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Guidelines for the Development of a Criteria & Indicator Set for SFM

prepared for the UNECE/FAO, UNDA Project Accountability Systems for SFM in the Caucasus and Central Asia

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Purpose of the guidelines

- To support the UNDA funded project “*Accountability Systems for SFM in the Caucasus and Central Asia*” (2016-2019), implemented through the UNECE/FAO Forestry and Timber Section.
- To facilitate the development of national C&I for SFM sets in Armenia, Georgia, Kazakhstan, Kyrgyzstan and Uzbekistan to improve monitoring, reporting and assessment of SFM.

Target audience of the guidelines

- coordinating/facilitator teams developing national C&I for SFM sets, including
- interested stakeholders participating in the process

The What?

Basics for the development of C&I

- Definitions: SFM, criteria, indicators
- Examples of criteria from various processes
- Requirements for indicators such as practicability, meaningful, communicative, sensitive, high validity, credibility, measurable, internationally comparable

The Why?

Demand for C&I for SFM in the Caucasus & Central Asia

- Low forest cover countries (Kazakhstan, Kyrgyzstan, Uzbekistan), forest and land degradation pose serious environmental challenges
- Countries richer in forests (Armenia, Georgia), but its potentials to provide environmental and socio-economic benefits are not realised
- Challenges in national reporting: no or old forest inventories, no recent reliable national data available
- No national C&I for SFM
- Illegal logging, forest and land degradation, excessive grazing → tools to collect reliable information are not available
- Importance of the environmental and socio-economic aspects of the forest sector is underestimated by policymakers due to lack of information and tools to communicate
- No active participation in international C&I processes (except Georgia) → cannot benefit directly from knowledge and tools developed by these processes
- No data or incomplete data provided for international reporting

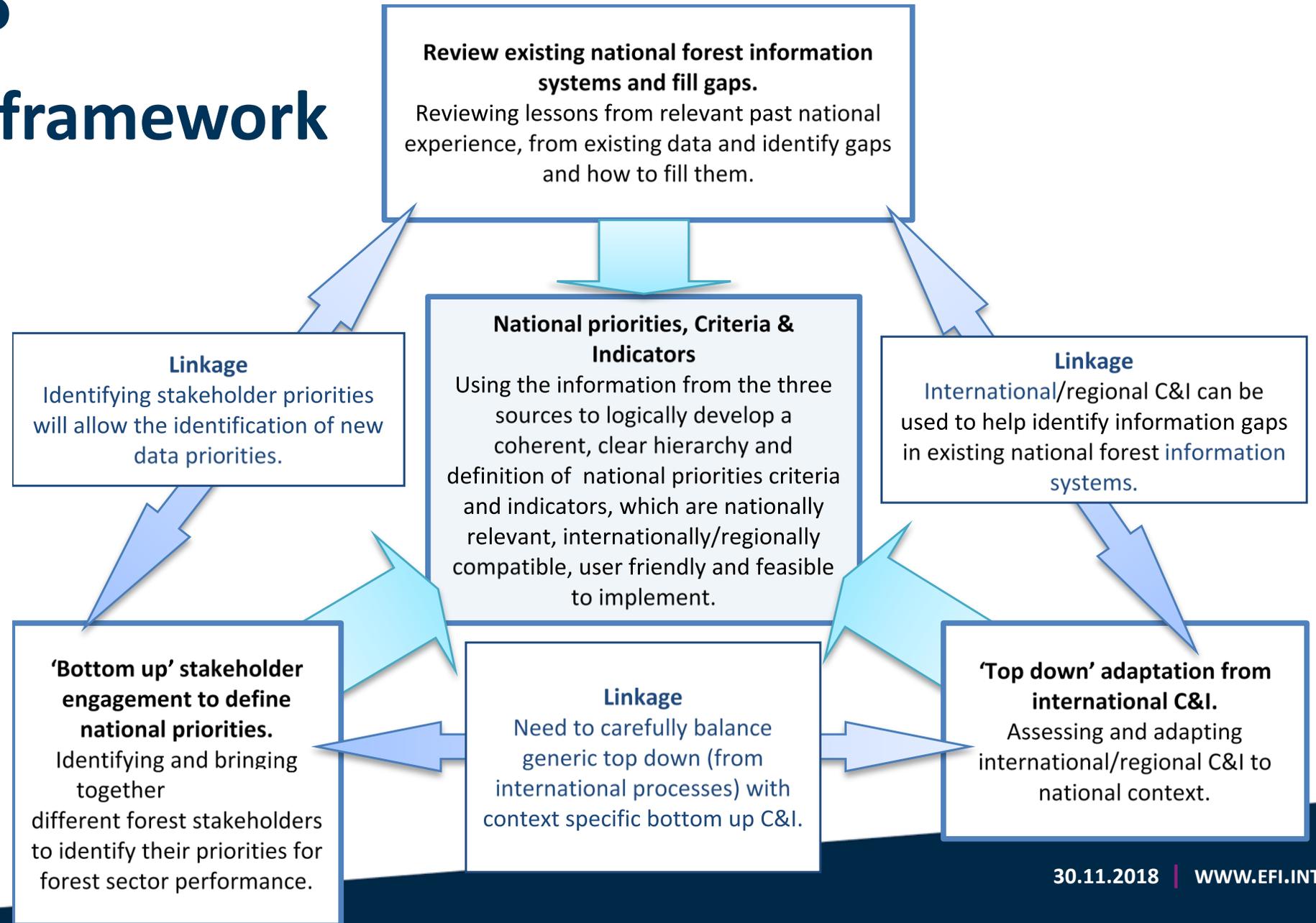
The How?

