing. By identifying the strengths and weaknesses of the National Forest Programme stakeholders will be able to pinpoint those areas that need the most urgent attention. Stakeholders will also learn to better understand the environmental, economic and social implications of SFM and the amount of effort, inputs and time needed for this purpose. Monitoring and evaluation (M&E) at country level will facilitate institutional learning and can help the Government and other stakeholders to exercise accountability to the public about actions taken.

Monitoring and evaluation of the NLBI process offers the possibility to harmonize the M&E systems of other existing forest-related policy processes such as the National Forest Programme, but also the FLEGT VPA or REDD+ initiatives. It thus facilitates the assessment of overall progress made towards SFM and the four Global Objectives (Box 1.).

The information on NLBI implementation generated through monitoring at country level will also be useful at the international level. In 2015, at the occasion of the Eleventh Session of the UNFF, the effectiveness of the NLBI will be reviewed and its contribution to SFM and to the achievement of the four global objectives on forests will be assessed. This international assessment will only

be possible if countries engaged in NLBI implementation report on progress made and their experiences with implementation. Therefore systematic monitoring and evaluation at country level will also provide important information on the overall effectiveness of the NLBI as an international policy instrument.

### **What is the purpose of this guide?**

The guide aims at facilitating the establishment of a monitoring and evaluation system for the NLBI in any country that is engaged in implementing the NLBI and wishes to assess its own progress and/or report on progress made to the UNFF. It should also help the stakeholders involved to better understand the elements that constitute an M&E process (establishment of a baseline, result-oriented planning, identification of priorities, verification of results and formulation of indicators, etc.) and the steps required to establish and implement an effective M&E system.

The guide is based on the experience of Ghana where the Ghana Forestry Commission in 2009-2010 developed and introduced an M&E system for the implementation of the NLBI. It shows that this can be done in a relatively simple and pragmatic way that is tailored to the human and financial resources available in the country.

# Methodological aspects of an M&E system for the NLBI

## **General aspects**

Government agencies and other stakeholders engaged in the implementation of the NLBI will be interested to know which of the human and financial investments undertaken will lead to the intended change. Monitoring and evaluation, which is an essential component of implementation, will:

- indicate the results of the activities undertaken in the context of the NLBI (impacts, intended or unintended changes, positive or negative results, etc.)
- suggest how the efficiency of the NLBI implementation can be improved
- indicate the amount of human and financial resources necessary to reach the desired results
- take account of and provide adequate links to other forest-relevant M&E-systems.

The case of Ghana also shows the benefits of involving

all relevant stakeholders in the NLBI implementation process early on for subsequent monitoring and evaluation. A wide range of stakeholders participated in regional and national workshops to raise awareness of the NLBI and assess the country's situation vis-à-vis the 25 national policies and measures. Stakeholders gained a better understanding of policies and actions needed to strengthen the National Forest Programme and achieve progress towards SFM. They became interested in contributing to the implementation of the NLBI and to participate in the monitoring of progress made. Assessing stakeholder perceptions will therefore be an essential component of the M&E system.

The M&E system to be developed for the implementation of the NLBI should be in line with the available

resources and should be complementary to the other relevant existing M&E systems.

### The baseline

At the beginning of the NLBI implementation process, it is useful to obtain a good understanding of the country's current situation with respect to SFM. This may be best achieved by undertaking a review of the National Forest Programme through a systematic assessment of the country's current situation vis-a-vis the 25 policies and measures agreed in the NLBI. This so-called "baseline information" (Box 3) will enable stakeholders later on to compare changes achieved through the NLBI process with the initial situation and see whether or not progress has been made towards SFM. The baseline information thus represents a benchmark against which management-induced changes can be identified and measured. This information is usually gathered through a baseline assessment or survey.

#### Box 3

##### Baseline information

**Information** (facts and figures) collected at the initial stages of a project (or process) that provides a basis for measuring progress in achieving objectives and outputs

##### Baseline survey/ study/ assessment:

An analysis describing the situation in a project area – including data on individual primary stakeholders – prior to a development intervention

(IFAD M&E Guide 2002)

A systematic collection of baseline information should take place as soon as possible after the NLBI implementation process has started. All relevant stakeholders and implementing agents should have a reasonable understanding of the purpose of the NLBI, its role and the benefits of implementing it. The collection of baseline information will facilitate the planning of the implementation process and presents an opportunity to mobilize the commitment and involvement of all important stakeholders.

The baseline assessment should be based to the extent possible on available sources of data, thus avoiding duplication of data collection. It should be limited to the minimum information required to obtain a good understanding of the current situation. The amplitude and depth of the baseline assessment, of course, depend on the intended specificity and preciseness of the information

needed, as well as on available human and financial resources. Chapter 3.2 provides more detailed information on the organization of a baseline assessment.

The NLBI baseline assessment may also include gathering information on existing forest-related programs and projects as well as on existing forest-related M&E systems, and identifying important stakeholders and their potential integration into the NLBI process.

### Indicators

The information gathered for the baseline facilitates the identification of indicators of progress. Indicators are needed to determine whether and to what extent the objectives and expected results are being achieved through the NLBI process within a specific time frame (Box 4).

#### Box 4

##### Indicators vs. targets:

**Indicators** are the means by which change is measured

**Targets** are the value to be reached by a particular date

**Indicator:** A quantitative or qualitative measure of performance that is used to demonstrate change and provides details on the extent to which results are being or have been achieved.

##### Types of indicators:

- **Output** indicator (Ex: number of practices proposed for SFM)
- **Outcome** indicator (Ex: number of SFM regulations enacted)
- **Impact** indicators (Ex: effect on living standards through SFM)
- **Process** indicator (Measure of performance that assesses how a specific process affects stakeholder expectations, thus permitting modification of the process)

##### Indicators should be "SMART":

- Specific
- Measurable
- Attainable
- Relevant
- Time bound

(World Bank)

Comparing the achievement of indicators with the baseline situation will provide a reasonable picture of the quality and effectiveness of the NLBI implementation process. Indicators provide a means of measuring achievement,

assessing performance and reflecting changes occurring as result of the NLBI implementation. They can be quantitative or qualitative and can focus on inputs, outputs, impacts or the implementation process itself (Box 4 and Box 6).

Indicators should be selected carefully following the “SMART” principle. When selecting indicators, it should be kept in mind that a larger number of indicators implies that more time and efforts are needed for measurement which in turn results in higher costs. It is therefore important to find the right balance between desired precision and feasibility of measurement. In general it is preferable to select a limited number of key indicators that are easy to assess while providing a reasonable measure of progress achieved. Examples of indicators for the achievement of possible outcomes from implementing the 25 policies and measures of the NLBI are provided in Annex 1.

The identification of appropriate indicators is not an easy task. While it may be useful to engage experts, it is equally important to involve key stakeholders in the process of identifying indicators in order to ensure their identification with and ownership of the subsequent M&E process.

### The different roles of monitoring and evaluation in an M&E system for the NLBI

As the term indicates, monitoring and evaluation incorporates two distinct components: a monitoring and an evaluation part (Table 1).

Monitoring involves the regular follow-up of how the implementation of the NLBI is proceeding, how the allocated resources are used and what progress is being made. The frequency of the monitoring will be defined by each

country in accordance with its financial and human resources as well as with existing national reporting requirements. As long as methodologies are consistent, continuity can be ensured even if monitoring is conducted at longer intervals, for example, on a yearly basis.

Since it would be time-consuming and costly to monitor all 25 policies and measures of the NLBI, countries may decide to monitor only those priority issues that emerged from the baseline assessment and that are key to strengthening the National Forest Programme and accelerating progress towards achieving SFM.

