IMPLEMENTING THE NON-LEGALLY BINDING INSTRUMENT ON ALL TYPES OF FORESTS

A capacity building module for the implementation of the Forest Instrument

October 14, 2011

1. INTRODUCTION AND BACKGROUND

Forests cover one third of the world's land area, constituting the largest terrestrial ecosystems. They provide a wide range of economic, social, cultural and environmental services. More than 1.6 billion people depend, to varying degrees, on forests for their livelihood, and use forest resources for fuel, timber, food, medicine and income. Forests and woodlands also provide important global environmental services that include watershed protection, wildlife habitats, bio-diversity, carbon sequestration and maintenance of ecosystem functions. Although the local, national and global importance of forests to human well-being, socio-economic development, poverty reduction, biodiversity and environmental conservation, and achievement of the Millennium Development Goals is widely acknowledged, the forests continue to decline due to deforestation and forest degradation. Forests now cover 31% (4 billion ha) of the total land area but were lost, between 2000 and 2010, at an average rate of 13 million ha annually (FAO, 2010). 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, deforestation and forest degradation are estimated to produce 17% of worldwide greenhouse gas emissions. At the same time forests have a huge potential as carbon sinks accounting for an estimated 289 Gt of carbon in 2010 (FRA 2010). The significance of forests on a global scale reinforces the importance to manage them in a sustainable way and finding ways to ensure forests benefit present and future generations, which is the essence of sustainable forest management.

The importance of forests to sustainable development was brought into sharp focus at the United Nations Conference on Environment and Development (UNCED) held in Rio de Jenairo, Brazil in 1992, During the conference countries had intense negotiations over whether or not to have a forest convention to promote the management, conservation and sustainable development of all types of forests, Although the countries eventually failed to agree on a forest convention they managed to agree on the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of all Types of Forests, also known as the Forest Principles, as well as Chapter 11 of Agenda 21: Combating Deforestation. The international dialogue on forest policies was continued under the United Nations through the Intergovernmental Panel on Forests (IPF,1995-1997) and the Intergovernmental Forum on Forests (IFF,1997-2000), These processes culminated in the over 270 IPF/IFF proposals for action, and the establishment of the United Nations Forum on Forests (UNFF), The UNFF was established as part of a new international arrangement on forests, to carry on the work building on the IPF and IFF processes. In 2006 the UNFF adopted the four shared Global Objectives on Forests.

Following nearly 3 years of intense negotiations, Forum members agreed on and adopted the Non-Legally Binding Instrument on all Types of Forests (NLBI) also commonly known as the Forest Instrument. This was adopted by the United Nations General Assembly in 2007, The adoption of the Forest Instrument is an important step to move forward in achieving sustainable forest management globally. It is the first time since UNCED in 1992 that the member states of the UNFF have been able to agree – albeit on a voluntary basis – on a series of measures at the international and national levels to strengthen forest sector governance, technical and institutional capacity, policy and legal frameworks, forest sector investment and stakeholder participation, within the framework of national forest programmes (nfps).

The adoption of the Forest Instrument comes at a critical point, when climate change is high on the agenda of the international forestry community. Deforestation and forest degradation are major sources of greenhouse gas emissions. Implementing the Forest Instrument will contribute to mitigating the effects of climate change and to implementing the United Nations Framework Convention on Climate Change. It will strengthen countries' policy and institutional capacity to combat deforestation and forest degradation, and to achieve sustainable forest management.

Most countries are already making efforts to implement, at various scales, at least some of the policy measures adopted in the Forest Instrument, mostly in the context of their nfps or similar forestry development plans or programmes. However, they do not link their activities to the Instrument due to lack of sufficient knowledge of the Instrument. Many countries have not yet carried out a systematic assessment of where they stand in relation to the implementation of the Forest Instrument or assessed progress towards the achievement of SFM and the global objectives on forests. Therefore awareness raising on the usefulness of the Instrument and capacity building on how to implement, monitor and report on the Instrument at the country level is crucial if the number of countries implementing and reporting on the Forest Instrument is to be increased. Stakeholders in countries need to gain a better understanding of the purpose and objectives of the Instrument and of its usefulness in achieving progress in their efforts to sustainably manage their forest resources.

1.1 WHAT IS THE PURPOSE OF THIS CAPACITY DEVELOPMENT MODULE?

The capacity development module aims at facilitating the implementation and monitoring of the Forest Instrument (NLBI) at national level for the achievement of sustainable forest management. It should help the stakeholders to better understand the Instrument and how to integrate its implementation and monitoring into national forest programmes in particular and national development programmes in general.

The capacity development module is based on the experience from the four pilot countries (Ghana, Liberia, Nicaragua and the Philippines) that have been implementing pilot projects on the implementation of the Instrument. More specifically the scope of the module covers what the Instrument is, why countries should implement the Instrument, suggested approaches for implementation, how to monitor progress and report on progress to the UNFF and other forestry related initiatives at international regional and national levels:

1.2 THE LEARNING OBJECTIVES OF THE CAPACITY DEVELOPMENT MODULE
The specific learning objectives are to:

1. Increase awareness amongst national/country stakeholders of the NLBI and its importance
2. Increase number of countries systematically implementing the NLBI
3. Increase the number of countries reporting on progress in achieving the NLBI and its four Global Objectives on Forests objectives / NLBI implementation
4. Provide a coordinated basis for reporting progress on implementing forestry activities to the different international forestry related processes (e.g. the MEAs)

1.3 THE TARGET GROUP
This module is targeted at national personnel that are charged with implementation of national forestry programmes and initiatives. In particular this introductory module is targeted at heads of national forestry agencies, National Forestry Programme (NFP) focal points, United Nations Forest Forum focal points and the national correspondents for the FAO Global Forest Resources Assessment. However at national level this can also be useful to leaders of civil society organisations and local authorities implementing forestry activities and participating in UNFF.

