



Forestry Department

Food and Agriculture Organization of the United Nations

Planted Forests and Trees Working Papers

**Responsible management of planted forests:
Voluntary Guidelines**

Preparation for action - the methodology

by

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The purpose of these papers is to provide early information on on-going activities and programmes, and to stimulate discussion.

Comments and feedback are welcome.

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Foreword

Planted forests account for about 7 percent of global forest area or about 2 percent of global land area, i.e. slightly less than 300 million hectares. At the same time, they provide more than half the industrial wood produced in the world and their extent and productivity are increasing. Compared with naturally regenerating forests, planted forests represent more intensive management, higher investment per unit area, higher productivity of wood and fibre and acceptable returns on investment from sales of products and services. They are also diverse in size and type, ranging from smallholdings to industrial estates and from primarily protective functions to primarily wood and fibre production.

In the past, planted forests have not always lived up to their potential. Lack of knowledge, capacity and capability in providing enabling policies, laws, regulations, plans and technical support systems has resulted in many instances of less responsible management of planted forests. As a result, some planted forests investments have created land-use, social and environmental conflicts, as well as suboptimal performance in the areas of health, vitality, productivity and return on investment.

FAO was asked to coordinate a process to strengthen country capacity to balance the social, cultural, environmental and economic dimensions of planted forests management and to increase their contributions towards sustainable livelihoods and land use. The two-year multistakeholder process involving experts in planted forests from governments, the private sector (corporate and smallholder), non-governmental (social and environmental) and intergovernmental organizations and academics resulted in a non-legally binding set of principles and guidelines addressing cultural, social, environmental and economic dimensions of planted forests management.

After wide consultations with stakeholder groups the Voluntary Guidelines for Responsible Management of Planted Forests were presented in COFO in March 2007 where member countries requested and recommended FAO to provide support for the implementation. This Working Paper is a response to the Member Countries' request. The Working Paper describes the methodology for capacity building to translate the Voluntary Guidelines for Responsible Management of Planted Forests into policy, plans and practices. The methodology describes how to strengthen capacities and capability to make the implementation as precisely targeted and efficient as possible in order to achieve responsible management of planted forests.

The Voluntary Guidelines for Responsible Management of Planted Forests can be viewed on the following FAO websites:

- About the Process: <http://www.fao.org/forestry/site/plantedforestsguide/en/>
- Voluntary Guidelines Document: <http://www.fao.org/docrep/009/j9256e/j9256e00.htm>

1. Introduction

1.1. Background to the Voluntary Guidelines for Responsible Management of Planted Forests

Recognizing the economic, social, cultural and environmental importance of planted forests, Governments and other stakeholders asked FAO to prepare, together with collaborating partners, a set of principles, guidelines and key considerations in support of the policy, legal, regulatory and technical enabling conditions for planted forests management. An official request from the FAO Member States was made at COFO in 2005. The Voluntary Guidelines for Responsible Management of Planted Forests were derived through an extensive multi-stakeholder process coordinated by FAO over a period of two years. Experts in planted forests from Governments, the private sector (corporate and smallholder), non-governmental (social and environmental) and intergovernmental organizations and academics were involved in the process.

The Voluntary Guidelines for Responsible Management of Planted Forests is a tool for improving planning, management and monitoring of planted forests and to help in balancing the trade offs between institutional, economic, political, social, cultural and environmental aspirations and values.

The scope of the guidelines is global: they may be adapted and applied to planted forests in all ecogeographical zones and to countries, regions and landscapes in all stages of socio-economic development. Acceptance and implementation of the Voluntary Guidelines is not legally binding.

The Voluntary Guidelines do not replace existing national or international laws, commitments, treaties or agreements. Rather, they establish a framework supporting dialogue in the formulation of policies, laws, regulations and strategic and management plans that, in turn, will help improve enabling conditions and enhance capacity and capability in planted forests management.

The objectives of the Voluntary Guidelines are to:

- Promote the positive contribution that planted forests can make to meeting people's livelihood needs, including food security, the production of wood and the safeguarding of environmental values;
- Codify generally accepted principles for strengthening the policy, legal and institutional enabling framework for sound investment in and management of planted forests, including the economic, cultural, social and environmental dimensions of sustainable forest management; and
- Contribute to an improved understanding of planted forests, in order to aid the formulation and implementation of national and subnational planted forests policies and programmes.

2. Purpose of this Working Paper

The purpose of this Working Paper is to describe a methodology for capacity building to translate the Voluntary Guidelines for Responsible Management of Planted Forests into action proposals.

In order to achieve an efficient and well targeted implementation of the Voluntary Guidelines it is crucial to undergo a thorough orientation. The orientation will provide capacity building and lead towards a common view of the present situation of the planted forests sector and a better understanding of the sector's strengths, weaknesses, opportunities and threats.

The process described in this Working Paper involves multi-stakeholder participation. The equal participation of relevant stakeholders is crucial in order to balance the different interests and to achieve a common view of how to strengthen weaknesses, exploit opportunities and defend against threats. This Working Paper gives guidance how to involve stakeholder groups to achieve a common understanding on how to precede avoiding conflicts. A thorough multi-stakeholder process will lead to a sense of ownership and responsibility for the process among participants, which in turn will strengthen the commitment to accomplishing the actions.

The primary users of the Working Paper are likely to be Government policy, legal, regulatory and planning decision-makers as well as investors (public or private, corporate or smallholder) and forest managers.

3. Preparing for action – Methodology

3.1. Scope of the methodology

This section explains the processes for translating the Voluntary Guidelines for Responsible Management of Planted Forests into action proposals.

The process consists of two main phases – 1) a multi-stakeholder process at country level and 2) a multi-stakeholder workshop at a regional level gathering representatives from about two to five countries. It is essential that each phase applies multi-stakeholder participation.

3.2. Phase I – The country process

3.2.1. Introduction

The first phase of the process takes place on a country level. During phase one relevant stakeholder representatives are being appointed and involved in the process translating the Voluntary Guidelines for Responsible Management of Planted Forests into actions. Figure 1. illustrates the country process actions and outputs.

