

Annex C

CRITERIA AND INDICATORS FOR SUSTAINABLE FOREST MANAGEMENT: CBFM UNITS

A. On Organizational, Social and Economic Development of POs

Criteria	Indicators	Verifying Evidence	Validation/Measurement Methods
1. The PO has the capability to conduct sustainable forest management	1.1 Policies and mechanisms to strengthen the organization exists.	<ul style="list-style-type: none"> • PO policies are written and ratified by general membership • Management systems are in place • Majority or most of the members are knowledgeable about their VMGO, structure and internal policies • Members have access to records, documents and other 	<ul style="list-style-type: none"> • Physical check on the completeness of PO records and copies of policies and members' easy access to them • Interview sample of members to determine if VMGO, organizational structure, committee functions and policies are known and clearly understood by most members • Documentation of the process of ratifying policies, dissemination of organizational info to members, activities of committees vis-a-vis mandates,

		<p>organizational information</p> <ul style="list-style-type: none"> • Membership is open to all • Selection of officers/leaders is open to all • Elections are conducted freely and fairly, based on qualifications 	<p>and conduct of elections</p> <ul style="list-style-type: none"> • Assessment of the effectiveness of management systems that are in place • Study of the leadership pattern (who are the leaders, what are their qualifications, important considerations of members in choosing leaders) and determine if there are potential leaders from among the younger members • Profiling of the current members and analysis of membership trend including motivation of new members in joining the PO
	1.2Organizational practices promotes participation and linkages, and enhances skills	<ul style="list-style-type: none"> • Participation rates in PO activities are high • Linkages with other institutions and groups are 	<ul style="list-style-type: none"> • Analysis of participation rates in general assemblies, elections and other PO activities • Analysis of participation of members in CSD (% of members involved in the

	and knowledge	<p>established</p> <ul style="list-style-type: none"> • PO members competently perform assigned jobs 	<p>various subcomponents of the project and their roles</p> <ul style="list-style-type: none"> • Documentation of how the PO links up with other agencies/institutions and the results of linking efforts, i.e., services/facilities successfully accessed by the PO, representation or membership in multi-sectoral organizations, councils and federations • Assessment of the relationship of the PO with the LGU, other local organizations in the barangay and the community in general • Assessment of the PO's competencies, particularly in the areas of organizational management and sustainable forest management. This should identify training programs provided, the PO and the specific activities which the
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			<p>PO can do with minimal supervision or on which they can train others/serve as resource persons</p> <ul style="list-style-type: none"> • Assessment, through sample interviews, of the PO members' level of awareness of CBFM, forestry policies and environmental issues.
2. The PO is financially viable	2.1 Business operations are viable	<ul style="list-style-type: none"> • Capital investments are based on sound feasibility/viability analysis (short and long-term) • Profits are being generated • Full-time management staff is employed 	<ul style="list-style-type: none"> • Review of the PO's business plan and status of its implementation, including feasibility studies conducted on identified/preferred investment areas • Documentation and analysis of PO's investments in livelihood projects, highlighting economic activities that have been raised to enterprise level, the

			management and staff of these business operations, the marketing systems established, their profitability and assets generated
	2.2 Profits generated are reinvested in forest management and other enterprise activities	<ul style="list-style-type: none"> • Projects or activities are implemented out of profits 	<ul style="list-style-type: none"> • Analysis of the sources of the CFDF/CBU/CRF, the current level of available funding, and its uses • Analysis of the use of profits realized from its business operations, highlighting use for forest management
3. PO members and the community have equitable access to opportunities and to the	3.1 Equally qualified men, women and youth have access to jobs, training and other opportunities	<ul style="list-style-type: none"> • Female and youth members are provided employment and training opportunities 	<ul style="list-style-type: none"> • Review of policies of the PO with respect to employment and training to determine limitations/restrictions to participation • Documentation of the perceived role and the actual participation of women and youth members in the PO, in forest management

<p>distribution of benefits from sustainable forest management</p>			<p>and in business operations. This should include the identification of constrains (e.g., cultural factors, policy on membership, training and employment) that limit the participation of women and youth</p> <ul style="list-style-type: none"> • Analysis of the participation of women and youth members in training programs and the specific skills where they were trained in
	<p>3.2Members share equitably in profits</p>	<ul style="list-style-type: none"> • Profit sharing or dividend distribution follows by-laws and other policies approved by the general assembly 	<ul style="list-style-type: none"> • Documentation of the benefit sharing policy of the PO and actual benefit sharing (e.g., dividend issuance) practices, if any

