

Second Revised Edition

May 1999

PRACTITIONER'S GUIDE

to the Implementation of the IPF Proposals for Action

prepared by the Six-Country Initiative in Support of the
UN Ad-Hoc Intergovernmental Forum on Forests (IFF)

Finland

Germany

Honduras

Indonesia

Uganda

**United Kingdom of Great Britain
and Northern Ireland**



**Food and Agriculture Organisation
of the United Nations (FAO)**



**United Nations
Development Programme (UNDP)**

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List of Abbreviations

C&I	Criteria and indicators (for sustainable forest management)
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CIFOR	Centre for International Forestry Research
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CSD	Commission for Sustainable Development
FAG	Forestry Advisors Group
FAO	Food and Agriculture Organisation of the United Nations
FPA	Forest partnership agreement
GATT	General Agreement on Tariffs and Trade
IFF	Intergovernmental Forum on Forests
ILO	International Labour Organisation
IPCC	Intergovernmental Panel on Climate Change
IPF	Intergovernmental Panel on Forests
ISO	International Organisation for Standardisation
ITFF	Interagency Task Force on Forests
ITTA	International Tropical Timber Agreement
ITTO	International Tropical Timber Organisation
IUFRO	International Union of Forestry Research Organisations
M&E	Monitoring and evaluation
NFP	National forest programme
NGO	Non-governmental organisation
ODA	Official Development Assistance
SFM	Sustainable forest management
TBT	Agreement on Technical Barriers to Trade
TRFK	Traditional forest-related knowledge
UC	Underlying causes of deforestation and forest degradation
UN	United Nations
UNCED	United Nations Conference on Environment and Development
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFCCC	United Nations Framework Convention on Climate Change
UNGASS	United Nations General Assembly Special Session
WIPO	World Intellectual Property Organisation
WTO/CTE	World Trade Organisation / Committee on Trade and Environment

Foreword

The Proposals for Action elaborated under the UN Ad Hoc Intergovernmental Panel on Forests (IPF) represent significant progress and consensus on a wide range of forest-related issues. The endorsement of the IPF Proposals for Action (IPF Proposals) by UNGASS in June 1997 marks an important step towards the enhancement of sustainable forest management world-wide, built upon the UNCED decisions of 1992. Governments and international organizations face a major challenge by putting the IPF Proposals into practice at national and international levels. This process offers the opportunity to move a step forward towards a holistic and comprehensive approach to sustainable forest management. In order to maintain the momentum and to support efforts, the UN Ad-Hoc Intergovernmental Forum of Forests (IFF), the successor of the IPF, is mandated to promote and facilitate the implementation of the IPF Proposals and to monitor achievements in this regard.

Given the complexity and structural particularities of the IPF Proposals, guidance to support their implementation appears to be necessary. As an important tool to facilitate the implementation process, in particular at the national level, this Practitioner's Guide was prepared aiming at a better understanding of the IPF Proposals, their potential and possible implications. The Guide may serve as an important means to promote the assessment of the IPF Proposals and to stimulate the continued discussion on the current global consensus towards sustainable management of all types of forests. The Guide would be helpful to those who are directly concerned with the implementation of the IPF Proposals, i.e. national institutions and international organizations.

The Guide is the product of a process which started in late 1997, when the Governments of Finland, Germany, Honduras, Indonesia, Uganda, and the United Kingdom of Great Britain and Northern Ireland, in cooperation with the IFF Secretariat, the UN Food and Agriculture Organization (FAO) and the United Nations Development Programme (UNDP) joined in an initiative entitled "Putting the IPF Proposals for Action into Practice". The so-called Six-Country Initiative aimed to enhance the implementation of the IPF Proposals at national level and to develop guidance from country experiences for consideration by the IFF and governments. The elaboration of the Guide was based on the assumption that a more "readable", user-friendly and annotated version of the IPF Proposals was necessary. The purpose of the Guide was to help identify the "place" and likely "addressees" of the IPF Proposals within the national institutional setting, namely within the national forest programmes as the adequate framework for forest-related action at the country level.

During its second session in August/September 1998, the IFF in its preliminary conclusions acknowledged the Practitioner's Guide of the Initiative as a useful tool for the implementation process of the IPF Proposals. The IFF recommended to update the first edition of the Guide based on the experiences made so far. Subsequently, a broad consultation process was launched to collect views on a revision of the Guide and the Guide was discussed in various fora. As a result of this process, the Guide was revised based on the comments received and incorporating the useful work of Australia on summarizing the IPF Proposals and simplifying their wording.

The present version of the Guide is a product of a process involving numerous experts of countries from all regions as well as from international organizations, NGOs and the private sector. The Guide is meant to be a "living document", which needs to be modified and updated according to needs of the practitioners and the results of the international forest dialogue. The process to complement and supplement the UNCED decisions as spelt out in the mandates of the IPF and IFF will be continued in view of a holistic and comprehensive approach to sustainable forest management world-wide. The Guide needs to reflect these developments in its future editions considering the results of the existing legally binding instruments like FCCC, CBD as well as other forest-related programmes and initiatives.

The present, revised, Practitioners Guide represents one of the results of this extraordinary North-South partnership involving three developing and three industrialized countries undertaking similar action within their respective national boundaries to assess the relevance of the IPF's proposals for action at the national level. One of the results of this experience, the Practitioners Guide, is now available for wider distribution and application by other countries as appropriate.

The IFF Secretariat is grateful for the initiative undertaken by the six countries in support of the IPF/IFF process, and wishes to encourage the use of the Practitioners Guide in the assessment of the relevance and application of the IPF's proposals for action at the national level. It is my hope that the Guide will remain a "living document" which will be used and further enhanced as experiences are gained in other countries and in a variety of social and economic situations.



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A. Introduction

1. Origin and History of the IPF Proposals

The formulation of the IPF Proposals in the final report of the UN Ad hoc Intergovernmental Panel on Forests (IPF) was based on the mandate of the IPF to promote *multidisciplinary action (.....) consistent with the Forest Principles and Agenda 21, Chapter 11*. The proposals are meant to *complement, supplement and elaborate upon* the Forest Principles and Agenda 21 (para 7d of the IPF Final Report). The IPF Proposals are the result of inter-governmental negotiations under the IPF and therefore represent negotiated text agreed upon by the international community. The Proposals were subsequently endorsed by UNGASS in June 1997.

Taking into consideration the importance of the IPF Proposals for the international community, the successor to the IPF, the Intergovernmental Forum on Forests (IFF) included under Category I.a of its Programme of Work the task to promote, facilitate and monitor the implementation of the IPF Proposals. Subsequently, several countries, groups of countries and international organisations launched activities aimed at implementation of the IPF Proposals. These included national processes in Australia, Canada, Denmark, and the Netherlands, as well as the Six-Country Initiative of Finland, Germany, Honduras, Indonesia, Uganda and the United Kingdom of Great Britain and Northern Ireland, in co-operation with FAO and UNDP. Additional activities at international and regional levels have also taken place, including the launching of the Interagency Partnership on Forests: Implementation of the IPF Proposals by the Interagency Task Force on Forests (ITFF), and FAO regional meetings in Asia, Africa and Latin America.

The IFF in its second session (Aug./Sept.1998) welcomed the implementation activities of governments and organisations and underlined the need for sustained efforts in implementing the IPF Proposals. Countries were urged to undertake a systematic assessment of the IPF Proposals in the context of their national forest programmes/national policy frameworks in a co-ordinated manner and with the participation of all interested parties.

2. Nature and Contents of the IPF Proposals

Indisputably, the IPF Proposals represent significant progress and consensus on a wide range of forest issues. Building upon the Forest Principles, the IPF Proposals are the only guidelines of the so-called international forest regime which approach forest issues in a holistic and comprehensive way, as outlined in the relevant UNCED decisions. Like the Forest Principles and Agenda 21, the IPF Proposals - though they are negotiated and agreed text - are of a non-legally binding nature. However, participants in the IPF/IFF process acknowledge that they are under political obligation to give effect to the IPF Proposals. Therefore, implementing the IPF Proposals is now high on the agenda of both individual countries and international organisations/institutions.

The IPF Proposals include measures to be taken at international, regional and particularly at national levels. However, there are only a few indications in the IPF Report regarding ways and means by which countries should implement the Proposals and translate them into country-specific action. The following structural particularities of the IPF Proposals are relevant for their implementation:

- The IPF Proposals constitute almost half the IPF Report, in some cases involving quite lengthy texts which do not clearly identify the key issues in question.
- The IPF Proposals are clustered around eleven thematic elements and sub-elements which contain numerous interlinkages and even overlaps; moreover they do not clearly indicate the level at which action should be taken, whether national or international, or whether action should involve a national government, international institutions or existing instruments.
- The categorisation of the IPF Proposals in the IPF Report does not ensure the necessary linkages between the individual Proposals, and therefore lacks an appropriate practical structure which reflects the political, administrative and societal arrangements at the national level.

- The IPF Proposals display considerable differences in nature and content: they include basic principles, general guidelines and a few operational recommendations, as well as fairly general calls for action by international organisations or existing relevant legal instruments, such as conventions.
- Most of the IPF Proposals do not suggest regulatory measures, or any practical action to be undertaken at the national level in order to comply with a given proposal.

In general, the degree of commitment and practicability varies from proposal to proposal. It can be expected that operational hurdles to implementing the IPF Proposals will be encountered at national levels based upon the specific situation of each country. If the international forestry community leaves implementation of the IPF Proposals to the discretion of countries, the momentum of the IPF process might at least be partly lost, and consequently, current IFF deliberations might not meet political expectations. It is for this reason that several national and international level initiatives have been launched to facilitate the implementation of the IPF Proposals.

3. Political Relevance, Strategic and Operational Value of the IPF Proposals

IPF, as part of the post UNCED process, has created significant political support for sustainable forest management as a result of high-level commitments. However, the voluntary nature of the IPF Proposals and lack of adequate understanding and commitment among key actors at the national level has so far limited the possibilities for implementation and impact, particularly beyond forest constituencies. The relatively recent completion of the IPF and the lack of an adequate reporting framework precludes a full assessment of the impact of the Proposals. The initial experience in many countries is, however, positive with promising results in terms of policy development and broadening participation of key stakeholders in implementation.

The key areas where impact can already be observed are:

- (i) increased dialogue with stakeholders and increased transparency,
- (ii) amendment and increased enforcement of forest policy,
- (iii) harmonization of forest and forest-related planning and policies, and
- (iv) enhanced co-ordination.

It is, however, difficult to single out the impacts of IPF from those induced by macroeconomic changes and other policy processes. The relevance of the IPF Proposals is clearly related to existing national priorities, but they should also be interpreted in a broader way to allow for the policies themselves to be improved.

The value of the IPF Proposals is largely strategic and can best be realised through an adequate legal and policy framework, namely national forest programmes (see Chapter B below). The Proposals can be used by countries to assess and enrich the current national forest programme. The operational value of the IPF Proposals lies, indirectly, in identifying concrete action to be taken within the national forest programme framework, through assessing, integrating and internalising the IPF Proposals into the country's forest policy. In many cases, the strategic and operational value of the Proposals is constrained by the lack of national ownership of the results of the IFF process due to limited participation and information, especially by other sectors. The assessment and implementation process can assist with overcoming these obstacles and translating the international level commitment into a broad based national commitment.

4. How Countries Should Approach Implementation of the IPF Proposals

Taking into consideration the characteristics of the IPF Proposals, the following conclusions emerged from the various implementation efforts mentioned above. The term "implementation", as used in the IFF Programme of Work, means

- (i) an assessment of the IPF Proposals against existing national forest-related frameworks in terms of relevance and value according to national priorities,
- (ii) (ii) the integration and internalisation of the IPF Proposals into existing national processes, and
- (iii) the identification of country-specific action.

This approach to implementation ensures that the IPF Proposals become part of national processes, and thus the implementation process is not regarded as an additional parallel exercise.

The IFF in its second session underlined that implementation of the IPF Proposals requires a systematic assessment by all countries and subsequent

integration into their own national processes aimed at sustainable forest management. The IFF also reiterated the results and lessons from the various implementation efforts to date, in particular those of the Six-Country Initiative. These include:

- Adequate time and resources are needed to implement the IPF Proposals in the national context. This is considered especially important, given the participatory nature of the assessment process, and the need for adequate communication and information.
- A focal point at the national level would be useful to guide the assessment and implementation process, including linking national developments to international initiatives.
- Grouping the IPF Proposals around issues of national importance could help to focus the assessment on the underlying priority issues. This could also facilitate an assessment of the efficiency and effectiveness of implementing the Proposals at the national level.
- The relevance of the IPF Proposals can best be assessed against existing national frameworks, policies, priorities and programmes in forest and forest-related sectors. Assessment should focus on national priorities, bearing in mind those issues which are regulated through international instruments such as the CBD, FCCC and CCD.
- The assessment of the IPF Proposals in a national context is best conducted as part of a broader process of policy development/reform at the national level. The assessment should, moreover, be used to review the need to revise existing policies and implementation strategies.
- The assessment of the relevance of an individual IPF Proposal needs to include the current state of implementation of measures already taken, in terms of their effectiveness, efficiency and sustainability. The process of integration, internalisation and therefore adaptation of the IPF Proposals will result in country-specific action within the context of national forest programmes.
- National forest programmes, as defined by the IPF (see Chapter B below), are seen as a significant vehicle for the implementation of IPF Proposals at

the country level. These programmes also have the potential for effective co-ordination and implementation of all efforts towards sustainable forest management at the national level, including linkages with other international forest-related instruments. National forest programmes are a means to ensure the integration of forest issues into a country's broader strategies for sustainable development.