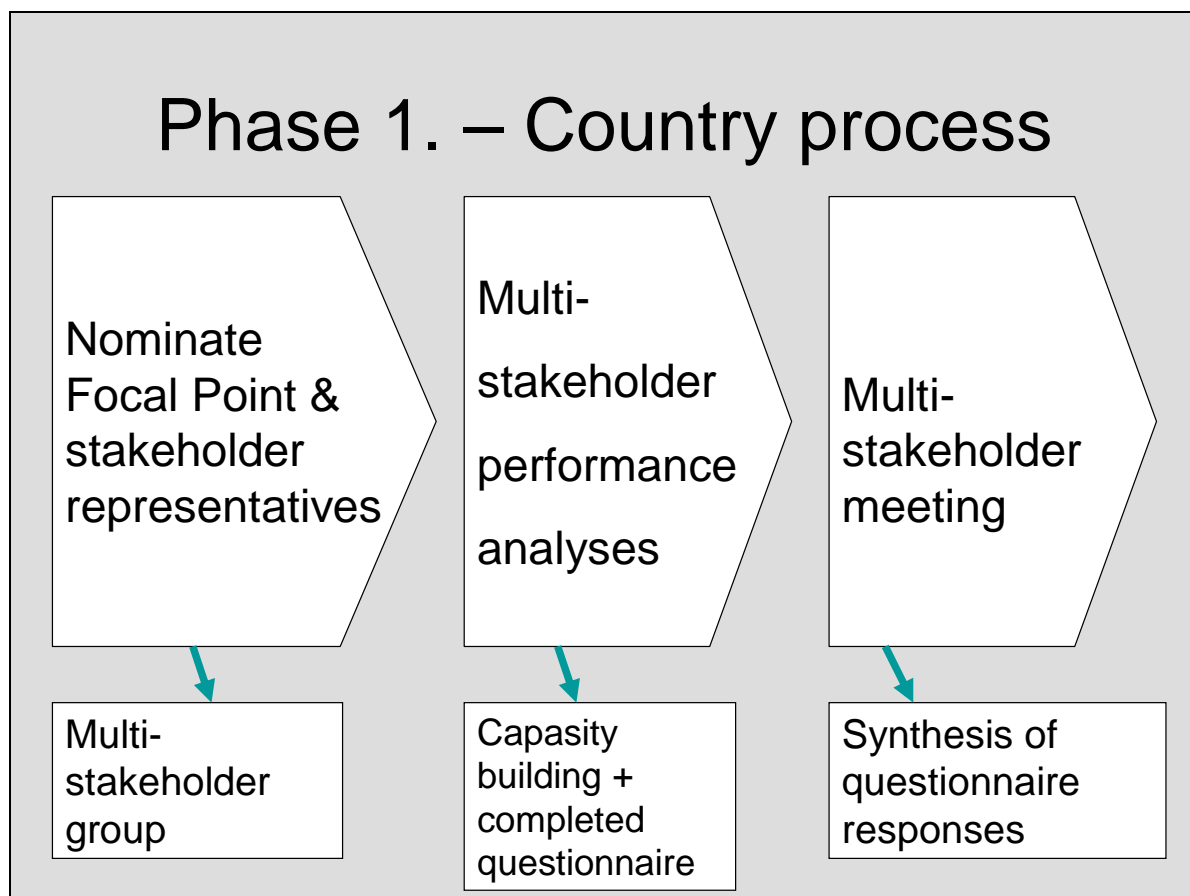


Figure 1. The flow describes the phase one – the country process. The arrow boxes outline the actions and the boxes below each action-box describe the outputs of the action taken.

3.2.2. Step one - Government receives invitation to initiate the process from FAO

The Heads of Forestry will receive a letter from FAO with material and guidance for the processes as a whole as well as a questionnaire (see Annex II) containing questions about their assessment of their performance in support of the planted forests sector. The questionnaire relates directly to the principles and guidelines in the Voluntary Guidelines.

3.2.3. Step two - Nomination of focal points of the key stakeholder groups

The Head of Forestry is asked to nominate a Focal Point that will be in charge of the country process. This focal point will be in charge of contacting key stakeholder groups of the planted forests sector that could contribute to the process in a valuable way. At least the following stakeholder groups are advised to be enrolled in the process:

- Government
- Private sector (corporate and smallholder)
- NGOs (environment and social/cultural)
- Academic

Additional stakeholder groups crucial to the implementation process are open to participate in the process. Each stakeholder group should nominate one or two representatives. It is of highest importance that the representatives are dedicated and ready to commit through both phases of the process, the country and regional levels.

The nominated representatives are to appoint a cheer among the representatives chosen for the process. The cheer will function as the co-ordinator of the group.

3.2.4. Step three – Multi-stakeholder performance analysis

After the relevant stakeholder groups have been informed of the process, have accepted the invitation and nominated representatives the Government will distribute the questionnaires received from the FAO headquarters earlier to the chosen representatives. See Annex I. Every representative is to fill in the questionnaire. To get the most out of the process it is crucial that each focal point will respond to the whole questionnaire, taking the time to thoroughly consider the response to each question to reflect the perspective of their stakeholder group in an honest and frank manner.

Within the questionnaire there will be instances when the representatives will be answering questions on the performance of other stakeholder groups, and in other instances on the performance of their own group's performance. The person answering the questionnaire will be expected to later discuss and defend their responses to the questionnaire.

The purposes of filling in the form are a) to get acquainted with the Voluntary Guidelines, b) critically observe and reflect on the performance of the planted forests sector and c) to prepare for the country level multi-stakeholder meeting and the regional workshop.

3.2.5. Step four - Multi-stakeholder meeting

The Focal Point will arrange a meeting to bring together the representatives of the key stakeholder groups. This meeting is to take place at least two weeks prior to the phase two regional multi-stakeholder workshop. The purpose of this meeting is to discuss the responses to the questionnaire, highlight different stakeholder viewpoints and to pinpoint preliminary problem areas within the planted forests sector.

A synthesis of the preliminary results of the questionnaire responses is to be prepared. This synthesis will be presented at the regional workshop. The synthesis is suggested to be no longer than 2-3 pages. The synthesis should include the following preliminary information:

- Scale of planted forests and the role of major stakeholder groups
- Perceived strengths
- Perceived weaknesses
- Proposed actions (who, what, how)
- Potential threats
- Source of funds

3.3. Phase II – The regional process

3.3.1. Introduction

The second phase of the process will consist of a five-day regional workshop. Two to five countries, which have implemented the phase one explained above, will be invited by FAO to participate in this regional workshop to learn and share views concerning the Voluntary Guidelines and to prepare action plans. The workshop will bring together the stakeholder representatives chosen in phase one.

For the workshop objectives and benefit to countries and stakeholder groups to be achieved it is of utmost importance that the focal points participating in the regional workshop have participated in the process from the outset at a country level. They should be acquainted with the background material; the Voluntary Guidelines, the synthesis of the results of the questionnaire responses. The participants in the workshop should have participated in the country level multi-stakeholder meeting.