Evaluations are conducted periodically. Through the evaluation part of the M&E system it will be possible to verify whether or not the targets have been met, which were set for a previously determined planning cycle for NLBI implementation. The results of the evaluation show whether or not change has taken place with regard to the overall objective of SFM, compared to the beginning of the planning cycle. On the other hand they allow for necessary adjustments during the next planning cycle of the NLBI implementation process. Periodic evaluations should include all 25 policies and measures of the NLBI in order to obtain a picture of the overall progress made towards SFM.

As the reporting cycle for the UNFF is two years, evaluations could be conducted at two-year intervals. Depending on human and financial resources available, evaluations may also be conducted at shorter or longer intervals. In the case of Ghana the Forestry Commission has decided that evaluations are to be conducted annually, but it is likely that the interval will be longer once experience has been gained in implementing the evaluation.

**Table 1 - Indicators vs. targets:**

Monitoring	Evaluation
<ul style="list-style-type: none"> <li>- Clarifies program objective</li> <li>- Links activities and their resources to objectives</li> <li>- Translates objectives into performance indicators and sets targets</li> <li>- Routinely collects data on these indicators, compares actual results with targets</li> <li>- Reports progress to managers and alerts them to problems</li> </ul>	<ul style="list-style-type: none"> <li>- Analyzes why intended results were or were not achieved</li> <li>- Assesses specific causal contributions of activities to results</li> <li>- Examines implementation process</li> <li>- Explores unintended results</li> <li>- Provides lessons, highlights significant accomplishments or program potential, and offers recommendations for improvement</li> </ul>

## Result-orientation of the M&E system for the NLBI

Monitoring and evaluation of NLBI implementation should focus on the achievement of results and impacts rather than on the completion of activities and outputs, i.e. both parts of the M&E system should be result-oriented. The results chain in Box 5 illustrates this process. Essentially it implies that the M&E system should help to determine to which extent the outputs of NLBI implementation are used by different stakeholders to improve the National Forest Programme and, ultimately, lead to sustainable forest management.

Results- or impact orientation also suggests that the institution leading the NLBI implementation should define – jointly with stakeholders - the expected short- and longer-term results of this process. This underlines the importance of planning in the NLBI implementation. It means that expected results should be formulated for the priority policies and measures of the NLBI that are selected for monitoring as well as the remaining ones that are assessed during evaluations. Through the M&E system stakeholders will be able to determine whether the implementation of the NLBI is leading to the expected short- and longer-term results. Annex 1 provides examples of possible results to be formulated for the 25 policies and measures.

Indicators will be formulated to measure the achievement of the expected short- and longer-term results (outcome, impact), rather than for measuring the outputs of the NLBI implementation. Outputs can, at the most, serve as milestones (see Box 10) in NLBI implementation.

During the planning of NLBI implementation specific inputs and activities will be identified that are expected to lead to the envisaged outputs. A results-oriented M&E system will periodically verify this initial hypothesis. If the findings of monitoring and evaluation show that inputs and outputs do not lead to the expected results, the results chain may have to be adjusted and new activities may have to be identified to strengthen NLBI implementation.

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### Box 5

#### Results-Chain

##### Input(s):

e.g. Experts, Equipment,  
Material, Funds

...will lead to:

##### Output(s):

e.g. Studies completed;  
People trained; Road  
constructed; Forest laws  
reviewed

The use of output(s) will lead to short term result(s):

##### Outcome(s)

e.g. Income increased; Jobs  
created; Marketing improved;  
Forest laws enforced

...and eventually to longer term result(s):

##### Impact

e.g. Health conditions  
improved; Illegal use of forest  
resources diminished

### Lessons from international experience: success factors for M&E systems

International institutions such as the World Bank and Organizations of the United Nations have a long history of following up their programs and projects through M&E systems. Others, like OECD, have been systematically observing and analyzing international experience in the development and application of M&E systems.

These accumulated experiences can help to avoid pitfalls and stumbling blocks when designing an M&E system for NLBI implementation. The lessons learned can also be helpful in selecting approaches that have proven to be effective and informative. Some of the key lessons are summarized here:

- A key factor for the success of M&E is that the results are actually used, especially by the government. Hence the first step in the development of an M&E system for the NLBI should be to find out who will use the results of the M&E and how effective utilization can be achieved.
- National demand and ownership are important. If there is no strong and continuous demand on the national side, the M&E system will not be sustainable. This is, for example, the case if a national monitoring system is designed primarily to meet short or medium term data requirements of donors. Therefore it is important to analyze the potential national demand for the information produced by the M&E system for the NLBI.
- The M&E system for the NLBI should be simple but analytical. The Big Mac-Index (Box 6) shows that this is possible.

- Countries often have limited human and financial resources for conducting M&E. Relying on external sources for funding affects the national “ownership” of the M&E process, the applicability of M&E findings in the national context, and the sustainability of the M&E process. In order to avoid unnecessary dependence on external financing, it is useful to estimate the costs of the proposed M&E system for the NLBI and consider ways to adjust the costs to available budgets. For example, the integration and use of existing M&E systems of SFM-relevant projects and programs can help to reduce costs. For this reason it is recommendable to include a review of existing and relevant M&E systems in the baseline assessment.
- As data access and quality are often a challenge, it is important to clarify, before designing an M&E system, the amount and types of data that would be required to adequately measure the indicators and how the necessary data can be obtained.

Taking into consideration the lessons learned from international experience some basic principles for the M&E system for the NLBI can be formulated (Box 7).

#### Box 6

##### The Big Mac-Index

It represents a striking example for combining pragmatism and simplicity with analysis. In the past the international comparison of the purchasing power in different countries was a costly and time-consuming process. Today this is done through the **Big Mac Index** by simply comparing the prices for a Big Mac in different countries, which reflects fairly precisely the difference in the purchasing power of the selected countries.

#### Box 7

##### Principles of the M&E system for the NLBI

The M&E system should:

- be flexible and adaptive, in order to allow for changes in the implementation process of the NLBI
  - be realistic and avoid being too ambitious, both in view of its sophistication and in terms of time and budget
  - be analytical and focus on the “why?” and “so what?”
  - produce relevant and useful information for stakeholders involved in SFM
  - be result-oriented instead of being activity-oriented
- address the five key questions of relevance, effectiveness, efficiency, impact and sustainability of the efforts undertaken for SFM through the NLBI implementation.

## How to organize an M&E system for the NLBI at country level

### Creating positive conditions for M&E

When initiating the development of the M&E system for the NLBI, consideration should be given to key issues which are important to ensure its success. Box 8 provides a list of questions that are useful to answer in this context. Answering the questions of Box 8 helps to clarify roles and responsibilities, incentives, resources,

links to existing M&E systems and data availability and to identify potential challenges for each of these.

The clarification of the questions raised in Box 8 does not require a lengthy research process. Most of the questions can be answered with an adequate degree of exactness through a half-day brainstorming by a limited group of people who are familiar with the forestry-related situation in the country. The result of this brainstorming sets the stage for the NLBI implementation and helps to carry out the next preparatory steps of the development of the M&E system in an organized way.

## Box 8

### Key questions to consider before developing an M&E system for the NLBI

- Who is likely to be using the results of the monitoring and for which purpose? Will there be a Government demand for monitoring the NLBI?
- Who are the stakeholders for SFM and for the NLBI implementation? What are the motivations of the different stakeholders to participate?
- Which stakeholders have an interest in or push for more accountability of progress in improving the management of forest resources? International donors? Other Government sectors? Ministry of Finance? Private sector? Communities? etc.)
- What will be the (approximate) budget for the M&E system for the NLBI? Which will be the sources of financing for the M&E system? Who will make sure that the M&E system is kept simple and tailored to the available resources?
- Which circumstances and deadlines have to be observed for the introduction of an M&E system for the NLBI? (National Development Plan; Annual budget; Elections; International funding negotiations; Preparation of UNFF meeting; etc.)
- How can existing M&E systems be integrated into the NLBI monitoring? (Systematic stocktaking and diagnosis of opportunities)
- What are the sources, the accessibility and the quality of the necessary data for the baseline assessment and the implementation of the M&E system for the NLBI?