2: INTRODUCTION TO THE FOREST INSTRUMENT

Overview of what will be covered:

- Origin and purpose of the NLBI-
- Global objectives on forests
- Guiding Principles of the NLBI
- National policies and measures

2.1 Origin and purpose of the NLBI

The importance of forests to sustainable development was brought into sharp focus at the United Nations Conference on Environment and Development (UNCED) held in Rio de Jenairo, Brazil in 1992. During the conference, countries did not agree to having a convention mainly due to lack of consensus on forest business and the strong view that forests are a sovereign issue. However, they managed to agree on the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of all Types of Forests, also known as the Forest Principles, as well as Chapter 11 of Agenda 21: Combating Deforestation. The international dialogue on forest policies was however continued under the United Nations through the Intergovernmental Panel on Forests (IPF,1995-1997) and the Intergovernmental Forum on Forests (IFF, 1997-2000). On 18 October 2000, Economic and Social Council (ECOSOC) adopted Resolution E/2000/35, *outlining an international arrangement on forests and establishing the UNFF as a subsidiary body of ECOSOC.* The international arrangement on forest comprised the UNFF as the UN's principal forest policy making body, the Collaborative Partnership on Forests (led by FAO), the Multi-Stakeholder Dialogue, inputs and support from regional and sub-regional processes and evolving financial arrangements.

The main objective of the international arrangement on forests is *to promote the management, conservation and sustainable development of all types of forests and to strengthen long-term political commitment to this end.*

Its purpose is to:

- promote the implementation of internationally-agreed actions on forests at the national, regional and global levels;
- provide a coherent, transparent and participatory global framework for policy implementation, coordination and development; and
- carry out principal functions, based on the Rio Declaration, the Forest Principles, Chapter 11 of Agenda 21, and the outcomes of the IPF and the IFF, in a manner consistent with and complementary to existing international legally-binding instruments relevant to forests, such as the Convention on Biological Diversity (CBD), United Nations Framework convention on Climate Change (UNFCCC) and the United Nations Convention on Combating Desertification and Drought

In order to achieve its main objective, the UNFF has the following principal functions:

- To facilitate implementation of forest-related agreements and foster a common understanding on sustainable forest management;
- To provide for continued policy development and dialogue among Governments, international organizations, including major groups, as identified in Agenda 21 as well as to address forest issues and emerging areas of concern in a holistic, comprehensive and integrated manner,

- To enhance cooperation as well as policy and programme coordination on forest-related issues
- To foster international cooperation and
- To monitor, assess and report on progress of the above functions and objectives
- To strengthen political commitment to the management conservation and sustainable development of all types of forests.
- Enhance the contribution of forests to the achievement of the internationally agreed development goals, including the Millennium Development Goals, and to the implementation of the Johannesburg Declaration on Sustainable Development and the Plan of Implementation of the World Summit on Sustainable Development, bearing in mind the Monterrey Consensus of the International Conference on Financing for Development;
- Encourage and assist countries, including those with low forest cover, to develop and implement forest conservation and rehabilitation strategies, increase the area of forests under sustainable management and reduce forest degradation and the loss of forest cover in order to maintain and improve their forest resources with a view to enhancing the benefits of forests to meet present and future needs, in particular the needs of indigenous peoples and local communities whose livelihoods depend on forests;
- Strengthen interaction between the United Nations Forum on Forests and relevant regional and subregional forest-related mechanisms, institutions and instruments, organizations and processes, with participation of major groups, as identified in Agenda 21 and relevant stakeholders to facilitate enhanced cooperation and effective implementation of sustainable forest management, as well as to contribute to the work of the Forum;

2.2 Global Objectives on Forests

In 2006, at its sixth session, the Forum agreed on four shared Global Objectives on Forests, providing clear guidance on the future work of the international arrangement on forests. The four Global Objectives seek to:

- Reverse the loss of forest cover worldwide through sustainable forest management (SFM), including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation;
- Enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest-dependent people;
- Increase significantly the area of sustainably managed forests, including protected forests, and increase the proportion of forest products derived from sustainably managed forests; and
- 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 SFM.

2.3 The Non-legally Binding Instrument on All Types of Forests (NLBI)

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.*

Justification

The introductory section of the NLBI presents the justification for having the NLBI:
- Forests and trees outside forests provide multiple economic, social and environmental benefits and sustainable forest management contributes significantly to sustainable development and poverty eradication,

- There is existing consensus on forests such as the Forest principles, the proposals for action of the Intergovernmental Panel on Forests/Intergovernmental Forum on Forest and resolutions and decisions of the United Nations Forum on Forests;

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

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

- The need to strengthen political commitment and collective efforts at all levels,

- Effective implementation of sustainable forest management is critically dependent upon adequate resources, including financing, capacity development and the transfer of environmentally sound technologies, in particular the need to mobilize increased financial resources,

Purpose of the Forest Instrument

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
- 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.