It is crucial that the country delegation already has held preliminary discussions on their view of the general situation of the planted forests sector and pinpointed preliminary problem areas. Without proper preparation of each participant the workshop can not work effectively or achieve the objectives.

The main outputs of the workshop are to derive action proposals translating the Voluntary Guidelines into action. Other outputs are strengthening of capacities and capabilities as well as a common understanding of the Voluntary Guidelines.

The regional workshop follows the process outlined in Figure 2. and as described in more detail below.

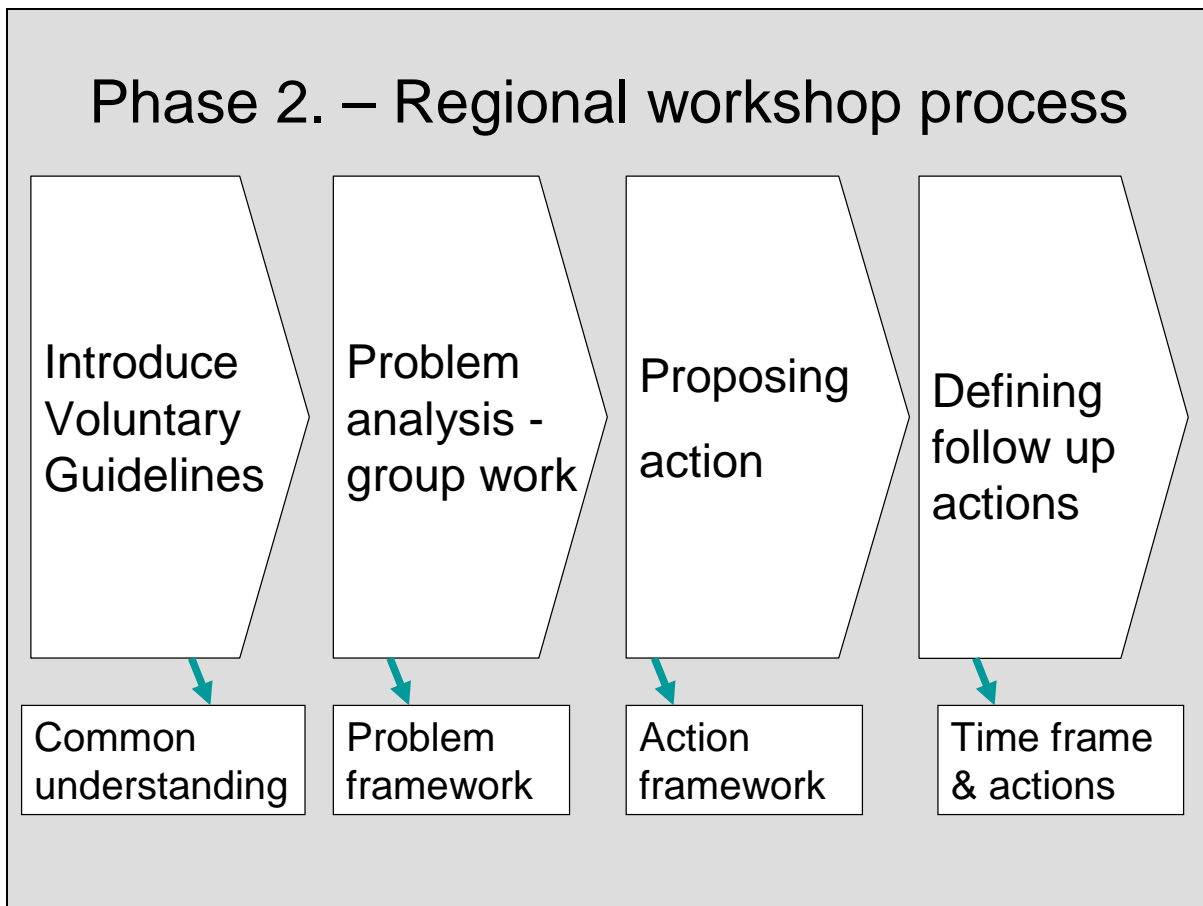


Figure 2. The flow describes the second phase - the regional workshop. The arrow boxes outline the actions and the boxes below each action-box describe the outputs of the action taken.

3.3.2. Step one - Introduction of the Planted Forests Voluntary Guidelines

The five-day long workshop will begin with an orientation where the facilitators will explain:

- Objectives of the workshop
- Process of the Voluntary Guidelines
- Purpose of the Voluntary Guidelines
- Structure of the Voluntary Guidelines
- Stakeholder benefits of implementing the Voluntary Guidelines,
- Importance in maintaining multi-stakeholder processes and dialogue
- Terminology.

The aim for the introductory orientation is to reach a common understanding between the country delegations and stakeholder representatives.

The general concept of the Voluntary Guidelines is presented to the workshop participants by external facilitators. The five main dimensions (institutional, economic, social/cultural, environmental and landscape) are introduced to the stakeholders as well as the concept of balancing the trade-offs between these dimensions.

Each country delegation will give a presentation of their country synthesis that will be discussed with other participants.

3.3.3. Step two – Problem analysis

The next step of the workshop will concentrate on the problem analysis of the current state the planted forest management using the Voluntary Guidelines as reference material.

The five main dimensions institutional, economic, social/cultural, environmental and landscape approaches will be presented one by one by the facilitator. After the presentation of each dimension group work will take place. Country delegations form the groups. The facilitators will lead the discussion and answer questions when needed. The group is to bring their attention to the topics that in the multi-stakeholder performance-questionnaire have been ticked as “needs attention”, “needs substantial attention”. The questionnaire is to be found in Annex II. These points are to be organized into three lists featuring 1) weaknesses, 2) threats and 3) opportunities. Next the topics in these three lists are to be ranked in priority order.

The groups will then present their thoughts of the situation to the rest of the participants of the workshop. After the group presentation a general discussion will take place where the other groups give feedback on the analysis and exchange views.

When all groups have presented their analyses of one dimension the facilitator will proceed to the next dimension, make a general presentation and explain the principles and guidelines connected to it. The country groups will then get back together and make the same kind of problem-analysis described above. This procedure is repeated for all five dimensions.