Which national institution(s) will be responsible for decision making, implementing and assessing results of the M&E system for the NLBI? (National Forest Administration? Other ministries or national authorities? Research institutions? NGOs? Etc.)

## Establishing a baseline for NLBI implementation

A baseline assessment describes the situation with respect to the policies and measures of the NLBI in a country prior to, or in the early stages of the implementation of the NLBI. Later on, it is used as a benchmark against which changes induced by the implementation of the NLBI can be identified and measured.

A baseline assessment can be conducted in different ways:

- It may be based on the collection of quantitative data for the 25 policies and measures of the NLBI. In many situations this may be a time-consuming and costly process, especially when data availability is low.
- The assessment may be based on qualitative information, for example, from stakeholder interviews or surveys. They can be used to assess the perceptions of a wide range of stakeholders of the country's situation vis-à-vis the 25 policies and measures of the NLBI.

In Ghana, for example, stakeholders were invited to three regional and one national workshop, where they were familiarized with the NLBI process. Stakeholders included members of the District Forest Fora and of the National Forest Forum (the forestry stakeholder platforms), representatives of civil society organizations, private sector and local, regional and national government, as well as local

## Box 9

### A simple scoring system for the baseline (Example: Ghana)

In Ghana at three regional and one national stakeholder workshops, the 25 NLBI policies and measures were assessed and scored, using a numbered scale graduated from 0 to 3 with the following definitions:

0 - The measure has not yet been undertaken

1 - Just started; plenty of room for further attention

2 - Action initiated; is progressing well within the NFP process

3 - Action carried out to full satisfaction; can serve as a model for others to follow

The regional workshops were also used to prioritize actions for moving Ghana forward in the implementation of the NLBI towards SFM. Participants were given three voting rights each, which they were able to allocate to those NLBI policies and measures they rated as priorities.

chiefs and community representatives. They were asked to grade the actual SFM-related situation in Ghana according to the 25 policies and measures of the NLBI using a simple scoring system ranging from 0 to 3. (Box 9)

This scoring by stakeholders, based on their individual knowledge and perception of the SFM-situation in the country, produced a fairly reliable approximate value of the actual situation. Later this information was completed by interviews with key stakeholders on specific issues, as well as through the analysis of available documents.

This participatory baseline assessment through the stakeholder workshops was accompanied by an inventory of all ongoing initiatives in the country that are related to the 25 policies and measures of the NLBI. The different initiatives were grouped under the relevant policies and measures. The inventory made visible, which of the policies and measures were already well covered by development initiatives and which had not received much attention thus far. It also allowed to identify possible partners for future initiatives and to establish a relationship between the inventory results and the results of the perception-based assessment by the stakeholders. The results of the three regional workshops were later on discussed and validated at a national workshop. At this workshop four policies and measures were confirmed as top priorities for Ghana:

1. Promote cross-sectoral coordination for SFM
2. Strengthen law enforcement and governance
3. Develop effective financing strategies for sustainable forest management
4. Further develop and implement the NFP and ensure its integration into the national development programs.

In addition, three crosscutting issues were also identified as priorities: gender, education and training, and science and technology. The scoring by the participants of the different meetings showed very clearly where Ghana stood

at this particular moment with regard to its National Forest Programme and its efforts to achieve SFM. It also highlighted what had already been achieved and where the major gaps were.

The approach used in Ghana was much less costly and time consuming than a scientific baseline study would have been. Nevertheless, it produced sufficiently reliable information on the baseline, which will permit to analyze the changes achieved through the NLBI implementation process at a later stage.

In order to facilitate the scoring by stakeholders, the text of the 25 policies and measures was reduced to a simplified core message, as the five examples in Table 2 show.

As part of the baseline assessment, it is also useful to carry out a stakeholder analysis if it has not yet been done in the context of the National Forest Programme (Box 10). Stakeholder analysis helps to identify which stakeholders should be involved in NLBI implementation and in monitoring and evaluation of progress achieved. It also helps to differentiate between those stakeholders that are likely:

- to be affected by the implementatin of the NLBI (positively or negatively; directly or indirectly). Stakeholders that are strongly affected should have high importance.
- have an influence on the outcome of the NLBI implementation (positively or negatively; directly or indirectly).

**Box 10 Stakeholder Analysis (Example: Ghana)**

Stakeholders of High influence And High importance  <i>(to be closely involved)</i>	Stakeholders of High influence And Low importance
Stakeholders with Low influence And High importance	Stakeholders with Low influence And Low importance  <i>(can be neglected)</i>

**Table 2 - Original NLBI text vs. simplified core message – 5 examples**

Original text of the NLBI	Simplified core message for stakeholder scoring
(1) Develop, implement, publish and, as necessary, update national forest programs or other strategies for sustainable forest management which identify actions needed and contain measures, policies or specific goals, taking into account the relevant proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests and resolutions of the United Nations Forum on Forests	(1) Develop and implement National Forest Program (NFP)
(2) Review and, as needed, improve forest-related legislation, strengthen forest law enforcement, and promote good governance at all levels in order to support sustainable forest management, to create an enabling environment for forest investment and to combat and eradicate illegal practices according to national legislation, in the forest and other related sectors;	(2) Strengthen law enforcement and promote good governance
(3) Promote the use of management tools to assess the impact on the environment of projects that may significantly affect forests, and promote good environmental practices for such projects	(3) Promote EIA on projects that impact on forests
(4) Develop financing strategies that outline the short-, medium- and long- term financial planning for achieving sustainable forest management, taking into account domestic, private-sector and foreign funding sources	(4) Develop effective financing strategies for SFM
(5) Identify and implement measures to enhance cooperation and cross-sectoral policy and program coordination among sectors affecting and affected by forest policies and management, with a view to integrating the forest sector into national decision-making processes and promoting sustainable forest management, including by addressing the underlying causes of deforestation and forest degradation, and by promoting forest conservation	(5) Promote cross-sectoral coordination for SFM

**Organizing monitoring and evaluation of NLBI implementation**

**Preparatory steps**

The design of the M&E system for the NLBI consists of a series of steps which can be carried out consecutively or together. In order to ensure identification with and ownership of the M&E process by relevant stakeholders, the planning and design of the M&E system should be conducted involving existing multi-stakeholder fora, such as those established in the context of the National Forest Programme.

Essentially, six steps are required to develop a good M&E system for the NLBI:

- Identification of key stakeholders for M&E;
- Definition of scope, purpose, intended use and potential users;
- Determination of expected results, milestones, indicators and baseline information requirements;
- Identification of methods and frequency of data-gathering and data management;
- Mechanisms for analysis and feedback to decision makers;
- Establishment of time frame and budget for M&E.

Box 11 provides a “checklist of things to do” when designing a monitoring and evaluation system for the NLBI.