2.4 Guiding principles of the NLBI

The guiding principles of the NLBI as defined in UNFF resolution (UNFF A/RES/62/98) are:

- The instrument is voluntary and non-legally binding;

- Each State is responsible for the sustainable management of its forests and for the enforcement of its forest-related laws;

- Major groups (as identified in Agenda 21) 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;

- 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;

- Achieving sustainable forest management also depends on ***good governance*** at all levels;

- ***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.

2.5 National policies and measures of the NLBI

In order to achieve the purpose and objectives of the Instrument, and taking into account national policies, priorities, conditions and available resources, member states committed themselves to

implement a series of policies and measures that are necessary to the achieve sustainable forest management. These are presented below in abridged version (see full text);

1. Develop and implement NFPs or similar strategies for SFM and integrate them into strategies for sustainable development incl. PRS

2. Consider the seven thematic elements of SFM (Appendix2)

3. Promote the use of management tools to assess the environmental impact of projects affecting forests; promote good environmental practices

4. Develop/implement policies that encourage SFM to provide a wide range of goods and services, contribute to poverty reduction and the development of rural communities

5. Promote efficient production and processing of forest products

6. Support the protection and use of traditional forest-related knowledge and practices incl. fair and equitable sharing of benefits

7. Further develop and implement C&I for SFM

8. Create enabling environments for investment by private sector, communities + other forest

9. Develop financing strategies taking into account all funding sources

10. Encourage recognition of range of values from forests and ways to reflect such values in the marketplace

11. Enhance cross sectoral policy and programme coordination to integrate the forest sector into national decision-making processes

12. Integrate national forest programmes or other strategies of SFM into national sustainable development strategies e.g. PRSs

13. Establish or strengthen partnerships and joint programmes with stakeholders

14. Review and improve forest legislation, strengthen forest law enforcement, promote good governance

15. Address threats to forest health and vitality from natural disasters and human activities

16. Develop or expand, and maintain networks of protected forest areas and assess the conditions and management effectiveness of existing protected forest areas

17. Assess the conditions and management effectiveness of existing protected areas

18. Strengthen the contribution of science and research in advancing SFM; incorporate scientific expertise into forest policies and programmes

19. Promote the development and application of scientific and technological innovations, incl. for local communities

20. Strengthen public understanding of the importance and benefits of forests and SFM

21. Promote access to and support formal and informal education, extension and training, for implementation of SFM

22. Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners to develop forest management approaches that reduce pressure on forests

23. Promote active and effective participation of major groups, local communities, forest owners and other relevant stakeholders in the development implementation and assessment of forest related national policies, measures and programmes

24. Encourage the private sector and civil society organizations to implement voluntary instruments such as certification, promote products from sustainably managed forests and improve market transparency

25. Enhance access by households, small-scale forest owners and communities to forest resources and markets

Monitoring, assessment and reporting

Member states also noted the importance of monitoring and reporting and agreed as follows:

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

- 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.

E**xercise 2.1:** *Ask participants by country to indicate the type of forest development framework they are using i.e. NFP, Master plan. Forest policy statement or other equivalent and when it was developed or adopted. Which of the policies and measures are being implemented in your country?* This exercise can be undertaken in country groups or as an individual exercise.

The second part of the exercise is for participants to check or assess which of the national policies and measures are being implemented in their countries. An important handout here is the copy of the NLBI. This is a simple exercise where the participants simply identify what their countries are doing by ticking "Yes" or "No". This exercise will help participants to reflect and relate the policies and measures to their own situations. This exercise should take 45 minutes (25mitues for group work and 15 minutes plenary presentation). The exercise instructions and tools are provided in Appendix 1.

3   WHY SHOULD COUNTRIES IMPLEMENT THE FOREST INSTRUMENT?

Overview of what will be covered

- *Introduction and Exercise*
- *NLBI as a forestry development framework*
- *Linking the NLBI to national and other development frameworks*
- *Linking NLBI to international forestry related agreements and development goals*
- *The NLBI as a framework for enhancing inter-sectoral coordination*
- *The NLBI as a basis for resource mobilisation*

Exercise 2.1: Benefits of implementing the NLBI/FI

The exercise will be undertaken in three mixed groups of 7-9 people. The exercise involves participants identifying, from their own perspective, what could be the reasons for, and expected benefits from, implementing the Forest Instrument. The exercise will take 1 hour including plenary presentations). The exercise instructions are presented in Appendix 1.

Introduction

Most countries are already implementing forest development plans and programmes at various scales that include at least some of the policy measures adopted in the Forest Instrument. For example many developing countries are implementing community-based forest management programmes as part of their national forest programmes (nfps) whilst others are part of the FLEGT process. These programmes directly contribute to the implementation of the policy measures on:
"enhancing access of households, small scale forest owners and forest dependent communities to forest resources and improving forest legislation and strengthening forest law enforcement" respectively.

