

Stakeholder Workshop
**“Towards responsible management of planted
forests in the Asia-Pacific”**

Hanoi, Vietnam
25.4.2008

Planted forests needs-assessment survey

Name:.....

Institution:.....

Country:.....

Contact information:.....

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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:				

<p>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.</p>	Adequately addressed	Needs attention	Needs substantial attention	Not applicable
<p>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?</p>	Green	Yellow	Red	Grey
<p>Is integrated decision-making given a scientific, social, environmental and economic basis?</p>	Green	Yellow	Red	Grey
<p>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?</p>	Green	Yellow	Red	Grey
<p>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?</p>	Green	Yellow	Red	Grey
<p>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?</p>	Green	Yellow	Red	Grey
<p>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?</p>	Green	Yellow	Red	Grey
<p>Are the rights of smallholder investors recognized in planted forests?</p>	Green	Yellow	Red	Grey
<p>Are conflicts resolved promptly through mutually agreed conflict management mechanisms involving major stakeholders?</p>	Green	Yellow	Red	Grey
<p>Additional Comments</p>				

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 attention	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?	Green	Yellow	Red	Grey
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?	Green	Yellow	Red	Grey
Are perverse incentives having adverse trade, social or environmental impacts, including perverse incentives originating in other sectors avoided or removed?	Green	Yellow	Red	Grey
Are incentives reviewed at periodic intervals to address evolution in planted forests investment and management?	Green	Yellow	Red	Grey
Are economic distortions avoided that reduce the value of planted forests or limit the opportunities for smallholder investors?	Green	Yellow	Red	Grey
Is equity among competing land uses promoted in policies and priorities?	Green	Yellow	Red	Grey
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.	Orange	Orange	Orange	Orange
Is transparent access to market information and signals provided?	Green	Yellow	Red	Grey
Is market intelligence on current markets and future trends and changes in the use of forest products and consumer behaviour monitored?	Green	Yellow	Red	Grey
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?	Green	Yellow	Red	Grey
Are the emerging carbon trade markets recognized and the role of afforestation and reforestation in providing carbon sinks to mitigate climate change increasingly understood?	Green	Yellow	Red	Grey

<p>Is it recognized that the marketplace may not account for all the values that society may enjoy in planted forests?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Additional Comments:</p>				

<p style="text-align: center;">Social and cultural principles</p>				
<p>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.</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Adequately addressed</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Needs attentions</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Needs substantial attention</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Not applicable</p>
<p>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?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>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?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>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?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>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?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Are education, health care and other social services strengthened in areas adjoining planted forests?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Additional Comments</p>				

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?	Green	Yellow	Red	Grey
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				

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

<p>Are species and reproductive materials selected with the end-use/product objective, site conditions, environmental impacts, genetic diversity and risk of invasiveness in mind?</p>				
<p>Are the incidence and impact of wildfires reduced by improved prediction, prevention, monitoring, rapid response to emergencies and restoration following fires?</p>				
<p>Are planned fires used for wildfire hazard and fuel reduction, silvicultural purposes and habitat management?</p>				
<p>Are planned fires in land clearing and preparation avoided when science indicates that conditions could be adversely affected by fire?</p>				
<p>Are site-establishment practices that maintain or enhance productivity potential and forest health undertaken, while minimizing environmental impact?</p>				
<p>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?</p>				
<p>Is education, training, scientific research and networking supported in forest protection, forest health and the sustainability of site and crop productivity?</p>				
<p>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?</p>				
<p>Additional Comments:</p>				

Landscape approach principles

Landscape approach principles	Adequately addressed	Needs attentions	Needs substantial attention	Not applicable
<p>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.</p>				
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:				