Development of national C&I for SFM

- Train the team to coordinate/facilitate the process
- Review existing national forest information systems
- Review relevant regional and international C&I processes and sets.
- Identify relevant stakeholders to engage in the process
- Facilitate stakeholder engagement in the process
- Conduct a logical hierarchy process from national goals, key priority areas down to C&I
- Draw upon and adapt indicators relevant to national priorities from regional and international C&I sets (Shopping List of Indicators)
- Develop new indicators where gaps exist
- Evaluate the potential indicators against requirements like feasibility, data quality, etc.
- Select indicators
- Develop and fill in fact sheets

The How?

Conceptual framework



Examples of regional & international C&I sets

- FOREST EUROPE C&I
- Montréal Process C&I
- The Tehran Process C&I for SFM in Low-Forest-Cover-Countries
- ITTO C&I for the sustainable management of tropical forests
- Global Forest Resources Assessment 2015

Toolbox of methods to assist in the development process of national C&I

- Developed by Peter O'Hara

Phase 1: Planning stakeholder engagement

Tool/method	Potential purpose for stakeholder engagement national C&I development
1. Stakeholder mapping	Identifying all key stakeholders and then developing a plan and targeted methods to engage them.

Toolbox of methods cont.

Phase 2: Engaging stakeholders in analysis leading to identification of their priorities for indicators

Tool/method	Potential purpose for stakeholder engagement
2. Questionnaires/ interviews	Way to structure the questioning of a respondent. Use to gather information via internet, phone or face to face.
3. Visioning	Use to assess expectations/aspirations about goals and outcomes for SFM. Defining the goal, destination/result makes it easier to determine the C&Is.
4. Problem and solution analysis	To help a group of people organize their thoughts around the causes of any problems with SFM, interlinkages between the causes, and dig deep to root causes. Getting to root causes of problems with SFM management is often key to identifying elements and indicators that are necessary for transformational change in the forest sector. Indicators can be formulated around outcomes of such elements.

Toolbox of methods cont.