- Participation and awareness building are vital elements of the assessment, integration and internalisation of the IPF Proposals into national frameworks, to ensure that all relevant stakeholders understand their contents, significance and implications.

5. Purpose of the Guide

The Guide presented here is designed to:

- Serve as a tool to support implementation of the IPF Proposals, in particular at the national level.
- Be particularly useful in the national assessment phase, where it can help to "place" the individual proposal in the overall institutional and administrative setting and to identify the appropriate instrument or mechanisms for implementation.
- Support participants in the national process in structuring their discussions to identify a country-specific approach to the implementation of the IPF Proposals.
- Help in analysing what has already been achieved at the country level, including the quality of national efforts towards sustainable forest management, as a check of IPF Proposals against existing national forest programmes.
- Facilitate, through systematic use of the Guide, feedback to the international level, to improve the quality of the international forest dialogue, e.g. monitoring decisions taken in international fora, definitions and formulation of forest-related measures at the international level, and - if appropriate - establishing regulations.

Although use of the Guide will substantively facilitate national implementation processes, it is important that countries build on their existing arrangements and find their own particular ways to integrate the IPF Proposals

into their national context. The Guide does not impose a methodology on how to implement the IPF Proposals, but rather supports national actors in developing their own ways of organising the implementation process.

B. National Forest Programmes - Reference Framework for the Implementation of the IPF Proposals

This chapter aims at describing national forest programmes¹ (NFP) as the reference framework for an assessment of IPF Proposals in a specific country context. It puts the discussion on national forest programmes in the context of the international discussion on forests, and outlines the NFP concept as endorsed by the IPF. It defines the main characteristics of national forest programmes, including objectives, principles and elements. It also highlights the main issues related to their formulation and implementation, with specific emphasis on integration into national planning and coordination. Reference is made to the international forest regime and the institutional framework of international conventions and forest-related initiatives.

1. UNCED and Follow-up - a New Approach to Sustainable Forest Management

With the Rio Conference (UNCED) in 1992, the controversial discussion on how to reconcile the various interests related to forests was incorporated into the concept of sustainable development, recognising the sovereignty of all countries over use of their natural resources. Thus, UNCED (Agenda 21 and the Forest Principles) widened the scope and quality of discussions on forest issues. This discussion included, first and foremost, all types of forests world-wide. It also laid the groundwork for a comprehensive and holistic approach towards forest management within the framework of sustainable development.

With this wider scope, discussion continued during UNCED follow-up processes, especially within the framework of the IPF. During IPF deliberations, the concept of national forest programmes was developed and generally accepted as the reference framework for conservation, management and sustainable develop-

ment of all types of forests in all countries of the North and South. This consensus is now the basis for the work of the IFF, and provides guidance in implementing the IPF Proposals. National forest programmes offer the conceptual framework for implementing the IPF Proposals at the country level. They represent a comprehensive, holistic approach by which to integrate all forest-related action under consideration by the international forest regime, and to overcome the fragmented nature of past efforts towards sustainable forest management.

2. National Forest Programmes - Definition, Principles and Elements

A general definition of national forest programmes was given in the IPF Final Report. It used the term "national forest programme" as a generic expression for a wide range of approaches to sustainable forest management within different countries, applicable at national and sub-national levels. National forest programmes are comprehensive forest policy frameworks for the achievement of sustainable forest management, based on a broad inter-sectoral approach at all stages, including the formulation of policies, strategies and plans of action, as well as their implementation, monitoring and evaluation. NFPs need to be implemented within the context of each country's socio-economic, cultural, political and environmental situation. They should also be integrated into the country's sustainable development strategies and into wider programmes for sustainable land use, in accordance with chapters 10 to 15 of Agenda 21.

The **objective** of a national forest programme is to ensure the conservation, management and sustainable development of forests to meet local, national, regional and global needs and requirements, for the benefit of present and future generations.

A national forest programme is based on the following **principles**:

- national sovereignty and country leadership
- consistency with the constitutional and legal frameworks of each country
- consistency with international agreements and commitments
- partnership and participation of all interested parties in the NFP process
- holistic and inter-sectoral approach to forest development and conservation

¹ The description of the concept of national forest programmes builds on the contents of the IPF Final Report and on previous papers on the NFP concept, such as the "Common Principles for National Forestry Planning and Programme Implementation" (FAG, 1995), "Basic Principles and Operational Guidelines - Formulation, Execution and Revision of National Forestry Programmes" (FAO, 1997), the "National Forest Programmes and Forest Partnership Agreements" (Oksanen in: UNDR, 1998)

- long-term and iterative process of planning, implementation and monitoring

The **main elements** of national forest programmes, in practical terms, are described below. To date, these elements have remained focused on government measures. The aim is, however, to include additional stakeholders in order to make a national forest programme a truly broad-based participatory process involving all sections of society. The elements of an NFP include:

- National forest statement: a political expression of a country's commitment to sustainable forest management within related commitments and obligations at the international level.
- Sector review: to establish an understanding of the forest sector and its relations and linkages to other sectors in the context of national development, and to identify key issues and priorities for further action. Depending on existing information this could be a major exercise or a continuous process.
- Policy, legislative and institutional reform: an inter-sectoral process of policy formulation and institutional development to support sustainable forest management, based on the sector review and dialogue with all actors, including clarification of their roles and mandates. This includes decentralisation, empowerment of regional and local government structures, e.g. transfer of responsibilities for planning and budgeting to local levels, decentralised funding, and building of local level capacities. The reform process needs to address land tenure arrangements dealing with access to natural resources, e.g. through land allocation, land ownership and user rights and certificates. It should also address recognition and respect for customary and traditional rights of, inter alia, indigenous peoples, local communities, forest dwellers and forest owners, through, for example, the provision of an appropriate institutional (legal) framework, access to information, definition of rights and benefits, and channels of intervention.
- Strategy development: defining strategies to implement sustainable forest management policies, including financing strategies dealing with the roles and potentials of the public and private sector, and domestic and international investment, including ODA.
- Action plan: a bundle of measures, based on needs assessment and jointly agreed prioritisation, defined for one national planning cycle (e.g. Five Year Plan).
- Investment programme: prioritised public sector investments, including ODA, and incentives for private and non-governmental sectors deriving from the financing strategy for sustainable forest management. In this context, public-private partnerships could be one means to overcome initial investment hurdles and to tap the financing potential of the private sector for forestry purposes.
- Capacity building programme: an accompanying programme to assist the governmental and non-governmental sectors in fulfilling their roles and mandates, with specific focus on strengthening capacities at the local levels.
- Monitoring and evaluation system: multi-layered monitoring of the national forest programme and decentralised forest programmes to provide continuous feedback on NFP implementation, impacts and efficiency.
- Co-ordination and participatory mechanisms, including conflict-resolution schemes: effective vertical and horizontal co-ordination and communication within the forest sector and with other sectors, at all levels. This should include interaction with the international level, including donor involvement, and international and regional forest-related agreements and commitments. These co-ordination and participatory mechanisms should aim to involve all interested parties, to ensure rights of interventions and fair processes of negotiating and compromising, e.g. through public debate, specific fora and consultative groups. These include the definition and development of national and international forest partnership agreements as mandatory instruments to support the formulation and implementation of national forest programmes in a participatory and co-ordinated manner.

With the above features, national forest programmes can serve as a means of promoting, prioritising and co-ordinating public and private investments in sustainable forest management, without neglecting the needs and interests of the various actors, the balance between private and public interests, the economic dynamics and potential of the private sector, and the regulatory functions of the state.

In this context, the national forest programme is a **technical process** in the sense that the identification of goals, policies, strategies and mechanisms for implementation are based on accurate information. It is a **political process** in the sense that the choices between available options are the outcomes of debates, negotiations and compromises by relevant stakeholders. This means participation of all actors, including clarification of their roles and responsibilities, defining their rights of intervention and ways and means of collaboration and co-operation and, eventually, joint implementation and sharing of inputs and benefits.

As a holistic and comprehensive approach to sustainable forest management, it is evident that a national forest programme is not only a process involving the government, with its related institutions and agencies, but one which includes all actors with an interest in forests. This implies transparency at all stages of the process, as well as decentralisation of planning, implementation, monitoring and evaluation, following upon the principle of subsidiarity, i.e. decision-making at a level closest to the object of activities. According to this concept, decisions are taken directly by the actors and beneficiaries of forest development, within a jointly agreed institutional and regulatory framework that is compatible with the overall national forest programme.

Decentralisation allows, in practice, for the establishment of provincial, district-level, and even communal forest programmes that comply with the specific ecological and socio-economic setting, and with the needs and requirements of concerned actors at these levels. The principles and elements of national forest programmes as described above apply at these decentralised levels as they do at the national level.

3. Integration into National Planning Frameworks and Co-ordination

Given the above objectives, principles and elements, the aim is to develop national forest programmes within the context of overall national planning for sustainable development. In order to achieve this integration, it is of crucial importance that the national forest programme is regarded by all actors, including donors, as the framework for all forest-related activities at the country level.

The IPF recommends that national forest exercises and planning tools be part of national economic development plans and strategies, thus implying the need to harmonise forest projects and programmes with existing

planning frameworks, planning cycles and procedures of national development programmes. The holistic concept of national forest programmes also implies, however, that national development planning includes forest-related elements. This suggests that in assessing country-specific frameworks for forest development, the implications of macro-planning and planning in other sectors relating to forests, as well as related institutional and procedural frameworks, have to be taken into account. Consequently, elements of a national forest programme have to be mapped out with reference to forest-related action laid down by macro policies or other sectors. This is a first step in identifying potential interaction - synergies or conflicts - and in harmonising and integrating sector policies and forest-related activities within overall national planning for sustainable development.

A specific aspect of integration is co-ordination of various inputs into national forest programmes. With the increasing awareness of forest issues world-wide, a variety of donor initiatives and financing mechanisms for sustainable forest management have emerged in the last fifteen years. This often caused considerable confusion at the country level, given the existence of competing frameworks with different approaches, priorities and procedures, depending upon which international agency was taking the lead. However, fragmented approaches to environment, conservation and forest development can now draw upon the concept of national forest programmes to develop a comprehensive approach to forest management and development according to national priorities.

Co-ordination of forest-related initiatives can be identified at three levels: the country, regional and international level. Each country with its own specific planning mechanisms has to identify the relevant levels and requirements for harmonisation of policies, planning frameworks and measures which affect forests in various ways. This includes sector concepts, the fiscal system, administrative procedures, public investment and incentives or disincentives for forest-related private sector activities. Practical steps towards effective co-ordination within national forest programmes include information management for enhanced transparency of policies and activities, and establishment of consultative mechanisms at national and decentralised levels as platforms for a structured dialogue between all stakeholders.

The IPF called for additional partnerships in the integration and harmonisation of all forest-related activities

at the country level. This can be achieved particularly through the elaboration of forest partnership agreements (FPA) as tools for effective formulation and implementation of national forest programmes. The FPA concept comprises agreements amongst key actors on certain principles, approaches and procedures for harmonisation and effective co-ordination in support of the national forest programme. Partners can include all national and international actors with relevance for the forest sector, including actors at decentralised levels. National or international forest partnership agreements would be concluded based on fair dialogue, negotiation and co-operation between partners, taking into account horizontal and vertical interlinkages between the concerned levels.

4. Consideration of International Agreements and Initiatives

Many international agreements, programmes, processes and initiatives have a bearing on forests. The results of these processes, including their application and implementation in the country context, have to be taken into account during the formulation and implementation of national forest programmes. This requires co-ordination and integration of the NFP process within the institutional framework established by a country's commitments at the international level. Practically, this means closely involving all national agencies and focal points engaged in international forest-related initiatives and processes.

The IPF has made general references to international initiatives and agreements. It highlights that NFP formulation and implementation should be based on the

results of UNCED, Agenda 21 and the Forest Principles, as well as emerging processes of the international forest regime, including Rio Conventions such as the FCCC, CBD and CCD. Further, in assessing the IPF Proposals, those initiatives and activities which enhance the potential for new approaches to forest management should especially be taken into account. These include on-going deliberations of the IFF, as well as processes towards development of criteria and indicators for sustainable forest management, forest certification, or instruments emerging from discussions under the Intergovernmental Panel on Climate Change (IPCC) with reference to the Kyoto Protocol. Other international processes and conventions with direct or indirect relevance to forests should also be taken into account². In addition, a mapping of relevant international processes and their link to the national level in relation to forests could be a practical means by which to identify the links and their consideration during the NFP process.

C. Practical Approach to the Assessment and Integration of the IPF Proposals into National Forest Programmes

In this chapter, the IPF Proposals have been arranged in a matrix format to facilitate the assessment of their perception and value at the national level in operational, strategic and political terms. The matrix serves as an aid to integrating and internalising the IPF Proposals into national forest programmes of respective countries. It contains only those IPF Proposals which are relevant for action at the national level. Those Proposals which require action at the international level are listed in a separate table, in Annex 1 of this Guide.