The national policies and measures represent a broad and comprehensive set of measures required at national level to achieve sustainable forest management. However, the majority of the countries have not yet conducted a deliberate assessment of where they are in relation to implementation of the Forest Instrument's national policies and measures or assessed progress through monitoring. In order to facilitate implementation of the NLBI, it would be useful if countries could systematically relate their National Forest Programme (nfp) to the Forest Instrument, and identify those areas of the Forest Instrument that are inadequately addressed by their current national policies, strategies and ongoing forestry-related development initiatives. This would provide them with a basis for prioritizing areas for incorporating into their national forest programmes in order to advance their efforts towards achieving sustainable forest management. At the country level most forestry stakeholders are not familiar with the Forest Instrument, its purpose and objectives. Stakeholders in the countries need to gain a better understanding of the forest instrument and of its usefulness in achieving progress in their efforts to sustainably manage their forest resources. In particular implementing the NLBI provides a country with an opportunity to view and implement forestry initiatives in a comprehensive and systematic manner.

In this regard the expected benefits include:

- Heightened political commitment to sustainable forest management (SFM) at national level

- An overarching framework for forestry development

- Improved environmental, social and economic contribution of forests at national level and to internationally agreed development and environmental sustainability goals

- A single framework for coordination of national and international forestry actions

- A holistic and comprehensive "360 degree" view of forests that reduces fragmentation of efforts and programmes

- A tool for assessing progress towards sustainable forest management at national level

Some of the benefits are described in detail below:

a) Taking the NLBI as an overarching forestry development framework

The NLBI can serve as an overarching framework for facilitating integration of national and international forestry-related policies and programmes at national level. It enhances coordination among various forest-related policy processes and programmes which, in most countries, are often implemented in a fragmented manner. The fragmentation often leads to duplication and inefficient use scarce resources. In the worst case it can even lead to contradictory policies, legislation and programmes. Coordination is particularly important for international forest and related initiatives such as forest biodiversity conservation, reducing emissions from deforestation and forest degradation (REDD+), Forest Law Enforcement, Governance and Trade (FLEGT) and related to this, the Voluntary Partnership Agreements (VPA) between the EU, and partner countries and combating desertification. Coordination is also important with other forest-relevant sectors of the national economy.

b) Linking the NLBI to national development frameworks

Implementation of the NLBI provides an opportunity of integrating forest related policies and programmes into national development frameworks such as poverty reduction strategies, NAPAS and NEMAs. This can be achieved by incorporating the priority policies and measures into the national forest programmes and ensuring these are properly integrated into the national development programmes. There are several approaches that can be used to ensure integration into national development plans, The first approach is to clearly articulate the contribution of forests to the national economy and then ensuring this is reflected in the periodic national development plans, For example Uganda has identified forestry as one of the four drivers of economic growth in its current five year national development plan. In, they recently took advantage of the drafting of a new constitution to incorporate forestry into their national development plan with a target of reaching 10% forest cover in the next 20years,

c) Linking with and coordinating international forestry related agreements and development goals

There are many international forestry-related processes that are being implemented by national governments especially under the three environmental conventions namely CBD, UNFCCC and UNCCD. Countries can use implementation of the NLBI to facilitate and coordinate implementation of forestry activities under the international the various forestry programmes and processes.

d) Taking the NLBI as a framework for enhancing inter-sectoral coordination

There are many forest related processes and initiatives that are being implemented in other sectors such as energy, water, agriculture and environment. By conducting an inventory of all on-going forestry related actives, using the FI national measures as a checklist, and identifying the stakeholders involved, implementation of the FI can provide a basis for effective cross-sectoral coordination. This is essential for harnessing synergies and avoiding duplication and sometimes contradictory policies and initiatives at country level.

e) A basis for resource mobilisation

By deliberately integrating the elements of the NLBI into the nfp and clearly demonstrating the link between the nfp and the NLBI, and in particular the contribution to the global objectives of achieving SFM and the global objectives on forests, countries can have a basis for developing a comprehensive financing strategy. Experience to-date has shown that most developing countries have difficulties implementing their nfps due to lack of financial resources and institutional capacity. To address these challenges the countries are developing comprehensive financing strategies to mobilise financial and technical resources from all sources especially domestic public financing, private sector investment and bilateral and multilateral support. Where the contribution of the nfp to the NLBI and the global objectives on forests is clearly articulated it may be easier to guide and convince development partners to contribute to the funding of the nfp.

Exercise 2.2: *Stakeholder analysis*

The participants will be asked to identify the important stakeholders who need to be informed of, and participate in, the implementation of the Forest Instrument. In addition they participants will be asked to identify or suggest the awareness raising strategies and methods they could use to reach the identified stakeholders. This will be done in country groups. The exercise instructions are given in Appendix 1)

4: APPROACHES TO IMPLEMENTING THE FI

Introduction and overview of session:

- Introduction
- Awareness raising
- Assessment of on going activities against the 25 policies and measures
- Identify gaps and define priority actions
- Development of an action plan
- Mobilise financial and other resources for implementing the action plan

Introduction

Whilst many developing countries are already implementing some components of the Forest Instrument, often in the context of their nfp, these efforts are not linked to the Forest Instrument and do not cover the full range of policy measures agreed in the Forest Instrument. One of the challenges that have been observed is that countries may be uncertain about how to approach implementation of the Forest Instrument when they have their own national forest programmes. This section provides a suggested implementation approach that is based on the experiences of the pilot activities being conducted in Ghana, Liberia, Nicaragua and Phillipines. The suggested approach is presented below

Awareness raising
This step involves mobilising the key stakeholders and organising NLBI awareness raising activities to ensure that all stakeholders understand the purpose and objectives of the FI and how it can benefit them and the country. For example in many countries there are multi-stakeholder steering committees established as part of the nfp and in other countries (e.g. in east Africa) there are national forestry working groups. It is important to use existing platforms to avoid duplication and ensure long term sustainability. However it is important to ensure that other key stakeholders especially from outside the forestry sector who are involved in forestry-related activities are not excluded. This step is also important for securing agreement and consensus among all key stakeholders on the processes and methods for implementing the FI. A common method that can be used to initiate this process is a national FI launch workshop attended by all the key stakeholders at national level. This should be accompanied by development of publicity and information materials such as brochures, leaflets, posters and web-based materials (insert pictures of brochures in power point presentation). An example of publicity materials from Ghana is shown below.