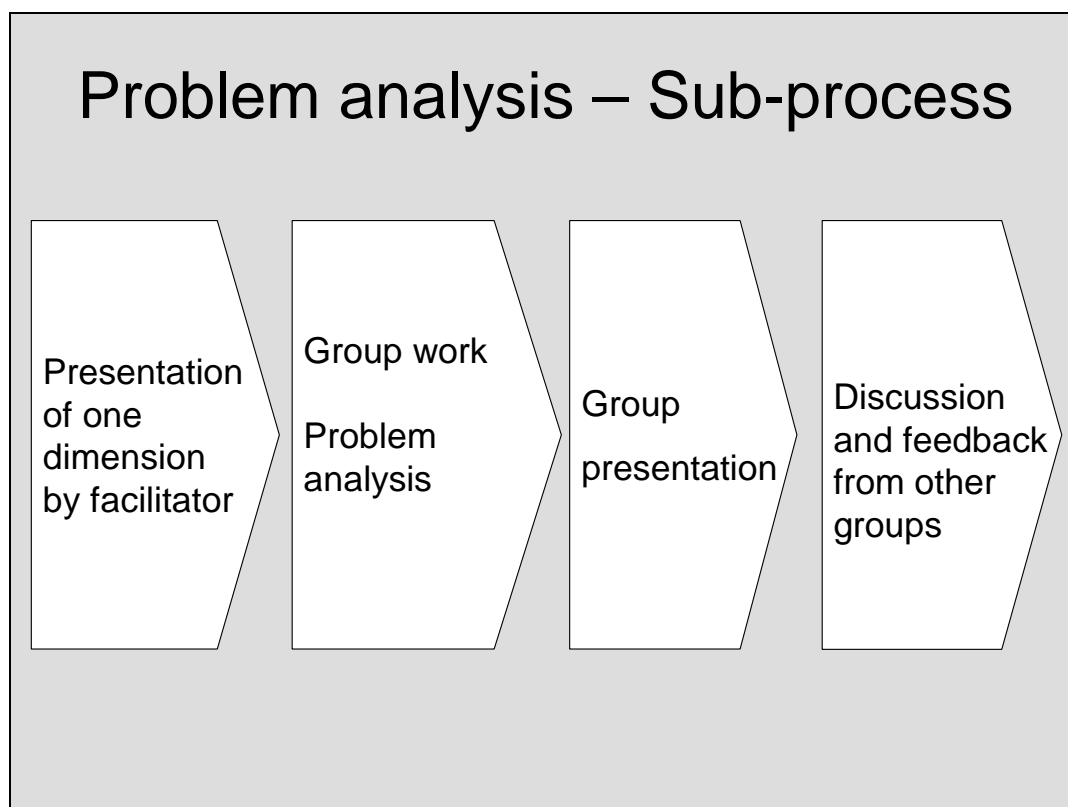


Figure 3. The flow chart shows the process of the group work. This process will be repeated five times, one for each dimension - 1) institutional, 2) economical, 3) social & cultural, 4) environmental and 5) landscape approach.

3.3.4. Step three – Proposing actions

After doing the problem-analysis the delegates are to reflect upon how to:

- Overcome weaknesses
- Exploit opportunities?
- Defend against threats?

The group is to discuss which of the topics listed in the problem analysis that the group finds most appropriate and useful to bring further into implementation. The prioritising is to be agreed upon after discussions within the group between the different stakeholder representatives. These issues will then be translated into outcomes.

When choosing which of the topics that are going to be translated into outcomes it is important to take into consideration whether the outcome is feasible to accomplish. Things to consider when making the decision include if there will be sufficient funding for the implementation of the outcome in question. The outcomes should be supporting existing national and international strategies, policies and agreements.

Based on these outcomes each group consisting of the country delegation members are to build a logical framework to define the anticipated actions, outputs, outcomes and impacts required to strengthen capacity and capability in support of planted forests policies, plans and practices. Further information on how to build a logical framework is provided in Annex IV.

The actions derived from the logical framework may provide inputs for project concept notes, suggestions for strategies or suggestions for programmes of work depending on what the delegation consider most appropriate, effective and useful. It is important that these actions are realistic and possible to carry through in the near future.

After step three the participants should have a clear vision of the actions and outputs necessary to achieve their defined outcomes and impacts, including actions required by the specific stakeholder groups.

3.3.5. Step four - Defining follow up actions

Each country delegation is to reflect upon the follow up actions (who, what, when, where, why how). Who will be responsible for what? What will be the time frame for the different actions? Where will this be carried out? Why will it be done this way? Another critical question is: where will the funding come from? A brief synthesis of proposed following up activities will be prepared. A matrix for defining follow up actions is provided in Annex V.

Each country delegation should have a clear vision of the actions and outputs necessary to achieve their defined outcomes and impacts. Furthermore each focal person will have a clearer idea of the actions required by their stakeholder group.

4. References

FAO. 2006. *Responsible management of planted forests: voluntary guidelines*. Planted Forests and Trees Working Paper 37/E. Rome
(also available at www.fao.org/forestry/site/10368/en).

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Annex I. Multi-stakeholder participation

The whole methodological process for capacity building to translate the Voluntary Guidelines for Responsible Management of Planted Forests into policy, plans and practices involves multi-stakeholder participation. The equal participation of all relevant stakeholders is crucial in order to balance the different interests and to achieve a common view of how to strengthen weaknesses, exploit opportunities and defend against threats.

What is multi-stakeholder participation?

“Participation” is a process during which individuals, groups and organizations are consulted about or have the opportunity to become actively involved in a project or programme of activity (OECD, 2001).

A “stakeholder” is any individual, social group or institution that has a stake (i.e., an interest or influence) in the forest sector. Stakeholders may be affected directly or indirectly by the planted forests and the implementation of the Voluntary Guidelines, in positive or negative ways. Stakeholders include those who can and would like to influence the process.

The term “stakeholder participation” describes the process whereby stakeholders are actively involved (to varying degrees) in management decisions, activities and projects. There are many ways in which people can participate. It is therefore important to classify stakeholders according to their importance for and influence on the process.

What are the outcomes of participatory approach?

1. Clarifying which issues the Voluntary Guidelines should address

All participants in a process bring their own specific knowledge and expertise. Broad participation can therefore widen and deepen the understanding of who the key stakeholders are and which issues the Voluntary Guidelines will need to address in its formulation and implementation. Participation can also improve the accuracy and relevance of the action plans as well as better identification of benchmarks and directions for change, improving visioning of the planted forests sector and the role of the Voluntary Guidelines and providing a sounder basis for monitoring. Participation can bring a wider non-forestry view of problems linked to the planted forests sector, which improves social and economic analysis by thinking “out of their box” to address root causes and put sustainable solutions in place.