² International forest regime, forest related initiatives and processes consists of, inter alia:

- UNCED: Agenda 21, especially Chapters 11 to 15, the Forest Principles,
- Rio Conventions, i.e. the 1992 Convention on Biological Diversity (CBD), the 1992 United Nations Framework Convention on Climate Change (UNFCCC), 1994 United Nations Convention to Combat Desertification (UNCCD),
- results and decisions under the Commission for Sustainable Development (CSD), UN Ad-Hoc Intergovernmental Panel on Forests (IPF) and the UN Ad-Hoc Intergovernmental Forum on Forests (IFF),
- International Tropical Timber Agreement (ITTA),
- Montreal and Helsinki Processes,
- various regional agreements on the conservation and sustainable management of forests.

Other international processes/conventions with direct or indirect relevance to forests are (e.g.):

- 1971 Convention on Wetlands of International Importance especially as Waterfowl Habitat (RAMSAR Convention),
- 1972 Convention Concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention),
- 1973 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES),
- 1979 Convention on the Conservation of Migratory Species of Wild Animals (The Bonn Convention),
- 1989 Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention),
- 1989 Convention Concerning Indigenous and Tribal Peoples in Independent Countries (ILO Convention 169),
- General Agreement on Tariffs and Trade (GATT),
- United Nations Conference on Trade and Development (UNCTAD),
- Agreements under the World Trade Organisation (WTO) and regional agreements on trade.

The national dialogue on IPF Proposals should involve all relevant stakeholders and their institutions, as highlighted in the methodology to assess and integrate IPF Proposals into the national setting, described in Chapter A, and the objectives, principles and elements of the NFP concept, outlined in Chapter B. The information and recommendations contained in the matrix aim to enhance this participatory approach in all steps taken. They emphasise that the IPF process not only addressed governments and their organisations, but focused on the need for societal negotiations regarding sustainable forest management in a holistic and comprehensive manner.

The matrix below is envisioned as a tool to facilitate the assessment and integration of IPF Proposals into national forest programmes. As a proposed methodology for the assessment of IPF Proposals, it is not meant to impose a format on national actors but rather to facilitate their task. The columns of the matrix include the following information and recommendations:

1. Cluster/group of IPF Proposals and contents:

The IPF Proposals have been rearranged, grouped and clustered according to their contents, as well as according to their original categorisation in the "table of contents" of the IPF Report. The text simplifies the language of the Proposals to enhance understanding of their meaning, and to facilitate the work of policy makers, planners and practitioners in the private and public sector. All IPF Proposals have been taken into consideration, and a wide range of resource persons have examined the synthesis text contained in the matrix. It can be assumed that this text reflects the results of the IPF process, even though it needs to be underlined that it by no means intends to substitute the agreed text of the IPF Report.

2. Reference to individual IPF Proposals:

Under this column, the numbers of the individual IPF Proposals grouped under the respective cluster are listed. For easy reference, the entire IPF Report is annexed to this Guide (see Annex 3).

3. Relevant NFP elements and level of intervention:

In order to increase the orientation and the positioning of the respective grouping of the Proposals in the following matrix, the NFP elements are indicated as outlined in the IPF Report. The community discussing forest policy and planning is aware that more NFP

elements and instruments apply, which need to be elaborated further (see Chapter B). Some recommendations are given for the level of intervention, even though the country-specific situation often demands broadening the scope of interventions.

4. Linkage to the international forest regime:

The international forest regime, consisting of various forest-related processes and instruments, needs to be taken into consideration when assessing the IPF Proposals. Despite the specific national situation, the results of all instruments and initiatives of the international forest regime should be evaluated, to support and guide the national forest programme. The listing under this column is not comprehensive (see also Chapter B5).

5. Assessment of existing efforts:

Some elements for the assessment of IPF Proposals are proposed. It is evident that each country should design its own national approach to the assessment and subsequent integration of IPF Proposals into the national setting. Experiences can be drawn upon from the Six-Country Initiative and other national exercises to facilitate this.

6. Identification of country-specific action:

Some examples of country-specific action are described in this column. This should assist practitioners to decide upon actions following from an assessment of the value and perception of IPF Proposals at the national level. National actions are related not only to the value and perception of the IPF Proposals, but also to measures taken, and their quality and effectiveness within a country to date. In summary, the matrix should guide practitioners through the results of the IPF process, and should assist in the national application of the IPF recommendations in the most effective way. The political commitment and obligations of the countries participating in the IPF/IFF process demands a national debate not only on the specifics of the individual IPF Proposals and their clusters, as shown in this matrix, but also on the need to approach forest development in a more holistic and comprehensive manner as agreed upon during UNCED and IPF. The IPF Proposals and their application at the country level offer a good opportunity to address issues of common concern to all stakeholders, including the private sector, NGOs and governments.

**Practical Tool for the Assessment and Integration
of the IPF Proposals for Action
into National Forest Programmes**

I. Implementation of forest-related decisions of the United Nations Conference on Environment and Development at the national and international levels, including an examination of sectoral and cross-sectoral linkages

A. Progress through national forest and land-use programmes

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime ³	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Develop and implement a holistic national forest programme which integrates the conservation and sustainable use of forest resources and benefits in a way that is consistent with national, sub-national and local policies and strategies	17a, 70a, 77f, 146c	Programme approach to integrate all forest-related measures into one framework and process Government in collaboration with all relevant stakeholders at all levels	UNCED, Agenda 21, Forest Principles ⁴ and all UN conventions, and other international processes and initiatives applicable in the respective countries	Analysis of the existing planning and implementation framework taking into account the national planning cycles (e.g. 5-year-planning, fiscal year and budgeting etc.) and international cooperation including NGOs and private sector and considering the international forest regime	Revision of current NFP or initiation of a NFP process, based on a broad dialogue along the lines of the NFP concept (almost all other IPF Proposals for Action should be assessed and integrated into the framework of the respective NFP - see concept)
2. Develop and implement national policy goals and strategies for addressing deforestation and forest degradation in a participatory manner	29a, 29b	Forest policy and strategy Government in dialogue with general public and specific stakeholders	Forest Principles paragraph 3(a), 5, 8, All international forest-related agreements and global processes considering financial flows of different sources	Analysis of national forest-related policies and strategies, including those deriving from other sectors and international agreements like Geneva Convention on Pollutants, CSD, CBD, FCCC etc.	During the process of NFP implementation, define national policy goals and strategies for sustainable forest development in harmony with international agreements in a holistic and comprehensive approach towards SFM

³ It is understood that the scope of IPF covers all aspects of IPF Proposals by definition, so IPF is not explicitly mentioned here again.

⁴ The IPF Proposals in total are based on the Forest Principles. In this column, in some cases specific paragraphs of the Forest Principles are mentioned for easy reference, otherwise they apply in general.

A. Progress through national forest and land-use programmes (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
3. Improve cooperation and coordination systems in support of sustainable forest management within national forest programmes which involve all stakeholders including indigenous people, forest owners and local communities in forest decision making	17b, 17f, 17h, 40e, 77f	<p>Fora for dialogue, decentralization efforts, mechanisms of appropriate participation throughout the process of NFP considering national policy and legislation</p> <p>Government in collaboration with all relevant stakeholders, including donors and international organizations and NGOs</p>	<p>Forest Principles para 2(d), 5(a);</p> <p>Linkage to focal points and national institutions of UN forest - related conventions and other int. Agreements and initiatives like Convention Concerning Indigenous and Tribal Peoples in Independent Countries of ILO (ILO Convention 169)</p>	<p>Analysis of existing coordination and cooperation mechanisms, both formal and informal considering cross-sectoral coordinations with national institutions including finance, planning, rural development, education etc.</p> <p>Evaluation of relationship between international and national institutions and ownership and integration of international contributions into national planning structures</p>	<p>National dialogue between Government and all stakeholders; set up appropriate coordination mechanisms at national/sub-national levels</p> <p>Clarify roles and mandates and rights of intervention between stakeholders and their institutions, consider decentralization efforts in decision-making</p> <p>Consider Forest Partnership Agreement concept to structure the dialogue, appropriate participation and measures to be implemented</p>
4. Develop and apply criteria for effectiveness and adequacy of forest programmes	58d, 71b	<p>All NFP elements, particularly national forest statement, forest policy (C&I) and strategy</p> <p>Government in collaboration with relevant stakeholders</p>	<p>Forest Principles para 8(d),</p> <p>Consideration of (evolving) C&I of ITTO, FSC, ISO, CBD, FCCC, CSD, etc.</p>	<p>Evaluation of national policies and legislation under all aspects of NFP elements and cross-sectoral cooperation as well as international policies and legally binding agreements</p>	<p>Conduct dialogue with relevant stakeholders and international community (if appropriate) and adjust policies, legislation and/or procedures</p>

A. Progress through national forest and land-use programmes (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
5. Monitor and evaluate implementation progress of a national forest programme including the use of criteria and indicators for sustainable forest management	17a, 17d, 71b	Forest sector review and national monitoring system based on national policies and legislation Government in collaboration with relevant stakeholders	Forest Principles para 2(b), 3(a), 8(d), CSD reporting and national positions vis-à-vis participation in international processes and agreements on M&E like Global Forest Resources Assessment etc.	Evaluation of national M&E system in forestry as well as other ongoing forest-related initiatives on M&E like sustainable development, agriculture, rural development, and other forest-related aspects like pollution and emissions, biodiversity, climate, desertification etc. taking into account national activities initiated by international agreements	Elaborate and implement forest-related and (if possible) cross-sectoral M&E system with appropriate C&I for measuring SFM success and limitations as a contribution to sustainable development
6. Develop and promote the concept and practice of partnership, including partnership agreements, between all actors in the implementation of national forest programmes	17a, 17i, 40g, 40n, 46c, 77c	All NFP elements, since partnership agreements structure a process of planning and implementation Government in collaboration with all national and international stakeholders at policy and operational levels	Agenda 21, Forest Principles para 2(d), 5(a), 11, CBD, CCD (where agreements are being debated) as well as other global agreements that could be subject to partnership agreements	Evaluation of the need to structure the national dialogue and planning/ implementation process according to national planning cycles considering international agreements and international cooperation and considering decentralization and broad participation	Set up consultative mechanism with participation of all relevant stakeholders, define problems, topics of interest and agree on a process of debate on forest partnership agreements (policy dialogue)

B. Underlying causes of deforestation and forest degradation

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Study and analyze underlying causes of deforestation and forest degradation (UC) to provide factual information for improved public understanding and forest decision making	27a, 27b, 27c, 30a, 31a, 31b	Forest sector review, national monitoring system and national policy debate Government at all levels and research institutions, NGOs, community groups, private sector and international community	UNCED, Forest Principles para 9, 12; linkage to on-going work under international conventions	Analysis of underlying causes considering macro-and micro-economic, fiscal, market and trade aspects as well as change in land use for purposes other than forestry	Include UC discussion into national monitoring system and national debate, support research projects on UC, analyze international frame conditions and their relationship to national UC, provide policy feedback and transparency of results as an instrument for change
2. Support information exchange on UC at national, regional and international levels including aspects of int. agreements	28c, 30a, 31c	Forest sector review; national fora to debate Government, research institutions in collaboration with international actors	UNCED, Forest Principles para 12; CCD, CBD, FCCC, CITES	Analysis of current information exchange and options to address the problem	Revise/improve forest resource information systems and statistics & publications; prepare for debate at national and international levels in various fora on national findings
3. Assess the long-term trends in the supply and demand for wood, promote sustainability of supply and strengthen institutions involved in forest and plantation management and enhance the role of plantations as a mechanism for reducing deforestation and forest degradation of natural forests	28a, 28b	Forest sector review taking into account forest-related assessments like market and trade, industrialization, energy sector, agriculture etc., forest policy and subsequent NFP elements All stakeholders and their institutions	Forest Principles para 6, Specific results of international forest-related arrangements and mechanisms in support to SFM	Analysis of supply and demand of forest goods and services, taking into account non-valued goods and services, the potentials and the current role of plantation forestry as well as the overall human and natural potentials	Integration of the work into forest sector review, policy debate, research activities, institutional reforms and subsequently in the definition of action and investment programmes

C. Traditional forest-related knowledge

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Collaborate with and enhance the capacity of indigenous people to identify, map, store, maintain information on and promote the understanding and application of TFRK at the local, national and international levels	40a, 40b, 40g, 40j, 40n, 40q, 58b(vi)	Forest sector review, policy and strategy development, action programme as well as partnership agreements All stakeholders in the public and private sectors; research institutions, NGOs, representatives of local people, public media	Forest Principles para 2(d), 5(a), 12; CBD, ILO Convention 169 and international institutions charged with the topic like UNESCO	Analysis of problems encountered by indigenous peoples; study on the relationship between TFRK and local contemporary knowledge application and the (un)favourable environment	Conduct surveys on TFRK; integrate TFRK in NFP formulation and implementation; revise of legislation; support decentralization to increase application of TFRK and local knowledge deriving from current experiences; increase possibilities for local people to exchange knowledge and experience
2. Formulate and take measures including the application of intellectual property rights to respect, maintain, and protect TFRK	40b, 40c, 40d, 40j, 40p, 77f	Forest policies, strategies and legislation Public and private sector stakeholders, including TNCs; research institutions, NGOs, representatives of local people	Forest Principles para 2(d), 5(a), 8(g), 11, 12; CBD, Working groups / initiatives on intellectual property rights	Assessment of existing environment, including legislation and potentials for application of TFRK	Conduct studies on and document different frameworks for TFRK and other property rights; revise legislation
3. Develop and implement policies and mechanisms to secure land tenure and for equitable sharing of forest-related benefits with local communities and indigenous people and document successful approaches in application of TFRK	40f, 40r, 29c	Action programme and institutional reform Public and private sector stakeholders, research institutions, NGOs, representatives of local people, public media	Forest Principles para 2(d), 5(a), 12(d); ILO Convention 169	Analysis of the current situation and policy and legislative framework	Conduct studies on approaches and document experiences; discuss options for TFRK application with indigenous peoples considering the land and natural resources