Phase 2: Engaging stakeholders

Tool/method	Potential purpose for stakeholder engagement
5. Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis	Whereas the problem analysis goes deep, this analysis tool goes broad, harnessing analysis from positive and negative aspects identifying immediate strengths and weaknesses related to forestry, as well as more external opportunities and threats in the governance environment. Recommendations are then drawn from the analysis and indicators defined for the expected outcomes of the recommendations.
6. Scoring and prioritisation methods	It is often difficult particularly in a large group to decide on priorities, these tools are to help with this. Once indicators have been identified then these methods enable collective ranking and screening of the indicators according to parameters. This is also a useful method when a pre-determined set of indicators is to be assessed and prioritized.
7. Fishbowl debate	Often it is very useful to bring representatives from the previous stakeholder engagement exercises together to present their indicators and supporting analysis to each other. This method helps to 'level the playing field' among different stakeholders providing all an equal opportunity to be heard and avoid domination.

Toolbox of methods cont.

Phase 3: Drafting the national C&I

Tool/method	Potential purpose for stakeholder engagement
9. Analytical Hierarchy process	This tool is a good guide to developing coherent C&I set. It helps to ensure all aspects of SFM are covered and helps build coherency between and avoid overlap of indicators.

Toolbox of methods cont.

Phase 4: Screening, adjusting and elaborating indicators

Tool/method	Potential purpose for stakeholder engagement
10. Screening method	'Health check' to assess whether indicators are valid and/or require adjustment.
11. Developing fact sheets for indicators	To work up the next steps towards indicator implementation. Developing an indicator fact sheet is also a good way of thinking through the requirements for and building blocks of an effective indicator and its subsequent use. It also helps to 'screen' the indicator against usefulness and feasibility in case adjustments have to be made.

Toolbox of methods cont.

Phase 5: Validation/Consultation on the draft

Tool/method	Potential purpose for stakeholder engagement
12. Poster presentations with post-its	This method is ideal for a participatory review of a draft set of C&I, allowing participants to comment on specific parts of the document directly.
13. Multi-stakeholder panel	This method is useful to allow stakeholder representatives to give their feedback on a presentation of draft set of C&I, helping verify that an inclusive process was followed and that the final output takes into consideration the interests of key stakeholders. It also makes a presentation within a meeting more engaging and promotes active listening amongst appointed panellists.

Shopping List of 300 Indicators

→ extracts of the indicator sets of FOREST EUROPE, Montréal Process, LFCC Process, ITTO and FRA. They are grouped according to the internationally-agreed seven thematic elements of SFM

Sub Group	No.	Ref.	Indicator in English	Название индикатора на русском
1.1 FOREST AREA	1.1.1	ITTO	Extent and percentage of total land area under comprehensive land-use plans	Площадь и процент всей площади земель, покрытых всесторонними планами землепользования
	1.1.2	ITTO	Extent of forests committed to production and protection	Площадь лесов, отведенных под производство и защиту
	1.1.3	ITTO	Extent and percentage of total land area under each forest type	Площадь и процент всей земли под каждым типом лесов
	1.1.4	ITTO	Forest area in compliance schemes	Площадь лесов в схемах соответствия
	1.1.5	LFCC	Increase or decrease of forest area, with the reason	Увеличение или сокращение площади леса, вместе с причиной
	1.1.6	FE	Area of forest and other wooded land, classified by forest type and by availability for wood supply, and share of forest and other wooded land in total land area	Площадь лесов и других покрытых древесной растительностью земель, классифицированных по типу леса и возможности их эксплуатации, а также доля лесов и других покрытых древесной растительностью земель в общей площади земель
	1.1.7	FRA	Forest and other wooded land	Лесные и другие лесистые земли
	1.1.8	FRA	Extent of forest	Площадь лесов

Subsets of Indicators

- subsets relevant to specific policy challenges or emerging issues
- Based on FE indicator WS and EC Standing Forestry Committee Ad hoc Working Group on SFM
- Global Core Set of Forest-related Indicators



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Thank you!

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The How?

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