Inventory of all on-going forestry initiatives

It has proven to be useful to begin the implementation of the Forest Instrument with a thorough assessment of ongoing country initiatives to support sustainable forest management, in order to better understand what programmes are being implemented in the country and the perceptions of the stakeholders on how well this is being done. An inventory of all on-going forestry initiatives including their funding sources should be conducted in order to determine the extent to which the FI national policies and measures are/have been implemented. This can be done through assessments at the different levels in order to get a comprehensive picture and capture the perceptions of a wide range of stakeholders. This could involve holding the stakeholder workshops at the different levels where stakeholders identify the current on-going activities and cluster them under the 25 policies and measures to see how well these are already covered. In some cases this task may be done by the project facilitators or consultants

Assessment of the situation of the country with respect the 25 policies and measures of the NLBI

The purpose of this step is to:

- Identify where the country stands in relation to the NLBI,

- Identify the strengths, weaknesses and gaps of the current programmes and

- To provide orientation to the National Forest Programme (nfps) by identifying priority actions

- To establish a baseline for monitoring

This step involves evaluating the extent to which each of the 25 policies and measures is being implemented in a region or country and could draw on the inventory of on-going activities conducted earlier. This is a participatory assessment based on stakeholder perceptions of what is going on in the country. In this regard this should be done through a multi-stakeholder consultation process in order to get the perceptions and views of a wide range of stakeholders (e.g. private companies, local authorities, local community institutions, civil society, forest associations and cooperatives, relevant

government institutions etc.) from the forest sector at national, regional and local level. The stakeholders should develop and agree on assessment criteria to ensure they have a systematic way of conducting the evaluation. This can be done through a scoring system based on a rating of the extent to which a policy measure is being implemented. An example of a simple scoring system used by the pilot countries is shown below:

0	The measure has not been addressed/absent from national forest programme
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

Example of assessment using the scoring system

No. Policy/measure	National Policy	Justification	Rating
1	Formulate, execute, publish, as needed, up-date the national forest programs.	There is NFP and implementation strategy	3
5	Promote efficient production and processing of forest products,	Limited actions. Still using inefficient technology. No support for small-scale	1
17	Assess conditions and effectiveness of the management in the forest protected areas.	Nothing has been done	0

Identify gaps and define priority actions

The identification of gaps is based on the results of the evaluation of the extent to which each national policy and measure is being implemented. All the policies and measures with a low score e.g. 0-1 are considered to be areas of weakness and gaps whilst the high scores represent where the country's strengths are. It is important that the stakeholders agree on the scoring and the interpretation of the results. Based on the identified gaps and weaknesses the consultative platforms should identify and agree on priority actions required to improve the country's efforts towards achieving SFM. The priority areas for action are selected from the list of policies and measures that are receiving the least to no action but are considered important for the attainment of sustainable forest management in the country or region. The selection of priority policies and measures can be done through a simple voting process. The top five policies and measures selected from the gaps and weaknesses assessment represent the priorities. An example of the top five priorities for Ghana and Nicaragua is presented below:

Table 1: Prioritized Policies and Measures for Nicaragua

No Policies and Measures	PRIORITIZED POLICIES AND MEASURES
5	Promote efficient production of forest products to reducing waste and enhancing recycling.
8	Create an enabling environment to encourage private sector investment, local and indigenous communities in the sustainable management.
10	Promote recognition of the value of goods and services provided by all types of forests.
11	Define and apply measures to intensify inter-sectional cooperation and coordination of the policies and programmes among the sectors.
19	Promote the development and application of scientific and technological innovations in sustainable forest management.

Exercise 4.1: *Assessment of extent to which the 25 national policies and measures are being implemented: Participants will be divided into country groups and will be asked to assess the extent to which the 25 national policies and measures are being implemented in their countries. This will be done through a brainstorming and scoring system. The participants will also be asked to identify the five priority measures/actions for their country based on the assessment using a voting system. At the end of the exercise, the country priorities are compared.*

Develop and implement an action plan

Once the priority actions have been defined by the stakeholders based on the gaps and priorities, it is suggested to develop an action plan for achieving the goals of the priority actions. The action plan can be in the form of specific strategies, projects or programmes. In order to ensure that these actions are properly and efficiently integrated into the national forest sector development framework, they should be integrated into the National Forest Programme (nfp) and be implemented as part of the programme. This not only ensures cohesion with other on-going initiatives but facilitates ownership at national level by all stakeholders, avoids duplication and increases efficiency in terms of implementation and monitoring.