### Box 11

#### Checklist for introduction of M&E for the NLBI

- Identify major stakeholders inside/ outside forestry and their role for NLBI implementation
- Define expected results of NLBI implementation
- Meet with decision makers and key stakeholders for general agreement, responsibilities and support, and timetable for M&E for NLBI implementation. Decide how to conduct the baseline assessment and determine the type and amount of information required
- Define monitoring needs for the NLBI process in relation to available resources (periodicity of monitoring and evaluations, indicators and information needs, methods and responsibilities for data-collection; Etc.)
- Identify and integrate to the extent possible relevant M&E systems of other forest-related programs
- Calculate human and financial resources needed for M&E and secure financing
- Elaborate draft of M&E system and arrange pre-test; integrate results of pre-test into final draft

Report back to decision makers and major stakeholders for agreement on the final version of the M&E system, on roles and responsibilities and a time table for the implementation of the M&E system for NLBI

### Box 12

#### Milestones

Milestones show important achievements or a point of time in a project. They represent minimal points of control in the project particularly for those stakeholders that are not too closely connected with it.

Major milestones mark the transition of a project from one phase to another. They may represent the production of specific goods or services, a major decision having been taken, or a document having been accepted. Members of the project team usually do the actual definition of milestones.

Example:

If building a house were the expected outcome of a project, milestones would be:

- "The basement will be finished on Monday"
- "The roof will be installed by the end of July"
- "The solar panels on the roof will be connected at the end of August"

#### Developing the monitoring system

As mentioned under Paragraph 2.4, monitoring all 25 policies and measures of the NLBI at frequent intervals will most likely be too costly and time-consuming in many countries, especially when data is not readily available or easily collected. Therefore, it is suggested to focus monitoring on the priority issues that emerge from the baseline assessment and that are key to strengthening the National Forest Programme and accelerating progress towards achieving SFM. These will of course vary by country and will depend on specific country situations.

After defining the expected outcome for each selected policy/measure, indicators for the achievement of this outcome are identified. It is recommended to limit the number of outcome indicators to one or two that can be easily measured. The next step is to define milestones (Box 12) or outputs for the expected policy/measure, which are the product of activities undertaken to implement the policy/measure. Similarly to the indicators, it is recommended to identify a limited number of milestones or outputs. Tables 3 and 4 provide examples from the NLBI monitoring system of Ghana for two of the selected priority policies and measures.

**Table 3: Monitoring of “Strengthening forest law enforcement and governance” in Ghana**

Expected Outcome	Outcome Indicator (only one indicator)	Milestones (Outputs of NLBI Activities)	Time frame	Sources of Verification	Important Players	Responsibilities
Forest laws are known and respected by all forest users	Number of reported illegal offences in forestry reduced by ...%		At the end of the first 3-year phase of NLB I implementation	Police reports; Judicial reports; Reports of Forest District Managers and wildlife park managers	Forestry Administration (Monitoring Unit, etc.); Ministry of Lands and Natural Resources;	National Forest Administration
		1.1) Review of forest-related legislation to remove contradictions and inconsistencies	6 months after start	Ministry of Lands and Natural Resources; Forestry Administration	Military & Police Service; Community Resource Management Committees;	National Forest Administration
		1.2) Capacity for conflict management and resolution (e.g. arbitration) in law enforcement enhanced	By the end of the first year	Reports of District Managers of Forest Service, Wildlife Division, and other divisions	VPA, REDD; Civil Society;	National Forest Administration
		1.3) Traditional Authorities and Community Resource Management Committees: Capacity for involvement in law enforcement strengthened	Until the end of the first phase of implementation	Official means of information; Ministry of Lands and Natural Resources; District Assemblies	Traditional Authorities; Timber Companies; Private forest users	National Forest Administration
		1.4) Capacity building of law enforcement agencies on policies/ laws conducted	Until the end of the first phase of implementation	Trainees (interviews)		National Forest Administration
		1.5) Improvement of knowledge in laws/ bye laws by law enforcement agencies	Until the end of the first phase of implementation	National Forestry Administration		National Forest Administration

**Table 4: Monitoring of “Developing financing strategies for SFM” in Ghana**

Expected Outcome	Outcome indicator  (If possible only one indicator)	Milestones (Outputs of NLBI Activities)	Time frame	Source Of Information	Important Players	Responsibilities
National Financing strategy for SFM in place and operational	Annual financial needs for SFM known		At the end of the first 3-year phase of NLBI implementation	Finance Unit of Forest Administration	National Institutions  Intl Orgs & Programs  Private sector	National Forest Administration  Ministry of Finance
		1) Financial Performance Plans for SFM formulated	6 months after start	Annual Reports OF FA FINANCILA UNIT;  Forest Administration National budget		
		(2) Proposals formulated to generate internal and external funds	6 months after start	Annual Reports of FA Financial Unit;  Forest Administration National budget		
		(3) SFM financing plan given priority in national accounting system	By the end of second year	Annual Reports of FA Financial Unit;  National Forest Administration budget		

Monitoring is closely linked to result-oriented planning of the NLBI implementation (see 2.5). It involves defining the expected result for each of the selected policies and measures with a respective indicator, identification of sources of verification and information on important players and their roles and responsibilities. In Ghana, the proposal for a result-oriented monitoring of the four selected priority issues was elaborated within three days by a local team from the Forest Research Organization of Ghana (FORIG), supported by an international consultant.

Monitoring of the NLBI should be organized in conjunction

with result-based planning of the NLBI implementation and needs to be in line with already existing planning processes of the National Forest Administration. Therefore it is very important to report back the planning proposals for the NLBI implementation to decision makers of the Forest Administration in order to ensure that they are harmonized with and incorporated into the mainstream planning procedures of the administration.

## Developing the evaluation system

While monitoring focuses on the priority policies and measures that have been selected because they require particular attention in order to strengthen the country's National Forest Programme, evaluation should, in principle, consider all 25 policies and measures of the NLBI. Countries may, however, decide to leave out or combine specific policies and measures, which are of lesser importance or are not applicable in their particular situation.

For each of the NLBI policies and measures an expected result is defined. For this result, a key indicator is identified as well as the sources of information to be used to verify the achievement of the indicator. Milestones (Box 12) may be formulated as intermediate steps on the way to the expected outcome.

In Ghana it was decided to evaluate the policies and measures through stakeholder assessments, using the same scoring system as applied in the baseline assessment (Box 9). An example for the evaluation of one of the policies and measures in Ghana is provided in Table 5. Annex 1 offers proposals for results and indicators for the evaluation of the policies and measures of the NLBI.

The quality of the perception-based baseline assessment by stakeholders depends on:

- the stakeholder's knowledge of the activities and programs in the forest sector of the country;
- their familiarity with the NLBI;
- the representativeness of the stakeholders (governmental vs. non-governmental, national vs. local, different levels of decision-making, etc); and
- the continuity of involvement in the NLBI implementation.

The results of the scoring need to be analyzed and interpreted. This can be done either by the participants of the evaluation or through a smaller group of key stakeholders. This analysis should clarify the following questions:

- Does the scoring provide a coherent answer on why intended results of the NLBI process were or were not achieved?
- Can results be attributed to NLBI-related activities?
- How is the overall implementation process of the NLBI to be valued (which are the strongest/ weakest points)?
- Which lessons does the NLBI implementation process provide so far, and which accomplishments highlight the potential or the weaknesses of the approach?

**Table 5: Evaluation of “Developing and implementing the National Forest Programme” in Ghana**

Expected result (Outcome)	Milestones	Indicator	Source of information	Score**			
				0	1	2	3
National forest and wildlife policy implemented in accordance with NFP principles	1.1 Existing National forest and wildlife sector strategies/ programs evaluated, taking into account the seven thematic elements of SFM	Coherence of Forest Master Plan with NFP	Forest Policy and Master plan				
	1.2 NFP proposals and principles integrated in National forests and wildlife sector plan		National forests and wildlife sector plan				
	1.3 Developed /updated National Forest and Wildlife Sector strategies/program (published and made available) to all stakeholders across the country		Publicity material				
	1.4 National Forest and Wildlife Sector strategies/program implemented at National, Regional and District levels		National, Regional and District work plans				

- Which unintended results of the NLBI implementation process can be observed?
- Which recommendations can be drawn from the evaluation for the improvement of the NLBI process?