C. Traditional forest-related knowledge (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
4. Support traditional resource use systems, establish stronger linkages to sustainable forest management systems and assist networks that promote sharing of TFRK and include TFRK in forest management training programmes	40h, 40i, 40j, 40k, 40l, 40m, 40q	Action programme Public and private sector, research institutions, NGOs, representatives of local people, forest operators	Forest Principles para 2(b),(d), 5(a), 12(d); CBD, CCD, linkage with int. research and training institutions, initiatives and workshops on TFRK, ILO Convention 169	Analysis of support to rural development, market shares of indigenous products and contribution of TFRK to current forest management as well as analysis of existing gaps in information collection and sharing.	Amend existing policies and legislation allowing for the organization of user groups, establishment of consultation mechanisms and support local communities

D. Fragile ecosystems affected by desertification and drought

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Analyze past experiences and monitor trends in dryland forests, including bio-physical, social, economic and institutional factors, and undertake integrated and coordinated action to address dryland forest issues at the international, national and local levels, including protected areas	46a 46b, 46c, 46f	Forest sector reviews, M&E and forest policy, action programme Government, sector institutions, universities and research organizations	Int. research institutions and other organizations such as OSS, international agreements such as CCD, CBD	Analysis of experiences, M&E and C&I discussion and analysis of efforts undertaken in dryland forestry and problems encountered	Conduct multi-disciplinary research, document and disseminate results and improve M&E system; initiate specific action programmes; develop C&I specifically for dryland forestry and revise current approaches

D. Fragile ecosystems affected by desertification and drought (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
2. Develop and support partnerships which include indigenous and local communities and management approaches, including those that embody traditional lifestyles, to reduce pressures on dryland forests and promote their sustainable management and regeneration	46d, 46c	Forest policies and action programme All stakeholders of government sectors concerned, NGOs, local communities, user groups and private sector	CCD; ILO Convention 169	Analysis of role of indigenous peoples and local communities, their mandate and rights of access to drylands and existing limitations	Conduct dialogue with all actors and define a support strategy; establish mechanisms to ensure fair and equitable sharing of benefits

E. Impact of airborne pollution on forests

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Develop national assessment and monitoring methods, extend regional programmes for monitoring impacts of air pollution and provide factual information about transboundary air pollution	50c, 50d, 27c	Forest policy and strategy, M&E systems Government agencies, Science and research institutions, forest planners, national institutions charged with industrial development, transportation and other sources of air-borne pollution; private sector	Forest Principles para 2(b), 15; FCCC, regional initiatives on Transboundary Air Pollution	Analysis of dialogue and measures taken so far, particularly with regard to inter-sectoral approaches to solve problems	Analyze and revise existing monitoring programmes; conduct dialogue with other countries on harmonization of approaches, exchange of data; build long-term monitoring approaches into forest planning; include decentralized level into dialogue on inter-sectoral measures to be taken

E. Impact of airborne pollution on forests (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
2. Adopt a preventative approach to the reduction of damaging air pollution	50a	Approach necessarily beyond NFP boundaries: policy level, legislation, national planning; public and private sectors (industries, energy, transport etc.); science and research institutions; NGOs and general public	Forest Principles para 2(b), 15; FCCC incl. Kyoto Protocol, regional conventions	Analysis of existing efforts towards preventive approach, including all related sectors (energy, industry etc.), regulatory measures, fiscal approaches, discussion on "green taxes"	Initiate broad-based dialogue between Government, industries, general public; elaborate and/or change environmental policies and legislation, tax and incentive systems
3. Strengthen international cooperation and action with respect to reducing long range air pollution	50b, 50e	Forest and other policy formulation, institutional reform, agreements at national and regional level Government and private sector, agencies concerned with international dialogue	Forest Principles para 2(b), 15; FCCC, Montreal Protocol, International agreements and initiatives on Transboundary Air Pollution	Analysis of problems, existing national efforts and degree of participation in national, regional and international fora; analysis of the quality of cross-sectoral approaches	Conduct international dialogue; assessment of on-going initiatives and results so far; negotiate agreements and action programmes; prepare for national positions for international dialogue

F. Needs and requirements of developing and other countries with low forest cover

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Seek long-term security of forest goods and services through the development of a national forest programme and where appropriate define a permanent forest estate	58b(i), 17a	All elements of NFP Government and all stakeholders in NFP formulation and implementation	Forest Principles and the various international mechanisms and arrangements in support of the objective	Analysis of potentials and limitations through forest sector review, policy review and evaluation of potential support through international organizations and arrangements	Conduct forest sector review; Initiate/revise NFP; define policy goal with reference to requirement for permanent forest estate and structural limitations through agriculture etc.
2. Analyze and take into account the related social, economic and environmental implications, costs and benefits of non-wood substitutes and imports of forest products	58b(iv)	Forest sector review Government, forest and forest-related institutions, universities and research institutions, NGOs and local communities	International discussion on trade; WTO, GATT	Analysis of existing information and experiences with implications of non-wood products and import of forest products; analysis of existing trend and the existing environmental policies driving for the establishment of forest covers for various reasons; analysis of opportunity costs and valuation of forest products and services in view of non-wood substitutes and import of forest products	Define specific action to respond to existing trend in line with market and trade policies of the national and international levels and considering additional forest goods and services not yet valued

F. Needs and requirements of developing and other countries with low forest cover (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
3. Take positive action towards reforestation, afforestation and conservation including regeneration of degraded forests, management of plantations and the expansion of forest cover and protected areas	58b(ii), 58b(iii), 58b(v), 58c, 58b(vi)	All NFP elements and land laws and other forest-related policies and regulations Government, private sector institutions, donor agencies, NGOs, local communities, land owners, private investors	Forest Principles para 6, 8, CBD, CCD, ITTA, FCCC, international and multilateral programmes and innovative financial mechanisms	Conduct forest sector review, taking into account the underlying causes for low forest cover, the dynamics of land-use change and other factors leading to deforestation and forest degradation	Develop policies and legislation, incentives for plantation, secondary forest management and forest conservation programmes; develop technical guidelines and participatory extension approaches in line with land laws and other forest-related regulations considering long-term security in the provision of forest goods and services
4. Establish and manage plantations to enhance production of forest goods and services, taking into account relevant social, cultural, economic and environmental considerations in the selection of species, areas and silviculture systems; avoid disturbance of valuable natural ecosystems and the establishment of monocultures	58b(ii)	All NFP elements Public and private sector, research institutions, land owners, investors, local communities	Forest Principles para 6(d), 8; Due to the broad IPF Proposal for Action, practically all forest-related international agreement, arrangements and mechanisms apply for specific aspects of the proposal	Profound analysis of the existing efforts in view of a holistic and comprehensive approach to forest development taking into account the existing primary and secondary forests and their management to identify complementarity of plantations to primary and secondary forests	Identify potentials for secondary forest management; Initiate and implement plantation programmes including seed supply to complement primary and secondary forest management; develop guidelines for EIAs and plantation management; mobilize and allocate adequate resources

II. International cooperation in financial assistance and technology transfer

A. Financial assistance

Strengthening financial assistance

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Mobilize and prioritize financial resources and allocation of ODA in favour of SFM and explore and expand innovative financial mechanisms including concessional lending and debt relief initiatives to support sustainable forest management and national forest programmes	67b, 70d, 67e, 67g, 71c	Forest sector review, policy formulation and legislation, action and investment programme Government at all levels and all stakeholders in close cooperation with donor community, including development banks at the national level	Rio Declaration, Agenda 21, Forest Principles para 1 (b), 7, 10, CCD, CBD, FCCC and all conventional and innovative domestic and international financial mechanisms and programmes, including ODA	Analysis of existing and potential domestic and international sources of finance as well as priorities in financing SFM. Particular importance should be given to decapitalization of forest resources, incentives and subsidies as well as potentials of domestic financial resource mobilization with regard to macro-economic development, markets and trade	Identification of a national financing strategy of SFM by considering priorities in forest development, valuation of additional forest goods and services in monetary terms; establishment of private and public partnerships; integrate contributions of the international community into the NFP financing strategy
2. Identify and prioritize resource needs for sustainable forest management, the analysis of causes of deforestation and forest degradation and for certification and labelling	67b, 30b, 133b	Forest sector review Government in collaboration with all stakeholders, planning and statistics, research institutions, national working groups on certification, operational level	International processes (e.g. Montreal and Helsinki process) / working groups on SFM, UC, certification and labelling, CIFOR, ITTA-ITTO	Analysis of needs within the forest sector review. Special attention should be given to the remaining domestic financial potentials and the necessary re-investments, incentives structure and values of additional forest goods and services	Conduct dialogue with all actors on priority goals and resource needs, define work programmes and funding requirements in NFP framework based firmly on an overall macro- and micro-economic, fiscal analysis including markets and trade

A. Financial assistance (continued)

Enhancing private-sector investment

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
3. Create favourable environment to encourage international and domestic private sector investment into sustainable forest management, including reinvestment of forest revenues and profits and enhance financing of Government, community and forest owners for SFM, and facilitate local participation and investment in sustainable forest management	69b, 69c, 69d, 69e, 70a, 70c	Forest sector review, policy formulation, legislation, forest-related institutions in consultation with private sector, NGOs and local communities	Forest Principles para 1(b), 3(a), 7, 10, International discussion related to trade & environment, GATT, TBT	Survey and analysis on what the private sector would expect to be a favourable environment for long-term investments to match national policies and legislation as well as expectations in revenue collection by the public sector	Conduct dialogue between the public and private sector on use of forest revenues, develop appropriate policies, legislation, incentive / disincentive (tax) mechanisms including public and private partnerships as well as institutional arrangements for dialogue and inter-sectoral coordination
4. Develop and implement market based mechanisms to increase forest revenues, reduce social and environmental costs and generate financial resources for sustainable forest management	69c, 70b	Forest policy and strategy, action programme, institutional reform Government, public finance and planning institutions as well as parliament/ legislation, and private sector (trade associations etc)	TTTA, multilateral organizations	Analysis of market and trade dynamics and problems deriving thereof in the context of the overall macro-economic development considering national environmental policies and international agreements	Discussion on possible market based mechanisms with the private sector and communities; clarify the roles and mandates of public and private sector and arrange for public and private partnerships; develop and/or adjust policies, legislation, fiscal procedures, tax system accordingly

A. Financial assistance (continued)

Enhancing national capacity, coordination and international cooperation

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
5. Support coordinated deployment of resources for sustainable forest management through national forest programmes	70a, 70d, 17g, 17h	Forest policy and strategy, action and investment programme Government agencies concerned with NFP, financial coordination and international cooperation	Agenda 21, Forest Principles	Analysis of problems encountered with deployment of financial resources taking into account the current policy and planning framework and its dynamics to put the deployment into its context	Revise donor priorities and procedures in support of country-driven NFP (if applicable); create coordination mechanisms; revise national budget allocation and fiscal procedures

B. Technology transfer and capacity-building and information

Enhancing technology transfer and capacity-building

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Identify and assess technological requirements necessary to achieve sustainable forest management in line with NFP priorities	77b	Forest sector review All actors of NFP, especially planning level, forest management level, institutions concerned with information systems and research	Forest Principles para 11, 12(b); International discussion on technology transfer, CBD, CSD, FCCC	analysis of problems encountered with technology transfer considering international discussions	Assess and identify specific national technology needs for achieving SFM; forest management approaches, information systems and research; screen - socio-cultural and economic feasibility and sustainability of technologies

B. Technology transfer and capacity-building and information (continued)

Enhancing technology transfer and capacity-building (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
2. Strengthen cooperation at all levels and promote access to and transfer of environmentally sound technologies on favourable terms	77a, 77c	Bilateral and multilateral contacts of public and private sector actors concerned with environmental technology and know-how; information exchange; research institutions, operational level, donors, NGOs	Agenda 21 (Chapter 34), Forest Principles para 11, FCCC, CBD, CSD	Assessment of related potentials and identification of needs by both developed and developing countries	Work for provision of access to related technology; agree on terms of transfer; establish cooperation links at local, national, regional and international levels
3. Include capacity-building as objective of national forest programmes, formulate appropriate policies and provide capacity-building to encourage the use and adaptation of environmentally sustainable technologies with specific emphasis on local level capacities and people's participation	77d, 77e, 77f, 58b(vi), 58e, 77f, 17g, 58e, 70e	Policy formulation, legislation, planning, capacity-building programme Public and private sector actors concerned with NFP; NGOs, donor agencies, forestry institutions, forest management level, public information units and research institutions, local level actors	Agenda 21, Forest Principles para 11, 12; CBD, FCCC, CSD, ILO Convention 169	Analysis of existing policies and their effectiveness, capacity-building and people's participation as well as application of local and traditional forest-related knowledge; assessment of national application of available concepts and approaches	Define the conditions of a favourable environment for the use of environmentally sound technologies; Assess existing capacities and define requirements for improved people's participation and involvement of local actors in forestry; strengthen forestry extension services