2. Improving the coherence of policy

It is crucial to include the participation of people who, although not directly involved in the planted forests sector, come from sectors that influence the planted forests. This ensures that the implementation of the Voluntary Guidelines is coherent with other sectors and processes and coordinated with the wider factors that influence the planted forests sector. An action plan developed with links to the wider framework of existing Government policies, plans and processes – including those addressing poverty, the divestment of Government civil service departments, the

decentralization of planning and budgeting, economic and industrial growth, rural development and agricultural transformation, and market processes and trends – will be easier to implement effectively.

The following are some of the important links that should be made:

3. Improving sector governance

The implementation of the Voluntary Guidelines will in many cases include developing new policy, legislation, regulations, standards or strategies – the framework for good governance. Good participation in the development of these has the twofold benefit of:

- Improving public policy:

participation can reduce the need for testing or the likelihood of initial problems, because the people who will have to comply with a new framework have had a say in its development rather than merely having to accept other people's decisions. It might take longer to develop new frameworks this way, but it makes them more effective and acceptable when they are introduced, less likely to need changing later and more likely to work;

- strengthening democracy:

participation can make it clear that Government decisions reflect not just the views of Government members, but also the wider needs of society, as expressed through a formal participation procedure. It makes it clear that it is not just a centrally driven process. This promotes democracy and develops trust between the public and Government, which is a benefit at the political level for a Government that is promoting its democratic record, and a useful justification for gaining support for the participatory process.

4. Raising the profile

The basic argument that the Voluntary Guidelines are an instrument for positive environmental, social and economic outcomes is a strong reason for implementing them. Participation from some key levels helps to ensure that this point is heard by the right people. The following are some of the key levels that should be involved:

- power holders Participation should include these players, either directly or indirectly; on order to ensure that resources are available to implement reforms (e.g., through obtaining approval for a key piece of legislation). It is crucial for the team in charge of the implementation to understand the interests and objectives of these power holders.

- important stakeholder groups: the rural population, private sector (private and corporate, small, medium scale and large), non-governmental organizations (NGOs), etc. provide essential support for development of the planted forests sector,

- cross-sectoral linkages: participation of broader Government (sectors other than forestry) generates better awareness among non-forest sectors of the role and value of forestry and of how they themselves can influence these.

- financial support: it is important to have some participation from the “purse holders” in Government, the private sector, NGOs and/or potential donors. Their participation helps them to see

that the implementation process of the Voluntary Guidelines is well-managed, is justified and brings benefits to their own objectives.

5. Building ownership

The nature and level of ownership in the Voluntary Guidelines is a basic issue, which should be considered as the main indicator of success for an implementation process of the Voluntary Guidelines. Including participation demonstrates that the implementation is not simply a centrally driven process, and encourages people to become involved. Participation builds ownership of the changes to be implemented, making it more likely that people will respect the forest and implement the changes. With broader ownership, the basis of accountability also becomes wider, because more people have agreed which outputs to work towards.

6. Managing inevitable conflicts

When stakeholders are brought together, conflict of interests, objectives and opinions cannot be avoided. It must therefore be managed, and doing so is constructive, if challenging. Participation in voluntary guideline action formulation allows stakeholders to discuss and negotiate the issues of conflict, helps people to understand each other's points of view and makes it easier to reach a common solution. If conflicts are ignored during the formulation, they are more likely to cause problems during implementation, when the opportunities for solving them are more limited, and the whole implementation may be stalled.

7. Improving results

Engaging actors to participate in a policy process by discussing options, making decisions and planning actions has three key results: they have better understanding of the future shape of the planted forests sector, and the benefits it will bring; they are more engaged in ensuring that their proposals are followed by actions; and they understand clearly what their own roles in the Voluntary Guidelines are. There are several important aspects of this:

- ensuring that the people involved have clear and realistic **expectations** of how things will progress, and a clear understanding of the **roles and responsibilities** of each stakeholder group in the actions proposed;
- allowing the development of a **realistic plan** of action for the Voluntary Guidelines, which everyone agrees can work and which promotes **coordination** of activities for effective implementation, assigning the most appropriate player(s) to each role;
- engendering **new partnerships**,
- increasing understanding of the **benefits** that will flow from implementation, to the planted forests sector and beyond, which encourages greater support (financial and human resources), making successful implementation more likely.

Participation benefits checklist

- Shared vision for the future of forest sector development, and a viable path of change.
- Coherent policy, strategic, legal and institutional frameworks that are acceptable to stakeholders.
- Improved governance through more effective new policy, legislation and strategic frameworks.
- Compliance with international agreements.
- Clear understanding of the planted forests sector's contributions to wider national objectives (i.e., economic, social and environmental).
- Increased political support for planted forests through effective advocacy.
- An attractive profile for forestry to promote investment.
- Owned and respected outcomes, which are more likely to be implemented.
- A realistic implementation plan for the forest sector, with clear and agreed roles and responsibilities for all actors.
- Better coordination of actions and inputs, which increases effectiveness and efficiency.
- Partnerships for effective implementation and sustainable management.
- Better accountability of forest sector institutions.
- Wider public support.

Annex II. Multi-stakeholder performance-analysis

Institutional principles				
Principle 1. Good governance Taking into consideration the time frame and risks in establishing and managing planted forests, as well as their use, marketing and trade, governments should facilitate an environment of stable economic, legal and institutional conditions to encourage long-term investment, sustainable land-use practices and socio-economic stability.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are the existing national and international laws, commitments, treaties and agreements being followed?				
Is transparency, participation and recognition of the roles of non-governmental stakeholders in decision-making encouraged without coercion?				
Are current, consistent and clear enabling policies, laws, regulations, plans and processes, as well as appropriate monitoring and evaluation systems being formulated?				
Are national and subnational guidelines or codes of practice for the management of planted forests being formulated and implemented?				
Is scientific evidence being used to weigh the risks, opportunities, costs and benefits of planted forests in relation to conservation and sustainable development?				
Are enabling conditions and procedures provided in order to reward sustainable management and responsible practices?				
Are just land ownerships (e.g. public and private) recognized? Are the rights and obligations of land and crop tenure, access for investors (both corporate and smallholder), traditional owners, indigenous peoples, local communities and ethnic minorities recognized?				
Are benefits distributed on an equitable basis to relevant stakeholders?				
Are the rights of workers recognized to organize and to negotiate salaries and conditions to meet their fundamental needs?				
Additional Comments:				