This auto-evaluation by the stakeholders can be complemented, if necessary and if resources permit, by an evaluation carried out by an independent consultant or a team of experts. In this case, a systematic analysis of all available information (including interviews with important stakeholders) is recommended.

### Collection and analysis of data for M&E

The availability and quality of information and data is very important for the quality of the M&E for the NLBI. On the other hand, data collection can easily become a time-consuming and costly exercise. The policies and measures of the NLBI cover a broad range of issues which are not easy to capture and for which quantitative data is often either not available or not reliable. As a rule it is more difficult to produce quantitative information because of the extent of data gathering and verification of information involved. It is therefore important to find a balance between the frequency of measurement, the precision and extent of data collection and cost. Data collection should be guided by the following principles:

- Keep it to the minimum necessary to gauge progress and to identify possible challenges to NLBI implementation that need to be addressed;
- Cover the issues required for national and international reporting, e.g. to the UNFF;
- Adjust the data collection efforts to available human and financial resources as well as to institutional capacity.

Box 13 offers some useful questions to be asked to facilitate decisions about data collection and analysis for monitoring and evaluation of the NLBI.

The key criteria for effective data collection and analysis are reliability, validity, and timeliness.

- Reliability means that data collection should be consistent over time, i.e. during the NLBI implementation. The measurement of the indicators should be conducted the same way every time. For example, if the evaluation of the NLBI process is mainly conducted through scoring by the stakeholders of the NLBI, the scoring system used should be the same during the whole period and the composition of the participants doing the scoring should also not change too much.
- Validity means that the use of indicators and the data collection should reflect a reliable and credible picture

of the actual performance levels of the NLBI process. The results of the monitoring should not be used to brighten the actual situation. Monitoring systems need to report all data, both good and bad. For example, the official statistics might signal a decline in recorded forest offences, which could be interpreted as a result of NLBI implementation in the field of law enforcement, if there were not alarming reports from regional forest officers that the intensity of criminal prosecution has declined substantially at the provincial and local level in the same period.

- Timeliness means in the first place that data are collected frequently enough so that the NLBI process can be genuinely assessed and used for learning and potential re-orientation. It also means that data must be available to decision makers when they need it.

Since data and information collection has key importance for building an effective monitoring and evaluation system for the NLBI implementation, a pretesting of the envisaged data collection instruments and procedures may be useful. A pilot phase can help to improve instruments or procedures before data collection gets fully under way. Pretesting can also help to avoid mistakes, which later on could cost the country a lot of time and money.

In Ghana a test of the proposed M&E system for the NLBI was carried out several weeks before the final draft of the M&E system was submitted to the decision makers for adoption. The pretest not only helped to improve procedures, but it also contributed to the clarification of responsibilities and improved the credibility of the final proposal. More details about the pretesting in Ghana can be found in Annex 3.

#### Box 13

##### Deciding about data collection and analysis

In Ghana at three regional and one national stakeholder workshops, the 25 NLBI policies and measures were assessed and scored, using a numbered scale graduated from 0 to 3 with the following definitions:

0 - The measure has not yet been undertaken

1 - Just started; plenty of room for further attention

2 - Action initiated; is progressing well within the NFP process

3 - Action carried out to full satisfaction; can serve as a model for others to follow

The regional workshops were also used to prioritize actions for moving Ghana forward in the implementation of the NLBI towards SFM. Participants were given three voting rights each, which they were able to allocate to those NLBI policies and measures they rated as priorities.

## Institutional arrangements

International experience shows that the success of M&E systems depends on some basic elements like ownership, management and – as a result of these - credibility:

- Ownership of an M&E system for the NLBI expresses itself mainly through the genuine demand for the results of the monitoring by key stakeholders and decision-makers. If, for example, establishment of an M&E system for the NLBI is mainly driven by international development partners and the Forest Administration is not the principal interested party, the M&E process will not be sustainable.
- Good management basically means a clear arrangement of roles and responsibilities for the M&E system. Maintenance of the monitoring system is essential, to prevent it from losing its usefulness. It is important to know who will collect what kind of information and when, and to ensure that information is flowing horizontally and vertically in the system. Responsibility includes several levels, which might play a role at different phases of the implementation process.
- Credibility is mainly demonstrated through the degree at which decision makers use the results of the monitoring to improve forest policy and enhance the National Forest Programme.

Ownership, management and credibility rely on the institutional arrangements, which will be established for the M&E system for the NLBI. Monitoring and evaluation of NLBI implementation should be conducted under the overall responsibility of a national government institution capable of taking political and strategic decisions. In most cases, the National Forest Administration will assume the overall responsibility and coordination of the NLBI monitoring. Depending on the specific situation in a country, different institutions and persons may be involved in the management of particular aspects of the NLBI monitoring, including representatives of the civil society organizations engaged in the forest sector or research organizations. It will also be useful to establish institutional links to, for example, National Planning Commissions or divisions in Finance Ministries responsible for overall planning and budgeting. In Ghana, for example, the M&E system for the NLBI was prepared and tested by the Forest Research Institute of Ghana (FORIG) under the overall responsibility of the Ghana Forestry Commission and assisted by an international expert. FORIG collaborated closely with the National Development Planning Commission (NDPC). Table 6 provides examples for institutional arrangements and responsibilities during different phases of the M&E development process.

**Table 6: Examples of roles and responsibilities for M&E development for the NLBI**

Elements of M&E system for NLBI	Institution	Description of Responsibility
<b>(a) Baseline assessment</b>	<ul style="list-style-type: none"> <li>- Under the overall responsibility of the National Forest Administration a sub-contractor might be charged with this task (e.g. a forest research Institute of the country or of the region, a qualified NGO, or private company)</li> <li>- Existing forest programs and projects</li> </ul>	<ul style="list-style-type: none"> <li>- Elaboration of a systematic approach</li> <li>- Organization of stakeholder workshops</li> <li>- Supplementary research for baseline data</li> <li>- Summary report on baseline survey to National Forest Administration</li> <li>- Additional information about situation in their respective fields of intervention</li> </ul>
<b>(b) Elaboration of proposals for the monitoring and evaluation components of the M&amp;E system (including testing)</b>	Same as under (a)	<ul style="list-style-type: none"> <li>- Elaboration of a draft proposal</li> <li>- Review with forest administration</li> <li>- Testing and review of draft proposal</li> <li>- Reporting back to forest administration and decision makers from other parts of government</li> <li>- Elaboration of final version</li> </ul>
<b>(d) Introduction and management of M&amp;E system</b>	National Forest Administration (or Government agency in charge of forest policy and management)	Overall responsibility

## Links with other relevant M&E systems

As mentioned earlier, the main objective of NLBI is to create an enabling environment for SFM at the political level of a country. In countries with a National Forest Programme, the M&E system for the NLBI should be established and implemented through the NFP. Moreover, the NLBI should facilitate the creation of the necessary enabling conditions for the harmonization and coordination of other forest development processes and measures (particularly REDD+, FLEGT, and VPA) with the National Forest Programme.

As a rule, a number of forest-related programs and activities already exist prior to the start of the NLBI implementation process, some of which may already have an M&E system. To the extent possible, these M&E systems should be integrated into the M&E system for the NLBI. This will help to avoid duplication of efforts and reduce the financial burden of NLBI monitoring. It will also contribute to a better integration of the ongoing SFM-related initiatives into the NLBI process, thus strengthening the role of the NLBI as the overarching policy framework in forestry.

For example, the REDD+ program of a country could contribute to the monitoring of the policies and measures of the NLBI that are related to the REDD+ safeguards (Box 14).