B. Technology transfer and capacity-building and information (continued)

Improving information systems

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
<p>4. Establish new and improved mechanisms to assist with the wide access to and the interpretation of information on sustainable forest management and improve coordination of forest information systems with other information systems including clear prioritization of data collection</p>	<p>78b, 30a, 58b(vii), 1.33g, 1.34b, 89g</p>	<p>Forest sector review and M&E systems Public and private sector institutions concerned with forest-related research, information systems, international cooperation</p>	<p>Forest Principles para 2(c) International discussion on forest-related information policy and technology FAO Global Forest Resources Assessment, CIFOR, IUFRO, UNEP, UNEP, World Bank, bilateral organizations and NGOs, (partly) CBD</p>	<p>Assessment of the existing information flow and needs to network with institutions and other Governments. Define the role of the international and national private sector in information sharing</p>	<p>Conduct needs analysis; establish appropriate mechanisms for access to and interpretation of information; coordinate approaches and harmonize technologies in full cooperation with NGOs and the private sector</p>

III. Scientific research, forest assessment and the development of criteria and indicators for sustainable forest management

A. Assessment of the multiple benefits of all types of forests

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Improve national forest resource assessment, forest statistics and the capacity to analyze this information and contribute national data on timber and non-timber products and services to the FAO Global Forest Resources Assessment 2000	89b, 89d, 89e	Forest sector review and M&E system Government, public and private sector institutions concerned with forest resources assessment, research, statistics; donor community, NGOs and multilateral organizations like FAO and UNEP	Forest Principles paragraph 2(c), 12(c) FAO Global Forest Resources Assessment, environmental accounting under UN SNA, approaches to forest resources accounting like ITTO FRA	Analysis of the existing M&E system considering the participation of relevant stakeholders and evaluation of the cooperation with global M&E systems like FAO Global Resource assessment and WCMC in Cambridge	Analyze data needs and user groups; revise existing approaches for collection, analysis, use of and access to forest-related information; define capacity-building programmes and conduct training, harmonize assessment methodology and provide compatible data
2. Consult with all relevant stakeholders to identify the full range of benefits derived from forests	89h	Forest sector review, policy formulation and action plan All stakeholders in forestry at national and local levels; Government and private sector, research and science institutes, NGOs, local actors, community-based groups	Forest Principles paragraph 6(c), UNCED follow-up process like CBD, FCCC including JI/CDM, and other processes like WB market transformation initiative	Analysis of valued forest goods and services at present, including the current state of discussion on incremental cost coverage for global benefits like biodiversity and climate at country level, inter alia GEF measures or CO2 sequestration	Establish consultative process through appropriate mechanisms (national/local forest fora); assess full range of benefits and their value for different users / user groups in view of national activities and international cooperation

B. Forest research

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Identify and prioritize interdisciplinary forest research needs on an eco-regional basis, involving all institutions and experts at national, regional and international levels, and promote research including (i) forest inventories, (ii) monitoring and the valuation of forest goods and services, (iii) rehabilitation and extension of dryland forests and (iv) TFRK with the full involvement of indigenous peoples and local communities	94a, 89c, 104c, 40k, 46d	Forest sector review, strategy on research and action plan Government in collaboration with national, regional and international research institutions, multilateral organizations, donor community, NGOs	Forest Principles para 12, Initiatives on research; CIFOR and IUFRO guidelines and research agendas; linkage with CBD, CCD, FCCC, ILO Convention 169	Analysis of current national and international country-specific research programmes and projects and evaluation of effectiveness and quality, dissemination and application of research findings	Identify research priorities, needs and constraints; establish coordinated interdisciplinary long-term research strategies and programmes, including links between research institutions based on national forest programme
2. Develop research and information systems, including global forest research networks and consortia to facilitate decisions related to national forest programmes and to disseminate information to all users	58b(vii), 94a, 94a, 94c, 94d	Policy formulation, strategy development and action plan Government, all actors in NFP in collaboration with universities and research institutions	Forest Principles para 12, International initiatives on forest research and information policy	Assess research needs and existing capacities; work with international actors to address gaps, establish partnerships between research groups and other actors	Refine research and information systems; establish mechanisms for information exchange
3. Involve all interested parties in the extension, planning, implementation, monitoring and evaluation of forest research with a focus on on-site research to support the implementation of national forest programmes	17e, 94d	Policy formulation, strategy development and action plan Government, research institutes, extension service in cooperation with private sector, local communities, NGOs	Initiatives on research; CIFOR and IUFRO guidelines and research agendas, research under CBD, CCD	Assessment of the quality, effectiveness and application of research data by all interested parties in the extension, planning, implementation, monitoring and evaluation of forest research	Establish mechanisms to integrate all stakeholders into the research process - to plan, conduct, evaluate, extend and use the results of research in forest management, develop a research strategy

C. Methodologies for the proper valuation of the multiple benefits of forests

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Develop and use forest valuation methodologies to improve the estimates of values of all forest goods and services by considering environmental and social information in forest-related decision making processes	104a, 104c	Policy formulation and action plan Government, research institutes, universities, private sector	Forest Principles para 1(d), 12, Discussion on valuation of goods and services, on financing for forestry in various fora of the international forest regime; CBD, FCCC including JI/CDM	Assessment of the quality and applicability of national and international discussions on the valuation of forest goods and services to serve the objective of SFM	Improve existing valuation methodologies; design and conduct research activities; provide information for decision-makers; base decisions on sound information; apply prices to goods and services, establish national forest accounts

D. Criteria and indicators for sustainable forest management

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
<p>1. Prepare national (and sub-national) criteria and indicators for sustainable forest management, including TFRK and air pollution, in a participatory manner and in consideration of regional and international initiatives; integrate C&I into the national forest programme and national forest assessments and promote their use for sustainable forest management</p>	<p>115a, 115b, 115e, 115f, 69a, 17d, 89a, 40l, 50d</p>	<p>Policy level, legislation, planning Public and private sector especially forest managers, forest and timber industries; forest science and research institutions, NGOs, general public interested in sustainable forest management</p>	<p>Agenda 21 Chapter 11, Forest Principles para 2(b), 8(d), International and all regional initiatives on C&I, e.g. Helsinki and Montreal processes, ITTO, CIFOR, FSC</p>	<p>Assessment of national and international efforts in C&I development in relation to national forest programme and link with on-going discussion on SFM, including biodiversity aspects</p>	<p>Elaborate, test, implement, further develop C&I in a participatory approach; link and harmonize with international/ regional initiatives; define required reforms and support Create favourable frame conditions for use of C&I in sustainable forest management</p>

IV. Trade and environment in relation to forest products and services

Market access

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Study impacts of trade-related measures affecting forest products and services and undertake measures for improving market access for forest goods and services, including the reduction of tariff and non-tariff barriers to trade in that context to promote a mutually supportive relationship between environment and trade	128a, 128b	Policy formulation, strategies, action programme Government, research institutions, private sector, NGOs	Forest Principles para 14; forest-related discussions under international and regional agreements, WTO, ITTA,	Analysis of problems encountered with environmental, social and economic impact of trade-related measures, market access, tariff and non-tariff barriers, including evaluation of effectiveness of national and international measures currently applied	Conduct dialogue with private sector in order to identify and eliminate trade barriers; adjust policy, laws and regulations
2. Develop and implement codes of conduct to encourage private sector activities consistent with sustainable forest management	69a, 128c	Action programme Private sector; Government may facilitate	Discussion on best practices for SFM;	Identify areas of successful elaboration and application of codes of conduct; analyze efforts and practices of private sector in this context	Discuss and negotiate, implement and monitor codes of conduct; encourage by honouring best practices

Relative competitiveness of forest products

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
3. Gather information and conduct market and economic studies of the potential competition between wood and non-wood substitutes analyzing the impact on sustainable forest management	131a	Forest sector review Government in collaboration with relevant institutions and organizations, private sector	Bilateral, multilateral and international Trade agreements, WTO, GATT, ITTA	Analyze existing information on market potentials and assess approaches for promotion of wood/non-wood substitutes	Conduct market research, communicate results and discuss measures towards SFM
4. Support developing countries to increase productivity and efficiency in downstream processing and community-based processing of wood and non-timber forest products	131b	Strategy and action plan, investment programme, Government, private sector, donor community, international investors	Discussion on holistic approach to SFM including processing, private sector investment; ITTA	Assess efforts to attract private sector investment, to create favourable frame conditions (policy framework, incentives)	Define and establish public-private partnerships; transfer technology and know-how; formulate related projects and programmes

Lesser used species

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
5. Intensify efforts and implement policies to promote the sustainable use of all economically viable lesser used species in domestic and international markets	1.32a, 1.32b	Government, private sector, research institutions	CBD, CITES and international initiatives on valuation of forest goods and services	Analysis of forest potentials, markets and trade promotion measures	Continue valuation of additional forest goods and services and develop promotion strategy for lesser used species and other forest goods and services

Certification and labelling

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
6. Consider the relationships between sustainable forest management, trade and voluntary certification and labelling schemes, carry out studies on their impacts and their effectiveness in promoting sustainable forest management and exchange information and experience on these schemes	1.33a, 1.33d, 1.33e, 1.33g	Roles and mandates not yet fully identified; stakeholders: private sector, governmental institutions, research institutions in collaboration with NGOs and related international institutions (e.g. ISO, FSC)	Forest Principles para 1.3, 1.4; International discussion and initiatives on certification and labelling Int. and regional trade agreements, GATT, WTO, TBT, ITTA	Analysis of market potentials and trade promotion measures	Analyze certification and labelling schemes, study impact on SFM, establish information exchange with national, regional and international approaches

Certification and labelling (continued)

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
7. Support the application of accessibility, credibility, cost-effectiveness, transparency and participatory concepts to certification & labelling schemes, promote comparability and avoid duplication of efforts among such schemes	133c, 133f	Roles and mandates not yet fully identified; stakeholders: private sector, governmental institutions, research institutions in collaboration with NGOs and related international institutions (e.g. ISO, FSC)	International initiatives on certification and labelling (e.g. WWF-WB Alliance, FSC, ITTO, ISO)	Assess existing concepts and their application in the country context, access of stakeholders to information and application, analyze potential comparability or overlaps and related bottlenecks	Develop certification schemes and consider comparability in design Establish collaboration mechanisms and exchange of related information
8. Provide capacity-building in certification and labelling	133b	Action programme Actors as above in collaboration with NGOs and related international institutions (e.g. ISO, FSC)	International initiatives on certification and labelling (e.g. WWF-WB Alliance, FSC, ITTO, ISO)	Analyze existing initiatives and processes in relation to impact on strengthening capacities	Design and implement support programmes

Full-cost internalization

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
9. Explore ways to establish full cost internalization of both wood products and non-wood substitutes, undertake analyses of their implications for sustainable forest management and share information on findings and implementation experience	1.34a, 1.34b	forest sector review, forest policy formulation, legislation Government, research institutions, private sector. International NGOs	Forest Principles para (b), 1.3, 1.4; Debate on certification and labelling, debate on trade and environment, ITTA, WTO/CTE, TBT, FCCC, CBD,	Analysis of linkages between forest sector and other sectors, valuation of forest goods and services, property rights and rights of access, regulations for concessions, community forestry and M&E systems	Conduct market and economic analyses; assess environmental impact of interventions, exchange information, adjust policies, develop appropriate instruments, e.g. tax regulations

Market transparency

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
10. Expand work on market transparency for trade in forest products & services and consider measures to counter illegal trade in forest products	1.35a, 1.35b	Government, research institutions, private sector, local actors, NGOs	Agenda 21 Chapter 11, Forest Principles para 14 Debate on trade and environment, ITTA, related work of FAO	Analyze measures in relation to market transparency and trade, assess effectiveness of policy measures; analyze impact of regulatory measures	Conduct studies, exchange information, contribute to global database, conduct monitoring and establish appropriate measures (support to local communities, law enforcement)

V. International organisations and multilateral institutions and instruments, including appropriate legal mechanisms

Cluster/group of IPF Proposals and contents	Reference to individual IPF Proposals	Relevant NFP elements Level of intervention	Linkage to international forest regime	Assessment of existing efforts (proposed aspects)	Identification of country-specific action
1. Support the forest-related work undertaken by international and regional organizations and under relevant international instruments and encourage them to incorporate the relevant results of UNCED and related activities, including the IPF Proposals for action	144, 146a, 146d	National institutions, NGOs involved in international discussions in collaboration with regional / international institutions and organizations	All aspects of forest regime; UNCED, Agenda 21, Forest Principles other forest-related instruments (conventions, agreements), regional processes	Comprehensive analysis of national positions (and ways how these are established) towards international level debate on mandates and roles of international and regional organizations and specific contributions of the country	Contribute to international work on translating forest policy discussion; participate in related processes and initiatives, communicate at national, regional and international levels
2. Clarify the forest-related mandates of international institutions to improve integration and coordination and eliminate duplication of their efforts	146b, 146c	National institutions, NGOs involved in international discussions in collaboration with international institutions and organizations	Forest Principles para 3(b) Discussion on mandates of international institutions	Analyze efforts in defining needs for specific services to be provided by international institutions, and cooperation and coordination potential; assess national position vis-à-vis international institutions	Discuss and clarify roles and mandates of international organizations; define their services to the national level and support to NFPs, establish and enhance communication and interaction with actors at national level

ANNEX 1

**IPF Proposals requiring direct action
only at the international level**

Annex 1: IPF Proposals requiring direct action only at the international level⁵

Programme Element I: Implementation of Forest-Related Decisions of the United Nations Conference on Environment and Development

A. Progress through national forest and land-use programmes

No.	Contents	Addressees/potential key actors
17 (c)	Stress need for international cooperation, adequate provision of ODA and new and additional funding from GEF and other innovative sources	Donor country governments, UN organizations, international financing institutions

B. Underlying causes of deforestation and forest degradation

No.	Contents	Addressees/potential key actors
28 (c)	Convene a global workshop on the international UC and their relation to national UC	UNEP as the facilitator for Programme Element 1.B
30 (b)	Assist developing countries in promoting an integrated approach in the formulation and application of national policy frameworks, and in conducting strategic analyses	FAO in collaboration with UNDP, UNEP, WB, ITTO, regional banks, CCD Secretariat, CBD Secretariat, UNIDO, and bilateral donors
31 (b)	Developed countries, UNDP and other multilateral organizations to assist developing countries and countries in transition in these activities	Bilateral donors, UNDP, FAO, WB, ITTO, regional banks
31 (c)	Interested parties to support the preparation of programme of work for forest biodiversity for the CBD	Governments, international organizations

⁵ Proposals which do not require explicit action at the national level and have been ruled out during the pre-assessment; some proposals addressing both the national and the international level are also mentioned in the matrix under Chapter C of this Guide.