Mobilise financial and other resources for implementing the action plan

Most developing countries have difficulties implementing all the agreed measures due to lack of financial resources and inadequate institutional capacity. It is therefore imperative for countries to develop comprehensive national financing strategies for the nfps that integrate the NLBI policies and measures. This is based on detailed assessment of the technical, human and financial resources required to implement the action plan (i.e. develop an implementation budget). This should also be accompanied by an assessment of the existing and potential sources of financing (private sector, communities, government or the international community) for the different activities and requirements. The assessment of existing financing mechanisms can also draw from experiences of other relevant sectors such as agriculture. A clear determination and articulation of the resources required to implement the programmes and projects is essential for convincing both governments and bilateral and multilateral donors who have expressed interest in funding implementation of the Forest Instrument.

Exercise: 4.2 Action Plan: Based on the outcomes of the exercise 4.1 above participants are to develop in develop an action plan for implementing the five top priorities. The plan should cover what is to be done, when, by whom and with what. Instructions for the exercise are given in Appendix 1

5: MONITORING IMPLEMENTATION OF THE NLBI

Introduction and session overview

- **Why monitor**

- **What to monitor**

- **How to monitor-**

- **Monitoring and reporting**

5.1 Why monitor the implementation of the NLBI?

Monitoring and evaluating progress in implementation is an important component of implementing the Forest Instrument (FI) as it will assist the stakeholders to continuously assess their progress towards achieving their goals and objectives. In addition it will help the stakeholders gain a better understanding of the enablers and challenges encountered in implementing the FI. It will also help in identifying the strengths and weaknesses of the overall national forest programme and stakeholders will be able to pinpoint those areas that need the most urgent attention. Thus the monitoring information will be useful to stakeholders in reviewing the nfp and in planning and other decision-making processes. Depending on the scope of the national policies and measures being implemented by a country at a given time, the data and information collected through the FI monitoring system can be used for reporting on forestry activities and achievements to various national and international processes such as programmes under the multilateral environmental conventions and the UNFF.

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. 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 collaborative and institutional learning while helping the Government and other stakeholders to be accountable to the public about actions taken in relation to implementing their NFP.

Monitoring and evaluation of the NLBI process offers the possibility to harmonize with 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. Finally monitoring and evaluation will help identify the inputs and the amount of human and financial resources necessary to reach the desired results and for a country to achieve sustainable forest management and the global objectives on forests. This information will be useful in providing concrete evidence that is required by governments and other development partners trying to mobilise resources from different sources.

5.2 How to monitor

The assessment of the current situation vis-à-vis the 25 national policies and measures of the Forest Instrument that is carried out at the beginning of the implementation process provides a useful basis

for establishing the monitoring system. In particular it provides a basis for establishing or determining the baseline information required for assessing changes as a result of implementation of the NLBI process. It provides a basis for designing a more comprehensive baseline that is informed by what is existing and the identified priority actions. The M&E system, including the baseline survey, to be developed for implementation of the NLBI should be in line with available resources and should be integrated with and complementary to relevant existing M&E systems. In addition, it is important to involve key stakeholders in the process of developing the monitoring system and identification of key indicators. This ensures that the stakeholders identify with, and take ownership of, the subsequent M&E process. This will help in the clarification and assignment of monitoring roles and responsibilities to different stakeholders. In this regard a participatory approach to the design of the FI M&E system is required. The design of the system should address the following key issues:

a. Definition of scope, purpose, intended use and potential users:

It is important to define the scope of activities to be monitored, the results expected from the monitoring, the intended use of the monitoring data and who the potential users of the information are. This will ensure that the needs of the stakeholders are taken on board and that the monitoring is targeted and not general. Knowledge of the intended uses and users also guides the selection of parameters and indicators for measuring change and impacts..

b. Linking with existing M&E systems

In most countries, a number of forest-related programmes and initiatives already exist prior to the commencement of the NLBI implementation process, some of which already have an M&E system. It is therefore important to identify and analyze the existing M&E systems with relevance to SFM and identify opportunities for integrating them with the NLBI monitoring system. In fact the M&E system for the NLBI should be integrated into, and implemented through, the NFP. This will provide opportunities for the harmonization and coordination of other forest development processes and measures (e.g. REDD+, FLEGT, and VPA) with the National Forest Programme. This will help to avoid duplication of efforts and reduce the financial burden of monitoring. 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.

c. Determination of indicators

Indicators provide a means for assessing and measuring changes and achievements resulting from the implementation of the NLBI. They are used to measure whether, and to what extent, the objectives and expected results are being achieved through the NLBI process. It is important to identify both quantitative and qualitative indicators to be able to effectively measure the results and impacts of the NLBI implementation process. In general it is advisable to select and use a limited number of key indicators that are easy to assess while providing a reasonable measure of progress achieved. It is also important to involve key stakeholders in the process of identifying the indicators in order to ensure that their interests are taken on board and they can identify with and own of the M&E process. Examples of indicators for measuring achievement of SFM include:

- Increase of percentage of forest under SFM
- Increase in volume and percentage of processed forest products
- Increase in value of processed forest products
- Volume of private sector investment in SFM
- incidence of forest pests and diseases
- Percentage of protected forests
- Percentage/hectarage of certified forests
- Number of community households accessing forests

d. Identification of methods and frequency of data-gathering and data management;