	<p>3.3 PO members and the local communities benefit from forest management operations in the area</p>	<ul style="list-style-type: none"> • PO members and community residents are employed in forest management and other livelihood activities • PO provides assistance to the broader community • PO pays taxes, fees, etc., to the local government • Other facilities are established (or others services are provided) in the community due to the presence/ initiative of the PO 	<ul style="list-style-type: none"> • Analysis of employment trends and arrangements to establish employment levels and benefits to PO members and non-members in CSD and livelihood activities, including payment of fair wages. This will include the determination of the total and average wages paid to those employed in the CSD and livelihood projects, which would represent the income increase due to the project. Interviews with key informants or a small sample can be conducted to show the benefits gained from employment and
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			<ul style="list-style-type: none">• Assessment of PO's involvement in or support to community activities (e.g., IEC, training of community members, outreach programs, scholarships, donations, sponsorship, etc). Also look at participation of the PO in local councils or multi-sectoral groups• Documentation of taxes, fees paid by the PO to the local government• Analysis of the current use of and benefits from facilities/ services in the community that were established by the Project, the LGU, national agencies, donors due to the efforts or the presence of the PO (e.g., access roads, water supply, irrigation, school, BHS, extension services, etc)
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B. On Sustainable Resource Use and Development

Criteria	Indicators	Verifying Evidence	Validation/Measurement Methods
1. Tenure over area is assured	1.1 CBFMA is issued to the PO 1.2 CRMF is affirmed	<ul style="list-style-type: none"> • CBFMA • CRMF 	<ul style="list-style-type: none"> • Physical check on the CBFMA issued and the affirmed CRMF • Documentation of the process of delineating individual claims for purposes of issuing individual property rights, if pursued by the PO
2. Special forest uses for livelihood is developed	2.1 Non-extractive income generating projects are generated, eg., eco-tourism	<ul style="list-style-type: none"> • Potential areas for non-extractive activities are developed • Non-forest based income and employment are generated 	<ul style="list-style-type: none"> • Documentation of initiatives to establish non-extractive and non-forest based economic enterprises, including investments made and, incomes and employment generated • Review of feasibility studies conducted on non-forest-based livelihood projects

<p>3. Open degraded areas are reforested/rehabilitated</p>	<p>3.1 Healthy forest plantations are established/expanded and maintained</p>	<ul style="list-style-type: none"> • Area planted in the CBFMA site is significant • Survival rates are high • Plantation maintenance is carried out well • Plant growth is healthy • PCT and volume are increasing 	<ul style="list-style-type: none"> • Assessment of the site development activities of the PO, which is to include area planted vs. targets, quality of plantations, and survival rates. This will be based on a review of the site development plan for the area, the NGO M and E report, accomplishment reports of the PO and SUSIMO, and key informant interviews. Visits to some plantation areas may also be done to observe overall health of plantation (i.e., plant vigor, absence of pests/diseases) and the adequacy of maintenance work. A rating can be given to the quality of the existing plantations • Review of the pre-project land use map, proposed land use map and the current progress maps to determine the extent of changes in the land uses that are being
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			introduced through the project. It must be established if the rehabilitation/reforestation effort is significant compared to the total open/denuded area within the CBFMA area
4. Residual forest are properly managed/enhanced	4.1 The area of the residual forest is maintained or increased	<ul style="list-style-type: none"> • Forest boundary remains the same or expands 	<ul style="list-style-type: none"> • Documentation of PO activities (including silvicultural activities) that are being undertaken to maintain, protect and enhance the residual forests within the CBFMA area. This should include the identification of existing threats to the residual forest and the documentation of actual occurrences of fires, illegal cutting, kaingin, and settlement and the damages to the residual forest.
	4.2 The overall quality of the forest is improved	<ul style="list-style-type: none"> • Silvicultural practices area being conducted (ANR, protection, etc.) 	
5. Appropriate agroforestry and sustainable	5.1 Adoption of SWC measures has increased	<ul style="list-style-type: none"> • More farms are adopting farm-level SWC measures 	<ul style="list-style-type: none"> • Assessment of the farmers' level of awareness and adoption of soil and water conservation