C. Traditional forest-related knowledge

No.	Contents	Addressees/potential key actors
40 (o)	Undertake a study aimed at advancing international understanding of the relationship between intellectual property and TFRK; develop ways and means to promote effective protection of TFRK; promote the fair and equitable sharing of benefits	WIPO, UNCTAD
40 (q)	Produce a compilation of international instruments and national legislation, including draft legislation, pertaining to the protection and use of TFRK and the fair and equitable sharing of benefits arising from such knowledge	Secretary-General and CBD

D. Fragile ecosystems affected by desertification and drought

No.	Assessment of the contents	Addressees/potential key actors
46 (g)	Support research on appropriate plant species for use in arid, semi-arid and dry sub-humid land restoration; on rehabilitation of existing vegetation; on related water management techniques; and on the potential for multipurpose trees and the supply of timber and non-timber forest products	Committee on Science and Technology of the COP to the Convention to Combat Desertification

E. Impact of airborne pollution on forests

No.	Assessment of the contents	Addressees/potential key actors
50 (c)	Continue and extend regional programmes for monitoring the impact of airborne pollution on forest health	Regional institutions involved in monitoring airborne pollution and related research and/or other activities

F. Needs and requirements of developing and other countries with low forest cover

No.	Contents	Addressees/potential key actors
58 (a)	Develop a workable and precise definition of low forest cover, applicable to all countries and suitable for use in the forest resources assessment in the year 2000	FAO and other relevant international organizations

Programme Element II: International Cooperation in Financial Assistance and Technology Transfer

A. Financial assistance

No.	Contents	Addressees/potential key actors
67 (c)	Work with developing countries on the basis of national forest programmes, to identify their needs for sustainable forest management, estimate the resources required to finance such needs and identify the resources available to them for such purposes, including ODA	United Nations organizations, international financial institutions, other international organizations and the donor community
67 (d)	Use national forest programmes as a framework for the support and coordination of forest-related activities	International organizations and international financial institutions
67 (f)	UNDP and Bretton Woods institutions to support the generation of additional financial resources of domestic and international levels	UNDP and Bretton Woods Institutions
68	Establishment of an International Fund <i>(no consensus reached in IPF)</i>	IFF and other fora
71 (a)	Enhance coordination, collaboration and complementarity of activities among bilateral and multilateral donors and among international instruments related to forests, notably the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, the Convention to Combat Desertification and the International Tropical Timber Agreement	All actors concerned with international cooperation and international instruments related to forests

B. Technology transfer and capacity-building and information

No.	Contents	Addressees/potential key actors
77 (g)	Prepare inventories of the most appropriate forest-related technologies, as well as the most effective methods of transfer of those technologies to developing countries	United Nations organizations International financial institutions
78 (a)	Review and initiate the development of improved forest information systems with a view to enhancing coordination and data-sharing among interested parties regarding the implementation of national forest programmes, ODA programming, the provision of new and additional financial resources, increased private-sector investment, efficient development and transfer of technology	International organizations International financial institutions
78 (c)	Facilitate the provision of a better flow to both the policy and operational levels of synthesized information on programme progress, policy development, best management practices and financial strategies for the forest sector	Members of the Inter-Agency Task Force on Forests FAO, ITTO, UNDP, World Bank, Secretariat of the Convention on Biological Diversity, UNEP and other relevant international bodies

Programme Element III: Scientific Research, Forest Assessment and the Development of Criteria and indicators for Sustainable Forest Management

A. Assessment of the multiple benefits of all types of forests

No.	Contents	Addressees/potential key actors
89 (d)	Prepare and distribute a detailed plan for the implementation of the global forest resources assessment for the year 2000	FAO, in consultation with Governments and relevant organizations, including UNEP
89 (e)	Implement the global forest resources assessment 2000 and share the results of the assessment effectively with the international community	FAO in collaboration with international organizations, countries and other organizations
89 (f)	Formulate an internationally acceptable set of definitions of key terms used in the assessment of all types of forests and their resources, and promote their adoption	FAO, in consultation with countries and relevant international organizations
89 (g)	Address the need for better coordination and avoidance of overlap between forest and other related information systems, and for clearer prioritization in data collection	FAO in cooperation with other international organizations, the Intersecretariat Working Group on Forest Statistics, national institutions and NGOs

B. Forest research

No.	Contents	Addressees/potential key actors
94 (a)	Develop mechanisms to guide identification, definition and prioritization of interdisciplinary research problems, promote consortia or networks to lead and organize global forest research, build global capacity for forest research, enhance dissemination of information and technologies; mobilize resources for the above	CIFOR in collaboration with others
94 (b)	Promote research and analysis and address gaps in existing knowledge	Conferences of the Parties to the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the Convention to Combat Desertification
94 (c)	Enhance research capacity at the regional and sub-regional levels	United Nations system, international financial institutions

C. Methodologies for the proper valuation of the multiple benefits of forests

No.	Contents	Addressees/potential key actors
104 (b)	Prepare comprehensive documents on available forest valuation methods and data-sets required for the evaluation of forest goods and services	International organizations and institutions

D. Criteria and indicators for sustainable forest management

No.	Contents	Addressees/potential key actors
115 (c)	Provide adequate technical and financial assistance to developing countries and economies in transition to enable them to be involved and participate in the further development, field testing and implementation of C&I at all levels	Multilateral and international organizations
115 (d)	Achieve a common international understanding on concepts, essential terms and definitions used in formulating and developing C&I for sustainable forest management; on indicators for forests in similar ecological zones; on mutual recognition among sets of criteria and indicators; and on transparent methods for the measurement of indicators and the collection, assembly, storage and dissemination of data;	FAO, UNEP, and other participants in regional and international initiatives
115 (e)	Draw on commonalities between C&I developed in regional and international initiatives, as well as on the Forest Principles C&I to be used in order to improve consistency in reporting on forest assessment and sustainable forest management	FAO and other relevant organizations
115 (f)	Ensure that developing and implementing of biodiversity indicators would be consistent with and complementary to the work of the various existing initiatives on C&I	Conference of the Parties to the Convention on Biological Diversity

Programme Element IV: Trade and Environment in Relation to Forest Products and Services

No.	Contents	Addressees/potential key actors
129	Agreement on forest products	Governments, WTO, ITTO, FAO
131 (a)	Studies on substitutes	Research institutes, international organizations (e.g. FAO, ITTO)
132 (c)	Technology transfer in LUS	R&D Institutes, private sector

Programme Element V: International Organizations and Multilateral Institutions And Instruments, Including Appropriate Legal Mechanisms

No.	Contents	Addressees/potential key actors
144	Very general call upon international organizations to support and implement the IPF proposals	International organizations in cooperation with countries
145	Very general request upon the appropriate international organizations and institutions to continue their work in the Inter-Agency Task Force on Forests	International organizations and institutions in cooperation with countries
147 - 149	Options for continuation of the intergovernmental policy dialogue on all types of forests and to monitor progress in and promote the implementation of the Panel's proposals for action	UN bodies and all partners in the intergovernmental dialogue on forests

ANNEX 2

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ANNEX 3

Report of the Ad Hoc Intergovernmental Panel on Forests on its fourth session

(New York, 11-21 February 1997)

Commission on Sustainable Development

Fifth session (7-25 April 1997)

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Report of the Ad Hoc Intergovernmental Panel on Forests on its fourth session

(New York, 11-21 February 1997)

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INTRODUCTION

1. At its substantive session of 1995, the Economic and Social Council, upon the recommendation of the Commission on Sustainable Development, approved the establishment of an open-ended Ad-Hoc Intergovernmental Panel on Forests.

2. The Panel was mandated to pursue a consensus and formulate options for further actions in order to combat deforestation, and forest degradation and to promote the management, conservation and sustainable development of all types of forests. The Panel was requested to promote multidisciplinary action at the international level consistent with the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forests 1/ (Forest Principles), taking into account the Rio Declaration on Environment and Development 2/ and Agenda 21. 3/

3. The Commission on Sustainable Development recognizes the sovereignty of countries over their natural resources, as defined in Principle 1 (a) of the Forest Principles. The Commission also recognizes that the right to development must be fulfilled so as to equitably meet the developmental and environmental needs of present and future generations.

4. In pursuing consensus and the formulation of coordinated proposals for action, the Panel was mandated to consider the following main interrelated categories of issues:

- (a) Programme element I: Implementation of United Nations Conference on Environment and Development (UNCED) decisions related to forests at the national and international levels, including an examination of sectoral and cross-sectoral linkages;
- (b) Programme element II: International cooperation in financial assistance and technology transfer;
- (c) Programme element III: Scientific research, forest assessment, and development of criteria and indicators for sustainable forest management;
- (d) Programme element IV: Trade and environment in relation to forest products and services;

- (e) Programme element V: International organizations and multilateral institutions, and instruments, including appropriate legal mechanisms.

5. It was evident at the outset that the Panel would not be able to deal with all the complex issues before it in four sessions, lasting a total of seven working weeks. Consequently, a number of Governments undertook to convene special meetings and workshops on various aspects of forest management, conservation and sustainable development; a list of those activities is contained in annex II. The Panel wishes to record its appreciation of that assistance.

6. While the conclusions contained in the present report reflect the overall thrust of the discussion under various programme elements, only the proposals for action were agreed as a result of negotiations.

7. In submitting the present report, which contains a number of conclusions and proposals for action on the above-mentioned programme elements (sections I-V below), the Panel, recalling its mandate, wishes to:

- (a) Reiterate the validity of the Forest Principles;
- (b) Recognize that the Forest Principles and the forest-related and other relevant chapters of Agenda 21 have formed the foundation for its work;
- (c) Recognize the progress that has been made since UNCED, including the results of several regional, international and country-led initiatives, which have contributed significantly to international dialogue on forests, national reports and better understanding of sustainable forest management;
- (d) Emphasize that its proposals for action are meant to complement, supplement and elaborate upon the above-mentioned instruments with a view to facilitating their implementation;
- (e) Stress that, to that end, its conclusions and proposals for action should not detract from the decisions and commitments made at UNCED;
- (f) Recognize that there is a need as well as a potential for improving the effectiveness of existing national and international cooperation on forests by implementing its proposals for action;

(g) Stress the need, in implementing its proposals for action, to provide for effective partnership between and collaboration among all international parties and major groups, and in that context wishes to emphasize the crucial role of women.

I. Implementation of forest-related decisions of the United Nations Conference on Environment and Development at the National and international levels, including an examination of sectoral and cross-sectoral Linkages

A. Progress through national forest and land-use programmes

Conclusions

8. The Panel recognized the importance of comprehensive forest policy frameworks or "national forest programmes" for the achievement of sustainable forest management. It agreed that the term "national forest programme" is a generic term for a wide range of approaches to sustainable forest management within different countries, to be applied at national and sub-national levels based on the basic principles outlined below. It emphasized that national forest programmes demand a broad intersectoral approach at all stages, including the formulation of policies, strategies and plans of action, as well as their implementation, monitoring and evaluation. National forest programmes should be implemented in the context of each country's socio-economic, cultural, political and environmental situation, and should be integrated into wider programmes for sustainable land use, in accordance with chapters 10 to 15 of Agenda 21. The activities of other sectors, such as agriculture, energy and industrial development, should be taken into account.

9. The Panel emphasized a number of specific elements that need to be considered during the development and implementation of national forest programmes, in particular the need for appropriate participatory mechanisms to involve all interested parties; decentralization, where applicable, and empowerment of regional and local government structures; consistent with the constitutional and legal frameworks of each country, recognition and respect for customary and traditional rights of, inter alia, indigenous people, local communities, forest dwellers and forest owners; secure land tenure arrangements; and the establishment of effective coordination mechanisms and conflict-resolution schemes.

10. Regardless of the approach adopted by individual countries, national forest programmes, as long-term iterative processes, should recognize the following as key elements: national sovereignty and country leadership; consistency with national policies and international commitments; integration with the country's sustainable development strategies; partnership and participation; and holistic and intersectoral approaches. The Panel acknowledged the usefulness of testing and demonstrating the concept of national forest programmes on an operational scale.