Principle 2. Integrated decision-making and multistakeholder approaches Taking into consideration the multifaceted interfaces of planted forests with communities, agriculture, animal husbandry, naturally regenerating forests and agroforestry land uses, both with and in the landscape, policy-makers should encourage integrated decision-making by stakeholders in planning, managing and utilizing planted forests.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are policies, planning and management decision-making related to planted forests integrated into intersectoral and multidisciplinary approaches in order to reflect their role in the wider landscape, both spatially and temporally?	Green	Yellow	Red	Grey
Is integrated decision-making given a scientific, social, environmental and economic basis?	Green	Yellow	Red	Grey
Are the varying needs, aspirations, priorities and accountabilities of stakeholder groups understood? Are appropriate levels of influence in decision-making determined in relation to the scale and impact of planted forests?	Green	Yellow	Red	Grey
Is participation in decision-making by corporate and smallholder investors and associations, government and non-governmental organizations, indigenous peoples and local community groups (including women's and marginal groups) encouraged?	Green	Yellow	Red	Grey
Is international law respected to ensure that local communities and indigenous peoples retain control over their lands, unless they delegate control with free, prior and informed consent?	Green	Yellow	Red	Grey
Are levels of engagement, dialogue and approval that reflect the real complexity, scale and impact of planted forests, as well as the requirements for timely management decisions found?	Green	Yellow	Red	Grey
Are the rights of smallholder investors recognized in planted forests?	Green	Yellow	Red	Grey
Are conflicts resolved promptly through mutually agreed conflict management mechanisms involving major stakeholders?	Green	Yellow	Red	Grey
Additional Comments	Green	Yellow	Red	Grey

Principle 3: Effective organizational capacity Governmental, private-sector and other organizations require the capacities and capabilities to deliver knowledge, technology and other support services for sound planted forests management – at all levels.				
Are decentralization to local levels and devolution of responsibility to improve decision-making encouraged?	Green	Yellow	Red	Grey
Are appropriate and continuing funding mechanisms (for technical support and investment) being provided to ensure the effective capacity and capability of the organizations responsible for development and management of planted forests?	Green	Yellow	Red	Grey
Is institutional capacity strengthened to effectively understand and respond to the priority needs and aspirations of major stakeholders?	Green	Yellow	Red	Grey
Are extension support services and the education and training of staff at all levels in planning, management and technical decision-making being improved?	Green	Yellow	Red	Grey
Are national research capabilities being strengthened to apply science in policy, management and monitoring of planted forests?	Green	Yellow	Red	Grey
Are continueng lessons learned from science, traditional knowledge and experience?	Green	Yellow	Red	Grey
Are knowledge, technology and data shared through knowledge-management systems, including networking, whilst respecting intellectual property rights?	Green	Yellow	Red	Grey
Are support services tailored to the needs of corporate (large-scale) and smallholder (small-scale) investors provided?	Green	Yellow	Red	Grey
Additional Comments:				

Economic principles

Principle 4: Recognition of the value of goods and services Planted forests, whether productive or protective, should be recognized for their provision of both market and non-market benefits, including wood and non-wood forest products and social, cultural and environmental services.	Adequately addressed	Needs attention	Needs substantial attention	Not applicable
Are the trade-offs between return on investment to the planted forests investor and the costs and benefits to society of goods and services from planted forests in terms of sustainable livelihoods, land use and forest management weighted?				
Are economic and market valuation improved to better recognize the full range of goods (wood, fibre, bioenergy, non-wood forest products) and environmental services (storage of carbon, conservation of biological diversity, protection of soil and water and provision of ecotourism, recreation and amenity value) from planted forests?				
Are benefits shared on an equitable basis between relevant stakeholders in planted forests, as well as in related land uses in the landscape?				
Are decision-making support tools being developed to help in planning and monitoring the provisions of goods and services from planted forests, spatially and temporally?				
Are methods being derived to better reflect the full value of planted forests in justifying investments by governments and private-sector investors (both corporate and smallholder)?				
Is the full value of planted forests goods and services in planning, management, monitoring and reporting applied, particularly by governments and local authorities, including in the setting of land-use priorities?				
Additional Comments				

Principle 5: Enabling environment for investment Governments should create the enabling conditions to encourage corporate, medium- and small-scale investors to make long-term investments in planted forests and to yield a favourable return on investment.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are stable and transparent investment, land-use and land management policies, laws, procedures and approval systems provided in order to give investors the confidence to make long-term investments in planted forests?	Yes	No	Yes	No
Are direct or indirect incentives provided to encourage long-term investment in planted forests that may be justified where society as a whole will benefit?	Yes	No	Yes	No
Are perverse incentives having adverse trade, social or environmental impacts, including perverse incentives originating in other sectors avoided or removed?	Yes	No	Yes	No
Are incentives reviewed at periodic intervals to address evolution in planted forests investment and management?	Yes	No	Yes	No
Are economic distortions avoided that reduce the value of planted forests or limit the opportunities for smallholder investors?	Yes	No	Yes	No
Is equity among competing land uses promoted in policies and priorities?	Yes	No	Yes	No
Additional Comments				
Principle 6: Recognition of the role of the market To improve the probability of achieving acceptable returns on investment, investors in planted forests, particularly those having productive functions, should design their planning and management to respond to signals from international and national markets. Establishment and management of planted forests should be market- rather than production-driven, unless established for environmental, protective or civic reasons.				
Is transparent access to market information and signals provided?	Yes	No	Yes	No
Is market intelligence on current markets and future trends and changes in the use of forest products and consumer behaviour monitored?	Yes	No	Yes	No
Are economic and regulatory policies, legislative regimes, guidelines and practices created that provide for fair competition and acceptable rates of return for investors, workers and local economies?	Yes	No	Yes	No
Are the emerging carbon trade markets recognized and the role of afforestation and reforestation in providing carbon sinks to mitigate climate change increasingly understood?	Yes	No	Yes	No
Is it recognized that the marketplace may not account for all the values that society may enjoy in planted forests?	Yes	No	Yes	No

Additional Comments:

Social and cultural principles

Principle 7: Recognition of social and cultural values Social and cultural values should be taken into consideration in planning, managing and using planted forests, including the welfare and empowerment of adjacent communities, workers and other stakeholders.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are the local community values, customary rights, traditional knowledge, religious values and tenure of indigenous peoples and ethnic minorities recognized in areas targeted for planted forests investments?	Green	Yellow	Red	Grey
Are the opportunities and capacity increased of indigenous peoples, ethnic minorities, local communities (including women and marginal groups) and smallholder investors to benefit from rights in the planning, management and use of planted forests?	Green	Yellow	Red	Grey
Are the various, multiple-use contributions of smallholder investors (including outgrowers) in planted forests and trees and their unique needs for support in terms of tenurial rights, training, extension, research, access to markets and benefit-sharing recognized?	Green	Yellow	Red	Grey
Is employment, adequate training, equipment and technology for health and safety, and acceptable mechanisms for promoting good practices provided, especially in considering neighbouring land uses and communities?	Green	Yellow	Red	Grey
Are education, health care and other social services strengthened in areas adjoining planted forests?	Green	Yellow	Red	Grey
Additional Comments	Green	Yellow	Red	Grey