A country might implement a program or project aimed at poverty alleviation, generation of alternative income sources at the community level, including through forest-related

activities, and at the improvement of the enabling political and administrative environment at higher levels, also including the forest sector. This program could potentially contribute to the monitoring of the following policies and measures of the NLBI:

*(d) "Develop and implement policies that encourage the sustainable management of forests to provide a wide range of goods and services, and that also contribute to poverty reduction and the development of rural communities"*

*(j) "Encourage recognition of the range of values derived from goods and services provided by all types of forests and trees outside forests, as well as ways to reflect such values in the marketplace, consistent with relevant national legislation and policies"*

*(y) "Enhance access by households, small-scale forest owners, forest dependent local and indigenous communities, living in and outside forest areas, to forest resources and relevant markets in order to support livelihoods and income diversification from forest management, consistent with sustainable forest management"*

For the above reasons it is important to identify and analyze the existing M&E systems with relevance to SFM during the baseline assessment and identify opportunities for integrating them into the NLBI monitoring system. At the same time it is important that all parties involved in the NLBI monitoring, either from the forestry side or from other cooperating sectors or programs have a clear understanding of their respective roles and responsibilities from the beginning.

### Box 14

#### Safeguards for REDD+

- (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
- (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions".

# Glossary of terms

EIA	Environmental Impact Assessment
ES	Environmental Service
FA	Forest Administration
FLEGT	Forest Law Enforcement, Governance and Trade
IFAD	International Fund for Agricultural Development
NDPC	National Development Planning Commission
NLBI	Non-legally Binding Instrument on all Types of Forests (Forest Instrument)
NGO	Non-governmental Organization
M & E	Monitoring & Evaluation
MDG	Millennium Development Goals
REDD+	Reducing Emissions from Deforestation and Forest Degradation
PES	Payment for environmental services
SFM	Sustainable Forest Management
SMART	Desired characteristics of indicators: <b>S</b> pecific, <b>M</b> easurable, <b>A</b> ttainable, <b>R</b> elevant, <b>T</b> ime bound
TEEB	Global study on the Economics of Ecosystems and Biodiversity
UNFF	United Nations Forum on Forests
VPA	Voluntary Partnership Agreement

# Annexes

## Annex 1

### Proposals for results and indicators for the evaluation of the National Policies and Measures of the NLBI

NLBI National Policies and Measures (Core message)	Expected result (outcome)	Indicator	Sources of verification
(a) Develop and implement NFP	National forest and wildlife policy implemented in accordance with NFP principles	Coherence of Forest Master Plan with NFP	Forest policy and Forest Master Plan
(b) and (g) Develop Criteria and indicators for SFM	Criteria and indicators for SFM are applied	Increase of percentage of forest under SFM	National forest statistics
(c) Promote EIA on projects that impact on forests	National impact assessment guidelines applied	Number of projects assessed with help of EIA guideline	National forest statistics; Statistics of governmental planning institutions
(d) Enhance contribution of forestry to poverty reduction and sustainable development	Forest sector is included in national strategy for poverty reduction; Benefit sharing mechanism is established	National action programs for poverty alleviation contain forest-related activities	<ul style="list-style-type: none"> <li>- National strategy for poverty alleviation</li> <li>- Budget of national poverty alleviation programs</li> </ul>
(e) Promote efficient production and processing of forest products	Waste from production of forest products reduced	Increase in volume and percentage of processed forest products	Economic statistics
(f) Promote recognition and use of traditional knowledge	Importance of traditional knowledge reflected in national forest policy and integrated in benefit sharing mechanisms	Existence of documentation on traditional knowledge relevant for SFM; Compensation for use of traditional knowledge	National forest reports
(h) Promote enabling environment for private sector investment in SFM	Existence of incentives and policies that encourage private investment	Volume of private investment in SFM	Private sector statistics
(i) Develop effective financing strategies for SFM	Long term financing strategy available based on the use of all types of domestic and international funding sources and instruments	Important stakeholders are informed about available financing instruments and investment opportunities for SFM	National Forest Administration reports

NLBI National Policies and Measures (Core message)	Expected result (outcome)	Indicator	Sources of verification
(j) Promote recognition of values of goods and services provided by forests	PES system established	Cases of investment in PES schemes	National Forest Administration reports
(k) and (l) Promote cross-sectoral coordination for SFM (including NFPs)	SFM measures integrated in development programs of non-forest sectors	Number of SFM-related activities with financial contributions from inter-sectoral programs	- National Forest Administration reports - Reports of other relevant ministries
(m) Promote partnership for SFM	Forest administration has identified/ elaborated realistic proposals for joint SFM programs	Number of public private partnerships (PPP)	National Forest Administration reports
(n) Review and strengthen law enforcement and promote good governance	Forest laws known and respected by forest users	Decrease of reported forest offences	Reports of respective ministries
(o) Analyze and address threats to forest health	Effective pest and disease control programs established	Reduced incidence of forest pests and diseases	National Forest Administration reports
(p) Expand and maintain network of protected forests	Area of forests under protection is increasing and under efficient management	Percentage of increase of protected forests	National Forest Administration reports
(q) Assess the conditions and the management effectiveness of forests	The requirements for an effective forest management are known by the relevant stakeholders	A "state of the art" report on the actual management situation of forests in the country	National Forest Administration
(r) and (s) Strengthen the contribution of science, research and technology to SFM	Scientific research responds to policy needs	Existence of active policy/research mechanism	National Forest Administration reports
(t) Promote public understanding of importance of SFM and of benefits	Increase of public awareness for SFM	Information available through different communication channels (e.g. TV, radio, internet, etc)	National Forest Administration reports

NLBI National Policies and Measures (Core message)	Expected result (outcome)	Indicator	Sources of verification
(u) and (v) Promote access to education, extension and training on the implementation of SFM	SFM-related elements are included in relevant education, extension and training programs	Cases of training, extension and education with respective elements	National Forest Administration reports
(w) Promote active and effective participation	Active multi-stakeholder fora are part of decision-making processes	Number and outcomes of multi-stakeholder meetings	National Forest Administration reports
(x) Promote products of SFM forests through voluntary instruments (Certification)	The area of certified forests has increased	Percentage of increase of certified forests	National Forest Administration reports
(y) Enhance access of local population to forest resources and relevant markets	Forest management regulations allow for adequate use and marketing of non-timber products by local population	Increase in range and volume of non-timber products on local markets	Economic statistics, market surveys

## Annex 2 - Full text of NLBI decision

### Non-legally binding instrument on all types of forests

*Member States<sup>1</sup>,*

*Recognizing* that forests and trees outside forests provide multiple economic, social and environmental benefits and emphasizing that sustainable forest management contributes significantly to sustainable development and poverty eradication,

*Recalling* the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on Management, Conservation and Sustainable Development of All Types of Forests<sup>2</sup>; chapter 11 of Agenda 21<sup>3</sup>; the proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests; resolutions and decisions of the United Nations Forum on Forests; the Johannesburg Declaration on Sustainable Development and the Plan of Implementation of the World Summit on Sustainable Development<sup>4</sup>; the Monterrey Consensus of the International Conference on Financing for Development<sup>5</sup>; and the internationally agreed development goals, including the Millennium Development Goals; the 2005 World Summit Outcome<sup>6</sup>; and existing international legally binding instruments relevant to forests,

*Welcoming* the accomplishments of the international arrangement on forests since its inception by Economic and Social Council resolution 2000/35 of 18 October 2000, and recalling the decision, by Council resolution 2006/49 of 28 July 2006, to strengthen the international arrangement on forests,

*Reaffirming* their commitment to the Rio Declaration on Environment and Development, including that States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to exploit their own resources pursuant to their own environmental and developmental policies and the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction and to the common but differentiated responsibilities of countries, as set out in Principle 7 of the Rio Declaration on Environment and Development,

*Recognizing* that sustainable forest management, as a dynamic and evolving concept, aims to maintain and enhance the economic, social and environmental values of all types of forests, for the benefit of present and future generations,

*Expressing* their concern about continued deforestation and forest degradation, as well as the slow rate of afforestation and forest cover recovery and reforestation, and the resulting adverse impact on economies, the environment, including biological diversity, and the livelihoods of at least a billion people and their cultural heritage, and emphasizing the need for more effective implementation of sustainable forest management at all levels to address these critical challenges,

*Recognizing* the impact of climate change on forests and sustainable forest management, as well as the contribution of forests to addressing climate change,

*Reaffirming* the special needs and requirements of countries with fragile forest ecosystems, including those of low forest cover countries,

<sup>1</sup> Refers to Member States of the United Nations.