farming methods are practiced			measures. This should include an assessment of project initiatives to promote soil and water conservation (e.g., training/IEC programs) and observations on the extent and proper use of these SWC measures within the CSD/CBFMA area. Field visits may be made to identify areas requiring SWC measures or to observe inappropriate farming practices that are still in use (e.g., planting of annuals on steep slopes)
	5.2 Productivity and profitability of farms and the diversity of crops in the community has increased	<ul style="list-style-type: none"> • New or better varieties of crops are being produced • Production levels per hectare is improved • Income per hectare is improved 	<ul style="list-style-type: none"> • Documentation of the agroforestry component of the CSD plan and the agroforestry areas that have been developed vis-a-vis CSD targets and the plan for the CBFMA area • Assessment of the change in the mix of crops produced or will be produced in the area as a

			<p>result of the project, particularly the introduction of better varieties and high value products</p> <ul style="list-style-type: none"> • Assessment of the market potentials of the crops and based on production projections, the income potentials or agroforestry. The assessment can provide a comparison of income and production estimates of old and new crop mixes and should indicate when the income flows from agroforestry are to occur • In mangrove areas, project the increase in fish catch that are expected with the improvement of the mangrove cover
6. Utilization of allowed forest resources use	6.1 Harvest rates allow restocking of the resource	<ul style="list-style-type: none"> • There is an approved annual work plan/resource use plan (AWP/RUP) 	<ul style="list-style-type: none"> • Documentation of harvesting activities (non-timber) of the PO, if any, and its compliance with the provisions of the

sustainable rates and methods		<ul style="list-style-type: none"> • Volume/number of extracted resource does not exceed authorized 	AWP/RUP and relevant permits
	6.2 Harvest and transport methods do minimal damage to residual stand or plantation area	<ul style="list-style-type: none"> • Damage to residual stands and wildlife habitats are minimal 	<ul style="list-style-type: none"> • Documentation of harvesting and transport methods and assessment of actual or potential damage to residual forests and wildlife habitats
	6.3 Access roads/trails minimize soil and water disturbance	<ul style="list-style-type: none"> • Road rehabilitation is in accordance with EIA requirements • Roads and trails are regularly maintained 	<ul style="list-style-type: none"> • Documentation of rehabilitation work to determine if mitigating measures are being adopted to prevent soil erosion • Observation on the condition of existing roads and documentation of the arrangements for their maintenance
	6.4 Processing activities are	<ul style="list-style-type: none"> • Waste is minimized (i.e., use of raw 	<ul style="list-style-type: none"> • Documentation of processing activities and the efficiency in

	efficient	material is maximized)	the use of forest-based raw materials i.e., how much of the harvested product is actually utilized. The volume of waste generated, its disposal or opportunities for using the waste materials should be identified
7. Forests are sufficiently protected from all forms of destruction	7.1 Adequate systems and structures to protect forests are present	<ul style="list-style-type: none"> • There is a forest protection plan • There is an organized, trained and deputized forest protection team • Forest protection activities are being conducted • Immediate PO response to forest fires, reports of illegal logging, etc. • In-migration and settlement in 	<ul style="list-style-type: none"> • Review of the forest protection plan and its implementation by the PO. This should validate the existence of trained and deputized forest protection team, related equipment, facilities and structures (i.e., look-out towers, firelines, etc), funding resources, and programs (i.e., IEC) to support the implementation of the forest protection plan • Assessment of the scope of current protection work and the performance of the PO and the Forest Protection Team in

		<p>CBFMA area is controlled</p>	<p>controlling forest fires, illegal harvesting, pest/diseases, encroachment, kaingin, etc. It should be determined if the PO has clear policies and procedures for dealing with in-migration or encroachment into the CBFMA area and illegal extraction. Find out problems is maintaining/sustaining forest protection activities</p> <ul style="list-style-type: none"> • Review of forest protection logbook/records and interviews key informants re the occurrence of forest fires, pests and diseases, kaingin, illegal harvesting before and during project implementation. Find out from DENR and LGU if there have been any reports of serious violations of forestry policies committed within the community • Assessment of the level of awareness of PO/community
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			members on banned species (flora and fauna that are rare/threatened/endangered) • Identification of local policies formulated in support of the project
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