Principle 8: Maintenance of social and cultural services The balancing of competing objectives in planted forests investment causes social and cultural changes. Thus it is necessary to adopt planning, management, utilization and monitoring mechanisms to avoid adverse impacts.				
Are socio-economic baselines and long-term impact assessments prepared prior to establishment of planted forests and monitoring changes periodically thereafter?				
Are conflict-resolution mechanisms established to address stakeholder disagreements over tenurial rights, access, social-service provision, employment issues and other rights to social and cultural services that might arise among investors or organizations involved in planted forests investment and management?				
Are a safe, healthy working environment and conditions, in compliance with national or international standards and laws provided?				
Are sites and landscapes of archaeological, cultural, traditional, spiritual, scientific, aesthetic or other sociocultural significance protected?				
Are community ancestral rights respected, for example for hunting or the collection of non-wood forest products, when planted forests are not put at risk?				
Are displacement or resettlement of communities without free, prior and informed consent prevented?				
Additional Comments:				

Environmental principles				
Principle 9: Maintenance and conservation of environmental services Planted forests management will impact the provision of ecosystem services. Thus planning, management, utilization and monitoring mechanisms should be adopted in planted forests in order to minimize negative impacts and promote positive ones, as well as to maintain or enhance the conservation of environmental services.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are policy, legal and planning frameworks formulated so as to encourage maintenance, conservation and restoration of environmental functions in planted forests?				
Are integrated watershed management approaches and the protection of soil from erosion adopted, including the use of appropriate technology and equipment on steep slopes?				
Are environmental impact assessments consistent with existing legal and policy requirements prepared?				

Are baselines established to monitor the impact of planted forests management on abiotic environmental services, such as impact on soil (including salinity), water and air quantity and quality?				
Are planted forests crops managed to minimize the adverse impacts of fire, pests, diseases and adverse weather conditions?				
Are carbon sequestration and provision of carbon sinks considered in the planning, management, utilization and monitoring of planted forests?				
Are sound operational standards and field practices applied, including contractor arrangements, in the establishment, management, harvesting and utilization of planted forests in order to minimize negative environmental impacts?				
Are the positive impacts that planted forests can have on the provision of environmental services recognized, including rehabilitation of degraded lands, restoration of landscapes, reclamation of sites and combating of desertification?				
Are voluntary certification programmes considered an acceptable mechanism for addressing environmental issues?				
Additional Comments:				
Principle 10: Conservation of biological diversity Planners and managers of planted forests should incorporate the conservation of biological diversity at stand, forest and landscape levels.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are management practices adapted to help maintain the diversity of plants and animals and conserve genetic resources?				
Is the role that planted forests can play recognized in relieving harvesting pressures on naturally regenerating forests and in providing habitats for indigenous flora and fauna?				
Are wildlife habitat diversity and the conservation of forest plants and animals (including aquatic species) protected by implementing measures from stand to landscape levels?				
Are baseline studies being prepared to monitor the impact of planted forests management on the maintenance of plants and animals and the conservation of genetic resources?				

Are naturally regenerating forests or other ecosystems of significant conservation value being converted into planted forests?	Green	Yellow	Red	Grey
Are illegal practices such as hunting or removal of animals, foraging and harvesting of plants controlled?	Green	Yellow	Red	Grey
Are indigenous species selected for the establishment of planted forests if they are equal to or better than introduced species for the purpose intended?	Green	Yellow	Red	Grey
Is the risk evaluated that introduced species may become invasive and have adverse effects on local biodiversity?	Green	Yellow	Red	Grey
Additional Comments	Green	Yellow	Red	Grey

Principle 11: Maintenance of forest health and productivity Arrangements are needed at national, subnational and forest levels to ensure that planted forests are managed so as to maintain and improve forest health and productivity and reduce the impact of abiotic and biotic damaging agents.	Orange	Orange	Orange	Orange
Is the high productivity of intensively managed planted forests recognized in terms of forest products and services?	Green	Yellow	Red	Grey
Are reforestation, soil conservation and other measures promoted after the harvest of planted forests?	Green	Yellow	Red	Grey
Is soil compaction by heavy equipment minimized?	Green	Yellow	Red	Grey
Are sound biosecurity measures applied (prediction, prevention, monitoring, rapid response to outbreaks and restoration) to reduce the incidence and impact of invasive species?	Green	Yellow	Red	Grey
Are integrated-pest-management approaches and the use of biological control of insects and diseases when possible adopted?	Green	Yellow	Red	Grey
Is the use of herbicides, pesticides, fungicides and other chemicals managed responsibly, in accordance with legal requirements and best-practice standards?	Green	Yellow	Red	Grey
Are chemical materials, containers and waste materials disposed in accordance with legal requirements and best-practice standards?	Green	Yellow	Red	Grey
Are science-based and regulatory policies, risk-management protocols, practices and monitoring in the use of biotechnology (including genetically modified organisms) in reproductive materials adopted?	Green	Yellow	Red	Grey
Are species and reproductive materials selected with the end-use/product objective, site conditions, environmental impacts, genetic diversity and risk of invasiveness in mind?	Green	Yellow	Red	Grey

Are the incidence and impact of wildfires reduced by improved prediction, prevention, monitoring, rapid response to emergencies and restoration following fires?	Green	Yellow	Red	Grey
Are planned fires used for wildfire hazard and fuel reduction, silvicultural purposes and habitat management?	Green	Yellow	Red	Grey
Are planned fires in land clearing and preparation avoided when science indicates that conditions could be adversely affected by fire?	Green	Yellow	Red	Grey
Are site-establishment practices that maintain or enhance productivity potential and forest health undertaken, while minimizing environmental impact?	Green	Yellow	Red	Grey
Is an efficient use of fertilizers practised, based upon periodic soil, mycoflora and/or foliar analyses and tailored to specific nutrient requirements during the rotation of planted forests?	Green	Yellow	Red	Grey
Is education, training, scientific research and networking supported in forest protection, forest health and the sustainability of site and crop productivity?	Green	Yellow	Red	Grey
Are silvicultural management and monitoring practices adopted that balance the trade-offs between maintaining the health and productivity of planted forests and reducing environmental risks, including those from neighbouring land uses?	Green	Yellow	Red	Grey
Additional Comments:				