<sup>2</sup> *Report of the United Nations Conference on Environment and Development, Rio de Janeiro, 3-14 June 1992* (United Nations publication, Sales No. E.93.I.8 and corrigenda), vol. I: Resolutions adopted by the Conference, resolution 1, annex III.

<sup>3</sup> *Ibid.*, annex II.

<sup>4</sup> *Report of World Summit on Sustainable Development, Johannesburg, South Africa, 26 August- 4 September 2002* (United Nations publication, Sales No. E.03.II.A.1 and corrigendum), chap. I, resolution 1, annex 1 and resolution 2, annex.

<sup>5</sup> *Report of the International Conference on Financing for Development, Monterrey, Mexico, 18-22 March 2002* (United Nations publication, Sales No. E.02.II.A.7), chap. I, resolution 1, annex.

<sup>6</sup> General Assembly resolution 60/10.

*Stressing* the need to strengthen political commitment and collective efforts at all levels, to include forests in national and international development agendas, to enhance national policy coordination and international cooperation and to promote intersectoral coordination at all levels for the effective implementation of sustainable management of all types of forests,

*Emphasizing* that effective implementation of sustainable forest management is critically dependent upon adequate resources, including financing, capacity development and the transfer of environmentally sound technologies, and recognizing in particular the need to mobilize increased financial resources, including from innovative sources, for developing countries, including least developed countries, landlocked developing countries and small island developing States, as well as countries with economies in transition,

*Also emphasizing* that implementation of sustainable forest management is also critically dependent upon good governance at all levels,

*Noting* that the provisions of this instrument do not prejudice the rights and obligations of Member States under international law; *Have committed* themselves as follows:

### **I. Purpose**

1. The purpose of this instrument is:

- (a) To strengthen political commitment and action at all levels to implement effectively sustainable management of all types of forests and to achieve the shared global objectives on forests;
- (b) To enhance the contribution of forests to the achievement of the internationally agreed development goals, including the Millennium Development Goals, in particular with respect to poverty eradication and environmental sustainability;
- (c) To provide a framework for national action and international cooperation.

### **II. Principles**

2. Member States should respect the following principles, which build upon the Rio Declaration on Environment and Development and the Rio Forest Principles:

- (a) The instrument is voluntary and non-legally binding;
- (b) Each State is responsible for the sustainable management of its forests and for the enforcement of its forest-related laws;
- (c) Major groups as identified in Agenda 21<sup>7</sup>, local communities, forest owners and other relevant stakeholders contribute to achieving sustainable forest management and should be involved in a transparent and participatory way in forest decision-making processes that affect them, as well as in implementing sustainable forest management, in accordance with national legislation;
- (d) Achieving sustainable forest management, in particular in developing countries as well as in countries with economies in transition, depends on significantly increased, new and additional financial resources from all sources;
- (e) Achieving sustainable forest management also depends on good governance at all levels;
- (f) International cooperation, including financial support, technology transfer, capacity-building and education, plays a crucial catalytic role in supporting the efforts of all countries, particularly developing countries as well as countries with economies in transition, to achieve sustainable forest management.

### **III. Scope**

3. The instrument applies to all types of forests.

4. Sustainable forest management, as a dynamic and evolving concept, aims to maintain and enhance the economic, social and environmental values of all types of forests, for the benefit of present and future generations.

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<sup>7</sup> The major groups identified in Agenda 21 are women, children and youth, indigenous people and their communities, non-governmental organizations, local authorities, workers and trade unions, business and industry, scientific and technological communities, and farmers.

#### **IV. Global objectives on forests**

5. Member States reaffirm the following shared global objectives on forests and their commitment to work globally, regionally and nationally to achieve progress towards their achievement by 2015:

##### **Global objective 1**

Reverse the loss of forest cover worldwide through sustainable forest management, including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation;

##### **Global objective 2**

Enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest dependent people;

##### **Global Objective 3**

Increase significantly the area of protected forests worldwide and other areas of sustainably managed forests, as well as the proportion of forest products from sustainably managed forests;

##### **Global objective 4**

Reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased, new and additional financial resources from all sources for the implementation of sustainable forest management.

#### **V. National policies and measures**

6. To achieve the purpose of the instrument, and taking into account national policies, priorities, conditions and available resources, Member States should:

(a) Develop, implement, publish and, as necessary, update national forest programmes or other strategies for sustainable forest management which identify actions needed and contain measures, policies or specific goals, taking into account the relevant proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests and resolutions of the United Nations Forum on Forests;

(b) Consider the seven thematic elements of sustainable forest management<sup>8</sup>, which are drawn from the criteria identified by existing criteria and indicators processes, as a reference framework for sustainable forest management and, in this context, identify, as appropriate, specific environmental and other forest-related aspects within those elements for consideration as criteria and indicators for sustainable forest management;

(c) Promote the use of management tools to assess the impact on the environment of projects that may significantly affect forests, and promote good environmental practices for such projects;

(d) Develop and implement policies that encourage the sustainable management of forests to provide a wide range of goods and services, and that also contribute to poverty reduction and the development of rural communities;

(e) Promote efficient production and processing of forest products, with a view inter alia, to reducing waste and enhancing recycling;

(f) Support the protection and use of traditional forest-related knowledge and practices in sustainable forest management with the approval and involvement of the holders of such knowledge, and promote fair and equitable sharing of benefits from their utilization, according to national legislation and relevant international agreements;

(g) Further develop and implement criteria and indicators for sustainable forest management that are consistent with national priorities and conditions;

(h) Create enabling environments to encourage private sector investment, as well as investment by and involvement of local and indigenous communities, other forest users and forest owners and other relevant stakeholders, in sustainable forest management, through a framework of policies, incentives and regulations;

(i) Develop financing strategies that outline the short-, medium- and long term financial planning for achieving sustainable forest management, taking into account domestic, private sector and foreign funding sources;

(j) Encourage recognition of the range of values derived from goods and services provided by all types of forests and trees outside forests, as well as ways to reflect such values in the marketplace, consistent with relevant national legislation and policies;

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<sup>8</sup> The elements are (a) extent of forest resources; (b) forest biological diversity; (c) forest health and vitality; (d) productive functions of forest resources; (e) protective functions of forest resources; (f) socio-economic functions of forests; and (g) legal, policy and institutional framework.