Once the indicators have been selected it is important to determine the methods and frequency of data collection. This will help in determining the amount of resources required, who will be involved or responsible for collection of which data, how this data will be stored and shared. It is important to

ensure that the methods and frequency of measurement selected give realistic and adequate data. For example the period between measurements should be long enough to allow for change to have occurred. The assignment of roles and responsibilities right at the onset is also critical for determining what additional resources are required. It is important that the monitoring activities be tailored to available resources.

e. Data collection and analysis

The availability and quality of data and information generated from the monitoring and evaluation system is very important as it determines the usefulness of the whole NLBI process. In this regard data collection is critical and should be managed efficiently and effectively. For example it should cover all the data required based on the indicators selected by the stakeholders and the information required by users. On the other hand, data collection can easily become a time-consuming and costly exercise. It is therefore important to find a balance between the frequency of measurement, the precision and amount of data collection and cost.

An important component is to collect baseline data. A systematic collection of baseline data and information should take place early into the implementation of the NLBI process when all relevant stakeholders and implementing agents have a reasonable understanding of the purpose of the NLBI, its role and the benefits of implementing it. The assessment of the current situation vis-à-vis the 25 national policies and measures of the FI that is carried out at the beginning of the implementation process provides a basis for designing a comprehensive baseline that is informed by what is existing and the priority actions for implementation..The baseline assessment should take into account available sources of data to avoid duplication of data collection. It should be limited to the minimum information required to obtain a good understanding of the current situation. Baseline information will enable stakeholders to have a benchmark against which to measure changes achieved through implementation of the NLBI process. It also helps to refine the indicators, frequency of measurement and the assignment of responsibilities based on what is actually on the ground. In this regard this exercise should be combined or be part of the initial situation analysis studies and identification of existing forestry-related initiatives. It is important to limit data collection to the minimum necessary to gauge progress and to identify possible challenges to NLBI implementation. At the same time it should cover the information/parameters required for national and international reporting. This will help in ensuring that the data collection efforts and costs are in line with the available human and financial resources as well as the available institutional capacity.

f. Mechanisms for analysis and feedback to decision makers;

The monitoring system must include very clear guidelines on who will be responsible for conducting analysis and providing results to the relevant stakeholders. This will ensure generation of targeted information and early uptake and use of the information. In particular the information that should be provided to decision makers at various levels must be clearly identified and the methods and channels of communication clarified.

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. 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 system, including representatives of the civil society organizations engaged in the forest sector or research organizations.

Exercise: Performance monitoring plan: The participants will be asked to develop a performance monitoring plan. This exercise will be based on the previous exercise on the implementation plan developed is session 4, and will allow participants to develop indicators of achievement, identify the

specific parameters to be measured or monitored, frequency of monitoring and who will be responsible. Instructions for the exercise are provided in Appendix 1.

APPENDIX 1

INSTRUCTIONS FOR EXERCISES

Exercise 1.1: *Relating existing national forestry development framework to the NLBI policies and measures*

Ask participants by country to indicate the type of forest development framework they are using i.e NFP, Master plan, forest policy statement, forest law or other equivalent and when it was developed or adopted.

2 Questions:

- *Which of the policies and measures are included in your forest policy framework?*

- *Which of the policies and measures are actually implemented in your country?*

No. of Policy measure	Policy /measure	Included in forest policy framework		Actually implemented	
		Yes	No	Yes	No
1	Develop and implement NFPs or similar strategies for SFM and integrate them into strategies for sustainable development incl. PRS				
2	Consider the seven thematic elements of SFM				
3	Promote the use of management tools to assess the environmental impact of projects affecting forests; promote good environmental practices				
4	Develop/implement policies that encourage SFM to provide a wide range of goods and services, contribute to poverty reduction and the development of rural communities				
5	Promote efficient production and processing of forest products				
6	Support the protection and use of traditional forest-related knowledge and practices incl. fair and equitable sharing of benefits				
7	Further develop and implement C&I for SFM				
8	Create enabling environments for investment by private sector, communities and other forest				
9	Develop financing strategies taking into account all funding sources				
10	Encourage recognition of range of values from forests and ways to reflect such values in the marketplace				
11	Enhance cross sectoral policy and programme coordination to integrate the forest sector into national decision-making				

	processes				
12	Integrate national forest programmes or other strategies of SFM into national sustainable development strategies e.g. PRSs				
13	Establish or strengthen partnerships and joint programmes with stakeholders				
14	Review and improve forest legislation, strengthen forest law enforcement, promote good governance				
15	Address threats to forest health and vitality from natural disasters and human activities				
16	Develop or expand, and maintain networks of protected forest areas and assess the conditions and management effectiveness of existing protected forest areas				
17	Assess the conditions and management effectiveness of existing protected areas				
18	Strengthen the contribution of science and research in advancing SFM; incorporate scientific expertise into forest policies and programmes				
19	Promote the development and application of scientific and technological innovations, incl. for local communities				
20	Strengthen public understanding of the importance and benefits of forests and SFM				
21	Promote access to and support formal and informal education, extension and training, for implementation of SFM				
22	Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners to develop forest management approaches that reduce pressure on forests				
23	Promote active and effective participation of major groups, local communities, forest owners and other relevant stakeholders in the development implementation and assessment of forest related national policies, measures and programmes				
24	Encourage the private sector and civil society organizations to implement voluntary instruments such as certification, promote products from sustainably managed forests and improve market transparency				
25	Enhance access by households, small-scale forest owners and communities to forest resources and markets				

This exercise will help participants to reflect and relate the policies and measures to their own situations.