11. The Panel recognized the need for national forest programmes to be based on a sound economic valuation of forest resources, including environmental services and non-timber products. It noted that national forest programmes can provide an effective link between strategic and operational planning. They should be specifically designed to increase effectiveness and efficiency at the country level with a view to attracting increased domestic and external resources.

12. The Panel also recognized the need for an external economic and commercial environment that is supportive of national forest programmes. Their implementation will be affected by market forces, including international trade. They need to be supported by a market context that enhances the economic values of forest resources and a price mechanism that promotes an adequate and remunerative return for the sustainable use of forest resources.

13. The Panel stressed that funding, in particular the provision of external resources, including private foreign investment and official development assistance (ODA), is greatly facilitated by a clear commitment on the part of recipient Governments to the implementation of national policies and programmes that promote sustainable forest management in the forest and related sectors. More efficient investment policies are needed for the successful implementation of national forest programmes.

14. Because of the intersectoral nature of national forest programmes, the Panel stressed the need for national authorities to look into the institutional capacity of forest-related sectors to ensure the successful implementation of such programmes. It emphasized the importance of assessing and - where necessary - enhancing national capabilities at all levels to develop, implement, monitor and evaluate sustainable forest management.

15. The Panel acknowledged that coordination among all interested parties at the national and international levels is crucial for sustainable forest management. The Panel noted and welcomed further input from the Conference of the Parties to the Convention on Biological Diversity with respect to forest biological diversity.

16. Finally, the Panel noted the importance of improving regional and international cooperation for the exchange of information, technology and know-how by establishing appropriate networks to support national programmes for sustainable forest management.

Proposals for action

17. The Panel:

- (a) Encouraged countries, in accordance with their national sovereignty, specific country conditions and national legislation, to develop, implement, monitor and evaluate national forest programmes, which include a wide range of approaches for sustainable forest management, taking into consideration the following: consistency with national, subnational or local policies and strategies, and – as appropriate – international agreements; partnership and participatory mechanisms to involve interested parties; recognition and respect for customary and traditional rights of, inter alia, indigenous people and local communities; secure land tenure arrangements; holistic, intersectoral and iterative approaches; ecosystem approaches that integrate the conservation of biological diversity and the sustainable use of biological resources; and adequate provision and valuation of forest goods and services;
- (b) Called for improved cooperation in support of the management, conservation and sustainable development of all types of forests, and urged all countries to use national forest programmes, as appropriate, as a basis for international cooperation in the forest sector;
- (c) Stressed the need for international cooperation in the adequate provision of ODA, as well as possible new and additional funding from the Global Environment Facility (GEF) and other appropriate innovative sources of finance for the effective development, implementation, monitoring and evaluation of national forest programmes;
- (d) Encouraged countries to integrate suitable criteria and indicators for sustainable forest management, as appropriate, into the overall process of the formulation, implementation, monitoring and evaluation of national forest programmes, on a step-by-step basis;
- (e) Urged countries to develop, test and implement appropriate participatory mechanisms for integrating timely and continuous multidisciplinary research into all stages of the planning cycle;
- (f) Encouraged countries to elaborate systems, including private and community forest management systems, for planning, implementing, monitoring and evaluating national forest programmes that identify and involve, where appropriate, a broad participation of indigenous people, forest dwellers, forest owners and local communities in meaningful decision-making regarding the management of state forest lands in their proximity, within the context of national laws and legislation;
- (g) Urged countries, particularly in developing countries and countries with economies in transition, to include capacity-building as an objective of national forest programmes, paying particular attention to training, extension services and technology transfer and financial assistance from developed countries, taking due account of local traditional forest-related knowledge;
- (h) Encouraged countries to establish sound national coordination mechanisms or strategies among all interested parties, based on consensus-building principles, to promote the implementation of national forest programmes;
- (i) Encouraged countries to further develop the concept and practice of partnership, which could include partnership agreements, in the implementation of national forest programmes, as one of the potential approaches for improved coordination and cooperation between all national and international partners.

B. Underlying causes of deforestation and forest degradation

Conclusions

18. The Panel noted the critical need to understand the underlying causes of deforestation and forest degradation, which are often country-specific. A focused approach is needed that concentrates on reversing the most damaging processes and promoting the most effective and beneficial measures. It is also important to recognize local initiatives that could counter current trends in deforestation and forest degradation, especially among indigenous and local communities.

19. Recognizing that poverty and demographic pressure are among the root causes of deforestation and forest degradation, sustainable development can play a key role in reducing pressure on forests and replacing the processes leading to deforestation and forest degradation. Each country, whether developing or developed, will have its own particular set of circumstances and opportunities for action. It is important to consider historical dimensions and to learn from experience. Many of the factors causing deforestation or forest degradation interact, and some are synergistic. Most causes are social and economic in character. Although some courses of action, such as unsustainable timber extraction, are linked to the forest sector itself, inappropriate policy choices and approaches in other sectors can also influence deforestation and forest degradation.

20. Production and consumption patterns, land tenure patterns, land speculation and land markets have a major influence on the access to and use of forest products goods and services, as well as on deforestation. Other important factors in many regions include illegal logging; illegal land occupation and illegal cultivation; grazing pressures; unsustainable agriculture; the demand for fuelwood and charcoal to meet basic energy needs; refugee-related problems; mining and oil exploitation in forested countries not conducted in accordance with appropriate national legislation; and natural climatic events and forest fires.

21. The assessment of whether changes in forest cover are or are not beneficial should be made against a background represented by national policy frameworks for sustainable forest management and land-use plans, and should enable countries to identify the quantity and quality of forest required to provide the full range of

benefits, goods and services needed now and in the future. The increasing pressure from demands for forest products and other forest goods and services, as well as for land for other uses, suggests a priority need to strengthen intersectoral decision-making affecting land use. Increasingly effective institutions for resource management, land use, research, education and extension will be an important part of sustainable forest management.

22. There are rational justifications for many changes in forest structure and cover. Different countries have different requirements, which alter over time and affect both the area and the nature of their forests. Both sustainably managed natural forests and forest plantations, as components of integrated land-use that takes account of environmental and socio-economic concerns, fulfil a valuable role in meeting the need for forest products, goods and services, as well as helping to conserve biological diversity and providing a reservoir for carbon. The costs, benefits and disbenefits of different types of forest management, including forest plantations, need to be appraised under different social, cultural, economic and ecological conditions. The role of forest plantations as an important element of sustainable forest management and as a complement to natural forests should be recognized.

23. The Panel recognized the importance of long-term changes in consumption and production patterns in different parts of the world, and their positive and negative effects on the sustainable management of forests. The long-term outlook is for steadily rising demand for forest products and other forest goods and services, and a declining area of forest for their production. The implications of that outlook should be reviewed in the context of the work being done by the Commission on Sustainable Development and other relevant initiatives concerned with the long-term supply of and demand for forest products and other forest goods and services.

24. Among the various international underlying causes of deforestation and forest degradation, discriminatory international trade and poorly regulated investment, as well as long-range transboundary air pollution, are important. Such factors as discriminatory international trade practices, trade distorting practices, structural adjustment programmes and external debt could indirectly influence deforestation and forest degradation. Market distortions, subsidies and relative prices, including those of agricultural commodities, as well as undervaluation of wood and non-wood forest products, can have a direct

bearing on the management, conservation and sustainable development of all types of forests.

25. In many countries, there is a need for further analysis of the sequence of causes contributing to changes in the quantity and quality of forests, focusing attention on the action that might be most effective in halting damage and promoting beneficial change. Such analysis would be facilitated by the use of a comprehensive diagnostic framework, elements of which have been elaborated in the Secretary-General's reports to the Panel. That diagnostic framework would not only serve as a useful tool for countries to analyse deforestation and forest degradation but could also, in adapted forms, be useful for setting the objectives of national forest policies; for introducing a historical perspective into the analysis of the causes; for exploring the effects of policies in other sectors on deforestation and forest degradation; for refining criteria and indicators and methods of valuation in relation to national action plans for international agreements and conventions and generally as a powerful management tool for furthering the implementation of sustainable forest.

26. The diagnostic framework should be employed in a constructive, corrective and forward-looking manner. It would complement and strengthen other existing planning exercises, and could also be used, together with criteria and indicators, as a tool for the periodic assessment of progress. As a management tool, it should be developed voluntarily and should not be used as a basis for conditionality in ODA. Its development, however, should not delay action, and it may not be needed in countries where major direct or indirect causes have been identified, well understood and documented, or where deforestation is not viewed as a problem at the national level.

Proposals for action

27. The Panel urged countries, as relevant and appropriate, with the support of international organizations and the participation of major groups, where relevant:

- (a) To prepare in-depth studies of the underlying causes at the national and international levels of deforestation and forest degradation;
- (b) To analyse comprehensively the historical perspective of the causes of deforestation and forest degradation in the world, and other international

underlying causes of deforestation and forest degradation, including transboundary economic forces;

- (c) To provide new factual information on the significance of transboundary pollution.

28. The Panel urged countries:

- (a) To assess long-term trends in their supply and demand for wood, and to consider actions to promote the sustainability of their wood supply and their means for meeting demand, with a special emphasis on investment in sustainable forest management and the strengthening of institutions for forest resource and forest plantations management;
- (b) To recognize and enhance the role of forest plantations as an important element of sustainable forest management complementary to natural forests;
- (c) To support the convening, as soon as possible, of a global workshop on the international underlying causes of deforestation and forest degradation, and their relationship to national underlying causes of deforestation and forest degradation.

29. The Panel also encouraged countries to undertake, as needed, the following activities:

- (a) To formulate and implement national strategies, through an open and participatory process, for addressing the underlying causes of deforestation, and, if appropriate, to define policy goals for national forest cover as inputs to the implementation of national forest programmes;
- (b) To develop mechanisms, such as environmental impact assessments, to improve policy formulation and coordination, through an open and participatory process;
- (c) To formulate policies aiming at securing land tenure for local communities and indigenous people, including policies, as appropriate, aimed at the fair and equitable sharing of the benefits of forests.

30. The Panel also encouraged countries and international organizations:

- (a) To provide timely, reliable and accurate information on the underlying causes of deforestation and forest degradation, where needed, as well as on the

multiple roles of forests, as a foundation for public understanding and decision-making;

- (b) To assist developing countries in promoting an integrated approach towards the formulation and application of national policy frameworks, and in conducting strategic analyses of relevant political, legal and institutional policies that have contributed to deforestation and forest degradation, as well as of policies that have had a positive effect.

31. The Panel:

- (a) Encouraged countries to undertake case studies using the diagnostic framework described above in order to:
 - (i) Identify underlying causes of deforestation and forest degradation;
 - (ii) Develop and test the usefulness of the framework as an analytical tool in assessing options for utilization of forest and forest lands;
 - (iii) Refine it, disseminate the results and apply it more widely as appropriate;
- (b) Urged developed countries, the United Nations Development Programme (UNDP) and other multilateral and international organizations, including regional development banks, to assist developing countries and countries with economies in transition in those activities;
- (c) Invited interested parties to lend support, as appropriate, to the preparation of the programme of work for forest biological diversity of the Convention on Biological Diversity, with respect to analysing measures for mitigating the underlying causes of biodiversity loss, as stated in decision III/12 of the Conference of the Parties to the Convention.

C. Traditional forest-related knowledge

Conclusions

32. Traditional forest-related knowledge (TFRK) constitutes an important body of knowledge and experience relevant to many aspects of the Panel's mandate. TFRK should be broadly defined to include not only knowledge of forest resources but also knowledge of

other issues that are considered relevant by countries based on their individual circumstances.

33. The Panel noted with concern that some communities with sustainable lifestyles based on TFRK have been undermined by the accelerated loss of forests resulting from the introduction of new technological changes and economic pressures, in the absence of adequate measures for conservation and sustainable management. It agreed that indigenous people and other forest-dependent people embodying traditional lifestyles should play a key role in developing participatory approaches to forest and land management. Such approaches should involve all relevant parties from both public and private sectors, and should focus on community forest management; land-use systems; research, training and extension; the formulation of criteria and indicators; and conflict resolution.

34. TFRK can provide a strong basis for sustainable forest management, and its potential to support actions should be reflected in national forest programmes. The Panel, however, recognized that the international and national communities are still in an early stage of identifying ways and means for the effective protection and use of TFRK, and of exploring the relationships between TFRK and sustainable forest management. That complex cross-cutting relationship involves natural and social sciences, culture, tradition and the environment.

35. The effective protection of TFRK requires the fair and equitable sharing of benefits among all interested parties, including indigenous people and other forest-dependent people embodying traditional lifestyles, forest owners and local communities. Certain conditions at the national level will need to be met if indigenous people and other forest-dependent people embodying traditional lifestyles, forest owners and local communities are to participate fully in agreements and to offer their TFRK for the benefit of other interested parties. Holders of TFRK will need to be represented by their own representatives; to feel secure in their land tenure arrangements; to be reassured that they have been accorded status equal to that of the other members of the agreements; and to be convinced of a common purpose compatible with their cultural and ecological values.

36. TFRK is useful in locating valuable new products, and gaining access to them on fair and equitable terms can only benefit each country in its efforts to achieve sustainable development. Governments and others who

wish to use TFRK should acknowledge, however, that it cannot be taken from people, especially indigenous people, forest owners, forest dwellers and local communities, without their prior informed consent. Ways and means to secure the effective protection of indigenous rights and the fair and equitable sharing of benefits arising from the use of TFRK, which many countries consider should incorporate appropriate payment to indigenous people and relevant local communities based on their intellectual property rights, should be identified in the context of international and national legal systems, which may include recognition of customary law and indigenous legal systems. International cooperation on TFRK and rights related to it must be consistent with obligations under the Convention on Biological Diversity and other relevant instruments.