- (k) Identify and implement measures to enhance cooperation and cross sectoral policy and programme coordination among sectors affecting and affected by forest policies and management, with a view to integrating the forest sector into national decision-making processes and promoting sustainable forest management, including by addressing the underlying causes of deforestation and forest degradation, and by promoting forest conservation;
- (l) Integrate national forest programmes, or other strategies for sustainable forest management, as referred to in paragraph 6 (a) above, into national strategies for sustainable development, relevant national action plans and poverty reduction strategies;
- (m) Establish or strengthen partnerships, including public-private partnerships, and joint programmes with stakeholders to advance implementation of sustainable forest management;
- (n) Review and, as needed, improve forest-related legislation, strengthen forest law enforcement, and promote good governance at all levels in order to support sustainable forest management, to create an enabling environment for forest investment and to combat and eradicate illegal practices according to national legislation, in the forest and other related sectors;
- (o) Analyse the causes of and address threats to forest health and vitality from natural disasters and human activities, including threats from fire, pollution, pests, disease and invasive alien species;
- (p) Create, develop or expand, and maintain networks of protected forest areas, taking into account the importance of conserving representative forests, by means of a range of conservation mechanisms, applied within and outside protected forest areas;
- (q) Assess the conditions and management effectiveness of existing protected forest areas with a view to identifying improvements needed;
- (r) Strengthen the contribution of science and research in advancing sustainable forest management by incorporating scientific expertise into forest policies and programmes;
- (s) Promote the development and application of scientific and technological innovations, including those that can be used by forest owners and local and indigenous communities to advance sustainable forest management;
- (t) Promote and strengthen public understanding of the importance of and the benefits provided by forests and sustainable forest management, including through public awareness programmes and education;
- (u) Promote and encourage access to formal and informal education, extension and training programmes on the implementation of sustainable forest management;
- (v) Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners, in order to develop resource management approaches that will reduce the pressure on forests, particularly fragile ecosystems;
- (w) Promote active and effective participation by major groups, local communities, forest owners and other relevant stakeholders in the development, implementation and assessment of forest-related national policies, measures and programmes;
- (x) Encourage the private sector, civil society organizations and forest owners to develop, promote and implement in a transparent manner voluntary instruments, such as voluntary certification systems or other appropriate mechanisms, to develop and promote forest products from sustainably managed forests harvested according to domestic legislation, and to improve market transparency;
- (y) Enhance access by households, small-scale forest owners, forest dependent local and indigenous communities, living in and outside forest areas, to forest resources and relevant markets in order to support livelihoods and income diversification from forest management, consistent with sustainable forest management.

## VI. International cooperation and means of implementation

7. To achieve the purpose of the instrument, Member States should:

- (a) Make concerted efforts to secure sustained high-level political commitment to strengthen the means of implementation for sustainable forest management, including financial resources, to provide support, in particular for developing countries and countries with economies in transition, as well as to mobilize and provide significantly increased, new and additional financial resources from private, public, domestic and international sources to and within developing countries, as well as countries with economies in transition;

- (b) Reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased, new and additional financial resources from all sources for the implementation of sustainable forest management;
- (c) Take action to raise the priority of sustainable forest management in national development plans and other plans, including poverty reduction strategies, in order to facilitate increased allocation of official development assistance and financial resources from other sources for sustainable forest management;
- (d) Develop and establish positive incentives, in particular for developing countries as well as countries with economies in transition, to reduce the loss of forests, to promote reforestation, afforestation and rehabilitation of degraded forests, to implement sustainable forest management and to increase the area of protected forests;
- (e) Support the efforts of countries, particularly in developing countries as well as countries with economies in transition, to develop and implement economically, socially and environmentally sound measures that act as incentives for the sustainable management of forests;
- (f) Strengthen the capacity of countries, in particular developing countries, to significantly increase the production of forest products from sustainably managed forests;
- (g) Enhance bilateral, regional and international cooperation with a view to promoting international trade in forest products from sustainably managed forests harvested according to domestic legislation;
- (h) Enhance bilateral, regional and international cooperation to address illicit international trafficking in forest products through the promotion of forest law enforcement and good governance at all levels;
- (i) Strengthen, through enhanced bilateral, regional and international cooperation, the capacity of countries to effectively combat illicit international trafficking in forest products, including timber, wildlife and other forest biological resources;
- (j) Strengthen the capacity of countries to address forest-related illegal practices according to domestic legislation, including wildlife poaching, through enhanced public awareness, education, institutional capacity-building, technological transfer and technical cooperation, law enforcement and information networks;
- (k) Enhance and facilitate access to and transfer of appropriate, environmentally sound and innovative technologies and corresponding know-how relevant to sustainable forest management and to efficient value-added processing of forest products, in particular to developing countries, for the benefit of local and indigenous communities;
- (l) Strengthen mechanisms that enhance sharing among countries and the use of best practices in sustainable forest management, including through freeware-based information and communications technology;
- (m) Strengthen national and local capacity in keeping with their conditions for the development and adaptation of forest-related technologies, including technologies for the use of fuelwood;
- (n) Promote international technical and scientific cooperation, including South-South cooperation and triangular cooperation, in the field of sustainable forest management, through the appropriate international, regional and national institutions and processes;
- (o) Enhance the research and scientific forest-related capacities of developing countries and countries with economies in transition, particularly the capacity of research organizations to generate and have access to forest-related data and information, and promote and support integrated and interdisciplinary research on forest-related issues, and disseminate research results;
- (p) Strengthen forestry research and development in all regions, particularly in developing countries and countries with economies in transition, through relevant organizations, institutions and centres of excellence, as well as through global, regional and subregional networks;
- (q) Strengthen cooperation and partnerships at the regional and subregional levels to promote sustainable forest management;
- (r) As members of the governing bodies of the organizations that form the Collaborative Partnership on Forests, help ensure that the forest-related priorities and programmes of members of the Partnership are integrated and mutually supportive, consistent with their mandates, taking into account relevant policy recommendations of the United Nations Forum on Forests;
- (s) Support the efforts of the Collaborative Partnership on Forests to develop and implement joint initiatives.

## **VII. Monitoring, assessment and reporting**

8. Member States should monitor and assess progress towards achieving the purpose of this instrument.

9. Member States should submit, on a voluntary basis, taking into account availability of resources and the requirements and conditions for the preparation of reports for other bodies or instruments, national progress reports as part of their regular reporting to the Forum.

### **VIII. Working modalities**

10. The Forum should address, within the context of its multi-year programme of work, the implementation of this instrument.

## **Annex 3**

### **Pretesting the monitoring component of the M&E system for the NLBI in Ghana**

#### **First step:**

Final draft of an M&E system after verification of expected outcome, milestones and indicators by selected stakeholders (particularly important: the participation/ consultation of the Forest Administration)

#### **Second (preparatory) step:**

- Selection of (one or maximum two) priority topics among the NLBI policies and measures of the monitoring part of the M&E system for simulated test in coordination with the FA
- Clarification of responsibilities for testing together with the FA (who will be responsible for piloting the test, for including ongoing projects and programs, collecting information, analyzing and compiling results, reporting, etc.
- Organization of a preparatory meeting with all persons involved for exchange of information on expected results, clarification of roles and procedures, timetable, etc.

#### **Third (implementing) step:**

- Overall responsible person starts simulated test by informing all persons involved about procedures and timeframe of test and their respective responsibilities
- Identification of baseline for the selected topic(s), including assessment of administrative and political frame conditions;
- Verification of logic and realism of expected outcome and milestones according to: availability and reliability of data and of sources of information
- Integration of ongoing projects/ programs (REDD, etc.) into identification of baseline and data collection
- Identification of important stakeholders and short stakeholder analysis
- Analysis of the information received through the pretest
- Estimation of time consumption and financial needs for the pretest

#### **Final step:**

- Review and possibly redrafting of the monitoring part, taking into account the results of the pretest
- Review of responsibilities for the M&E system and corresponding procedures
- Estimation of time consumption and financial needs for the entire M&E system, based on the indications received from the pretest
- Reporting back to decision makers for decision on the final version of the M&E system