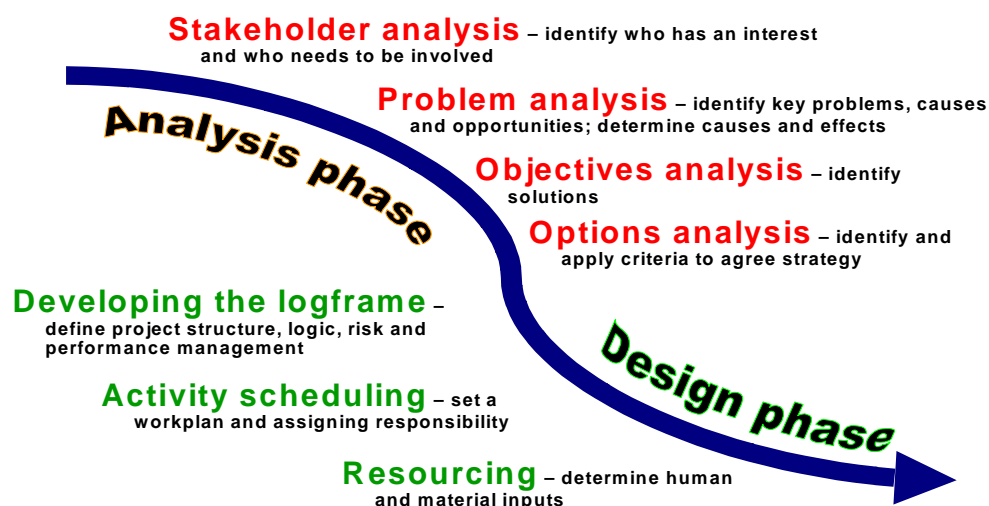
Landscape approach principles

Principle 12: Management of landscapes for social, economic and environmental benefits As planted forests interact with and impact upon local land uses, livelihoods and the environment, integrated planning and management approaches should be adopted within a landscape or watershed to ensure that upstream and downstream impacts are planned, managed and monitored within acceptable social, economic and environmental standards.	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
Are the respective roles of the continuum and naturally regenerating forests and planted forests having protective and productive functions and trees outside forests recognized – to varying degrees, they all provide economic, environmental, social and cultural services within a landscape or watershed, both spatially and temporally?				
Are local communities and the public educated through outreach programmes, so that they better understand the interrelationships in the management of planted forests, naturally regenerating forests, lands destined for conservation, grasslands, croplands and other land uses?				
Are naturally regenerating riparian reserves or buffers of varying widths retained on permanent and, where appropriate, non-permanent water courses, depending upon their size and their conservation importance?				
Are planted forests designed to provide corridors, where appropriate and practicable, between naturally regenerating forest areas with high environmental conservation value?				
Are the negative soil-, water-conservation and visual impacts of harvesting and other forest operations reduced?				
Are reserves having significant scientific and cultural value designated and monitored, within which planted forests management will be restricted?				
Are buffer zones adjoining local communities and land uses designated and monitored, where appropriate, to reduce adverse impacts resulting from the management of planted forests?				
Are roads and stream crossings located and selected for maintenance programmes appropriate to the landscape (social, cultural, environmental and economic);				
Additional Comments:				

Annex III. Logical framework approach

The “logical framework” refers to a planning/management tool which has been used in various forms for project planning over the past several decades. The logical framework (or log frame) is simply a table or matrix which is used to facilitate project planning by clearly presenting a hierarchy of project elements with associated indicators, means of verification and important assumptions. The initial stages of log frame preparation are identification of stakeholders, problem analysis and formulation of options to address the problems:

Phases of the logframe approach



When options are defined and agreed to, the log frame matrix is developed with the following hierarchy:

Design Summary	Indicators/Targets	Data Sources	Assumptions
Impact			
Outcome			
Outputs			
Actions			

Impact is the uppermost level of the log frame matrix and should refer to Government development priorities and/or Millennium Development Goals.

Outcome. Only one outcome is presented for a project.

Outputs are achieved by undertaking actions eg ten foresters trained in environmental impact assessment.

Actions to be undertaken eg will train ten foresters in environmental impact assessment

Figure 5.

Prior Steps Use appropriate and proportionate processes before starting on the logframe itself e.g. stakeholder, problem, objectives and options analyses.

Step 1 Define the Impact/Goal

To what national or sector level priorities are we contributing? What long-term benefits on the lives of the poor will happen partly as a result of the project? Several interventions may share a common Goal.

Step 2 Define the Outcome

What immediate change do we want to achieve? Why is the intervention needed? How will others change their behaviour as a result of the use, uptake or implementation of the outputs? How will development conditions improve on completion of the Outputs? Limit the outcome to one succinct statement.

Step 3 Define the Outputs

What will be the measurable end results of the planned activities? What products or services will the project be directly responsible for, given the necessary resources?

Step 4 Define the Actions

What needs to be actually done to achieve the outputs? This is a summary (not detailed workplan) showing what needs to be done to accomplish each output.

Step 5 Check the vertical logic back up Column 1

Apply the If/then test to check cause and effect. If the listed Actions are carried out, then will the stated Output result? Is what is planned necessary and sufficient? Are we planning to do too much or too little? And so on up Column 1.

Design Summary	Indicators/ Targets	Data sources	Assumptions
Impact			Outcome to Impact conditions
Outcome			Output to Outcome conditions
Outputs			Activity to Output conditions
Actions			Pre-conditions

Step 7 Re-check the design logic e.g. if the conditions are in place and we undertake the actions, will we deliver the Outputs? And so on up Columns 1 and 4. Move on to Step 8 overleaf.

Step 6d

With the outcome achieved, what conditions are needed to contribute to the impact/goal?

Step 6c

With the outputs delivered, what conditions are needed to achieve the outcome?

Step 6b

With the actions completed, what conditions are needed to deliver the outputs?

Step 6a

What conditions need to be in place for the activities to be done successfully?

Do a robust risk analysis.

At each level, identify risks by asking what can stop success. For each risk, evaluate its seriousness and probability; and identify mitigatory measures. **Manage the risks** by adding mitigatory measures planned within the project to Column 1 (mainly as activities, possibly as an output). The conditions that remain are the Assumptions in Column 4. Avoid mixing Assumptions and Risks.

Step 6 Define the assumptions at each level

Do a robust risk analysis to determine the Assumptions in the project design.

Annex IV. Defining following up actions

Name of action proposal	Description of action	Description of why action is needed	Description of how action will be taken	Description of who is in charge of what	Time framework	Budget framework

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