Time: This exercise should take 30-45minutes (25 exercise and 20 presentation)

WHY IMPLEMENT NLBI?

Exercise 2.1: Benefits of implementing the NLBI/FI

The exercise will be undertaken in three mixed groups of 7-9 people. The exercise involves participants identifying, from their own perspective, what could be the reasons for, and expected benefits from, implementing the Forest Instrument.

Question: *What could be the reasons for, and expected benefits from, implementing the Forest Instrument?*

Participants in each group will choose a facilitator and rapporteur. The latter will be present the results of the group in plenary.

The plenary group discussion is for 30minutes

- This will be followed by a short plenary discussion after all three presentations. (15 minutes)

- Each presenter will have 10 minutes

- *Purpose of the exercise: The exercise will help and enable participants to think through and assess the policies and measures and share their own perception and understanding of the usefulness of the Forest instrument.* This will augment the presentation by the facilitator and also provide the facilitators with an opportunity to gauge the participants' understanding of the FI at this stage. *The ideas generated will be re-enforced by the presentation from the facilitator*

Exercise 2.2: *Stakeholder analysis*

The participants will be asked to identify the important stakeholders who need to be informed of, and participate in, the implementation of the Forest Instrument. In addition they participants will be asked to identify or suggest the awareness raising strategies and methods they could use to reach the identified stakeholders. This will be done in country groups.

Questions:

- *Who in the country do you need to convince of the benefits of implementing the NLBI (this is essentially a stakeholder analysis)?*

- *How would you go about it (this is about awareness raising methods)?*

This exercise will take 30min, 15 minutes presentation by a few countries

Plenary discussion will take 15 minutes

   Exercise 3.1: *Assessment of extent to which the 25 national policies and measures are being implemented: Participants will be divided into country groups and will be asked to assess the extent to which the 25 national policies and measures are being implemented in their countries. This will be*

done through a brainstorming and scoring system. The participants will also be asked to identify the five priority measures/actions for their country based on the assessment using a voting system.

Time*: This task is allocated 1hour plus 30 minutes presentation and plenary discussion*

Table 3.1: Assessment of current situation vis-a-vis the 25 national policies and measures

No.	Policy /measure	Ongoing initiatives	By Whom	Score/Rating				Justification/remarks
				0	1	2	3	
1	Develop and implement NFPs or similar strategies for SFM							
2	Consider the seven thematic elements of SFM							
3	Promote environmental impact assessment of projects affecting forests;							
4	Develop/implement policies that encourage SFM to provide a wide range of goods and services, contribute to poverty reduction and the development of rural communities							
5	Promote efficient production and processing of forest products							
6	Support the protection and use of traditional forest-related knowledge and practices incl. fair and equitable sharing of benefits							
7	Further develop and implement C&I for SFM							
8	Create enabling environments for investment by private sector, communities and other forest							
9	Develop financing strategies taking into account all funding sources							
10	Encourage recognition of range of values from forests and ways to reflect such values in the marketplace							

11	Enhance cross sectoral policy and programme coordination to integrate the forest sector into national decision-making processes							
12	Integrate national forest programmes or other strategies of SFM into national sustainable development strategies e.g. PRSs							
13	Establish or strengthen partnerships and joint programmes with stakeholders							
14	Review and improve forest legislation, strengthen forest law enforcement, promote good governance							
15	Address threats to forest health and vitality from natural disasters and human activities							
16	Develop or expand, and maintain networks of protected forest areas and assess the conditions and management effectiveness of existing protected forest areas							
17	Assess the conditions and management effectiveness of existing protected areas							
18	Strengthen the contribution of science and research in advancing SFM; incorporate scientific expertise into forest policies and programmes							
19	Promote the development and application of scientific and technological innovations, incl. for local communities							
20	Strengthen public understanding of the importance and benefits of forests and SFM							
21	Promote access to and support formal and informal education,							

	extension and training, for implementation of SFM							
22	Support education, training and extension programmes for local and indigenous communities, forest workers and forest owners							
23	Promote participation of major groups, local communities, forest owners and other relevant stakeholders							
24	Encourage the private sector and civil society organizations to implement voluntary instruments such as certification							
25	Enhance access by households, small-scale forest owners and communities to forest resources and markets							

Exercise 4: *Progress/Performance monitoring Plan*

The participants will be asked to develop a performance monitoring plan. This is a group exercise that builds on the action plan developed during the last session which allows participants to develop indicators of achievement, identify the specific parameters to be measured or monitored, frequency of monitoring and who will be responsible. The results can be presented as a table as shown below:

Task: Develop a performance/progress monitoring plan

Table 4: Performance monitoring plan

Policy measure	Indicators	Main data	Method and frequency of data collection	Responsible/by whom	Method and frequency of data analysis	Responsible /by whom

Time: *This task is allocated 1 hour including presentation of group work*

APPENDIX 2: THE SEVEN THEMATIC AREAS OF SFM

1. Extent of forest resources
2. Forest Biological Diversity
3. Forest health and vitality
4. Productive functions of forests
5. Protective functions of forests
6. Socio-economic functions of forests
7. **Legal, Policy and institutional framework**