37. The Panel noted the need to establish international mechanisms for the exchange of information on national experiences and mechanisms, including financial investment, so as to stimulate the application of TFRK in sustainable forest management and the development of products derived from it. Those matters are considered further in section II below.

38. There are difficulties surrounding the acquisition, storage, retrieval and dissemination of TFRK outside its place of origin, arising from a lack of effective measures to protect and manage TFRK and from the nature of TFRK, which is largely site-specific and culture-specific and not amenable to being digitized, stored in databases or accessed through clearing-house mechanisms. The Panel recommended further exploration of the feasibility and modalities of exchanges in that area.

39. The Panel recognized that the Convention on Biological Diversity contains several provisions, including articles 8 (j) and 10 (c), that are relevant to TFRK, which is a subset of the knowledge, innovations and practices referred to in article 8 (j) of the Convention, while the genetic resources of forest ecosystems are a subset of the genetic resources referred to in article 15. It noted the statement annexed to decision II/9 of the Conference of the Parties to that Convention, and accepted that the conservation and sustainable use of biodiversity, and the fair and equitable sharing of benefits derived from research and development and from the commercial utilization of biological resources fell, inter alia, within the purview of the Convention. It also recognized the need to avoid duplication or overlap with other relevant intergovernmental processes. Those matters are considered further in section V below.

Proposals for action

40. Recognizing that indigenous people and forest-dependent people who possess TRFK could play an important role in sustainable forest management, the Panel:

- (a) Taking into account the decisions arising from the 3rd meeting of the Conference of the Parties to the Convention on Biological Diversity, in particular decisions related to the implementation of article 8 (j), invited Governments, international agencies, research institutions, representatives of indigenous people and forest-dependent people who possess TFRK, and non-governmental organizations to promote activities aimed at advancing international understanding on the role of TFRK in the management, conservation and sustainable development of all types of forests to complement activities undertaken by the Convention;
- (b) Invited countries and relevant international organizations, especially the Conference of the Parties to the Convention, to collaborate with indigenous people and forest-dependent people who possess TFRK to promote an internationally acceptable understanding of TFRK, and to identify, respect, preserve and maintain TRFK, including innovations and practices that are relevant for the conservation of forest biological diversity and the sustainable use of forest biological resources;
- (c) Invited countries to explore further, at appropriate levels, different options for the policy, institutional and legal frameworks that are required to support the application of intellectual property rights and/or other protection regimes for TFRK, the fair and equitable sharing of its benefits, and the possible development of formal agreements by which TFRK can be accessed;
- (d) Urged countries, in implementing their forest programmes, to take measures to rehabilitate and protect TFRK, taking into account that an essential condition for the effective protection and rehabilitation of TFRK is the integrity and cultural survival of forest-dependent people;
- (e) Called on countries, in the context of their national legal systems, to promote and provide opportunities for the participation, inter alia, of indigenous people, forest-dependent people who possess TFRK and forest owners in the planning, development and

implementation of national forest policies and programmes, taking into account principles 2 (d) and 5 (a) of the Forest Principles;

- (f) Called on countries, with the full support of relevant international organizations, to work with all interested parties to bring together knowledge and experience of the approaches that work in practice, including credit, rewards, the recognition of the fair and equitable sharing of benefits, and, where appropriate, the preparation of technical guidelines on TFRK application;
- (g) Called on countries, with the assistance of international organizations, where appropriate, to support national, regional and international efforts that will enhance the capacity of indigenous people, forest-dependent people who possess TFRK and appropriate forest owners to participate, inter alia, in agreements that apply TFRK for sustainable forest management, and to promote partnerships among all interested parties;
- (h) Encouraged countries to recognize and support traditional resource use systems incorporating TFRK, including, where appropriate, through the development of new instruments and mechanisms that enhance the security of forest-dependent groups;
- (i) Urged countries to work with communities and build on their knowledge to establish stronger linkages between traditional and emerging national sustainable forest management systems;
- (j) Encouraged countries and relevant international organizations to identify ways to inventory, store, catalogue and retrieve TFRK, and to support its effective protection and application, including developing local and indigenous capacity, and to examine opportunities to apply TFRK related to the management of particular types of forests to other similar forest ecosystems, doing so only with the free and informed consent of the holders of TFRK. The Panel also encouraged countries and international organizations to work out a methodological framework of compatibility between TFRK and new technologies;
- (k) Urged countries, with the support of international organizations, to promote research on TFRK in regional and national institutions, with the full involvement of the holders of that knowledge, to maintain and enhance the capacity of such institutions, and to advance the wider understanding and use of the knowledge gained;
- (l) Urged countries, national institutions and academic centres to incorporate TFRK in forest management training as a way to sensitize forest managers to the importance of respect for and protection of TFRK; to the need to observe the principle of fair and equitable sharing of benefits; and to the advantages of using it and the disadvantages of ignoring it. They should also emphasize the importance of recognizing TFRK in developing national criteria and indicators for the sustainable management of forests within the context of national forest programmes, and, where appropriate, in forest management certification schemes;
- (m) Invited countries, with the support of donors and international organizations, to assist financially and otherwise existing networks that are promoting the sharing of TFRK on mutually agreed terms, as well as the sharing of technology and profits arising from the use of such knowledge among concerned groups and institutions, in collaboration with all involved parties, including indigenous people and forest-dependent people who possess TFRK;
- (n) Encouraged countries, in collaboration with indigenous people and forest-dependent people who possess TFRK, to promote digital mapping using geographic information systems and geographic position systems, combined, where appropriate, with social mapping for assisting with the establishment of forest holdings, assisting planning and management partnerships; and to assist in the location and storage of cultural and geographical information required to support the management, protection and use of TFRK;
- (o) Invited the World Intellectual Property Organization (WIPO), together with the United Nations Conference on Trade and Development (UNCTAD), taking into account decision III/14 of the Conference of the Parties to the Convention on Biological Diversity, to undertake a study aimed at advancing international understanding of the relationship between intellectual property and TFRK, and to develop ways and means to promote effective protection of TFRK, in particular against illegal

international trafficking, and also to promote the fair and equitable sharing of benefits arising from such knowledge;

- (p) Encouraged countries to undertake additional pilot studies on the relationship between intellectual property rights systems and TFRK, at the national level, in accordance with a decision made at the third meeting of the Conference of the Parties to the Convention;
- (q) Requested the Secretary-General, in collaboration with the Convention, to produce a compilation of international instruments and national legislation, including draft legislation, pertaining to the protection and use of TFRK and the fair and equitable sharing of benefits arising from such knowledge, and encouraged countries to exchange information on national experiences in that field;
- (r) Urged countries to consider developing mechanisms, subject to national legislation, to ensure the fair and equitable sharing with local and indigenous communities of benefits; including payments where appropriate, arising from the use of traditional technologies developed by them for sustainable forest management.

D. Fragile ecosystems affected by desertification and drought

Conclusions

41. Desertification and the effects of drought are widespread phenomena, affecting forests and other wooded land in arid, semi-arid and dry sub-humid regions. Such problems have global dimensions in that they affect most regions of the world and require collective action by the international community.

42. Forest-related action aimed at combating desertification and mitigating the effects of drought should address the causes of those phenomena in an integrated manner, and should consider the role of poverty along with land use policies, food security, the provision of fodder and fuelwood, the effects of non-sustainable production and consumption patterns, the impact of trade and trade relations, migration, refugees and many other economic, social and cultural factors. The Panel noted that forest fires continue to have a devastating impact on some forest ecosystems, in particular in countries south of the

Sahara and in countries with dry forests in Mediterranean zones, although in other areas they may have positive effects on the vitality and renewal of forest ecosystems.

43. The Panel noted that in some countries, forest cover had been or was expanding as a result of community action backed by government support. In many areas, plantations of fast-growing trees have had good and cost-effective results in terms of soil protection. While recognizing that forest land rehabilitation would be required in many areas and that that would need international assistance, including financial resources and technology transfer to support local and national efforts, the Panel emphasized the need for prevention, rather than mitigation and restoration, wherever practicable, with emphasis on improved and sustainable management of existing natural forest and other vegetation. The restoration of arid, semi-arid and dry sub-humid zones should not focus narrowly on afforestation but should also deal with broader aspects of forest ecosystem management, including social and economic issues. The Panel identified the need to strengthen research, including support to regional research networks, related to the identification of appropriate species for arid, semi-arid and dry sub-humid land restoration, the rehabilitation of existing vegetation types, and the potential of non-timber forest products. Education, training and extension systems can play an important role.

44. The Panel emphasized the need for an integrated approach to national forest and land-use programmes and national plans to combat desertification. It urged countries to promote coordinated, cross-sectoral action at the political and policy-making level to improve legislation and to accelerate implementation within the context of national sustainable development strategies. Recognizing the merits of bottom-up approaches involving all major groups concerned with the issues, along with top-down approaches, the Panel emphasized the need for national action programmes to draw more extensively on local and traditional knowledge and evaluate traditional agro-sylvo-pastoral systems, in accordance with the principles outlined in programme element I.3. Close collaboration was needed between forest and agricultural institutions, and support should be provided to farmers and herders. Protected areas need to be established and supported, where appropriate, in fragile and endangered ecosystems affected by drought and desertification, as part of in situ conservation strategies. The approaches should be supported by an enabling legislative and institutional framework that

secures rights and access to land. Countries in regions affected by desertification and the effects of drought should propose initiatives and priorities for action, working in accordance with article 5 of the United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa.

45. The Panel considered that the problems of fragile ecosystems affected by desertification and drought must be addressed in close relationship with existing international conventions, especially the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and above all the Convention to Combat Desertification. It emphasized the need for donors, international agencies and recipient countries to engage in adequate consultations in order to develop efficient and coordinated programmes of international cooperation that are consistent with those conventions, the Forest Principles and Agenda 21. The work carried out under those conventions and the work of the Panel should complement and enhance one another.

Proposals for action

46. The Panel:

- (a) Urged countries and international organizations to undertake national and international action to address the complex issues related to dryland forest ecosystems in countries affected by desertification and drought, inter alia, by adopting an integrated approach to the development and implementation of national forest and/or dryland programmes and other forest and/or dryland policies, and by coordinating action, where appropriate, at the regional level;
- (b) Called on countries to continue to analyse past experiences and to monitor trends in forests and related ecosystems affected by desertification and drought, including biophysical, ecological, economic, social, land tenure and institutional factors;
- (c) Urged countries to establish protected areas to safeguard forest and related ecosystems, their water supplies, and historical and traditional uses in appropriate localities in areas affected by drought, particularly in arid, semi-arid and dry sub-humid regions;

- (d) Called on countries, donors and international organizations to support education, training, extension systems and participatory research involving indigenous and local communities embodying traditional lifestyles in order to develop resource management approaches that will reduce the pressure on forests in fragile ecosystems affected by desertification and drought;
- (e) Urged countries and international organizations to strengthen and further develop partnerships and collaboration between local communities, Governments, non-governmental organizations and other major groups in order to promote the sustainable management and regeneration of natural vegetation in ecosystems affected by desertification and drought;
- (f) Urged donors, international agencies and recipient Governments to develop efficient and coordinated programmes of international cooperation and action on forests and related ecosystems affected by desertification and drought, within the context of the Convention to Combat Desertification and the broader mandate of the Panel, the Forest Principles and Agenda 21;
- (g) Invited the Committee on Science and Technology of the Conference of the Parties to the Convention to Combat Desertification to support research on appropriate plant species for use in arid, semi-arid and dry sub-humid land restoration; on rehabilitation of existing vegetation; on related water management techniques; and on the potential for multipurpose trees and the supply of timber and non-timber forest products.

E. Impact of airborne pollution on forests

Conclusions

47. The Panel noted that airborne pollution is affecting forest health in many parts of the world in addition to Europe. A preventative approach is needed, taking account of economic factors including production and consumption patterns. The Panel emphasized the importance of the Convention on Long-Range Transboundary Air Pollution, and welcomed the widespread application of the critical loads approach adopted under that Convention. It commended the approach for consideration by countries whose forests are or may be

affected by air pollution. The potential impact on forest health from inputs of nutrients and airborne pollutants, acting in combination with other processes, such as natural weathering and leaching, should be taken into account in forest planning and management.

48. The Panel emphasized the need to continue monitoring and evaluating the impact of airborne pollution on forest health wherever it has been demonstrated in the world, and the need for information on how the countries concerned have addressed such problems. The Panel also stressed the need for continuing action to reduce airborne pollution, including the transfer and use of the best available as well as future environmentally sound technologies on mutually agreed terms. The problem has to be solved by action outside the forests.

49. The Panel stressed the need for international cooperation, including information exchange; research and field data collection; evaluation of the socioeconomic and environmental impact of airborne pollution on forests; studies of ecosystem function where pollutant deposition threatens sustainability; the development of methods for assessing and monitoring national level criteria and indicators that relate airborne pollution to sustainable forest management; the dissemination of information to the public; the provision of access to existing data by potential users, including managers and policy makers; and technical assistance in order to help build capacity for research.

Proposals for action

50. The Panel:

- (a) Encouraged countries to adopt a preventative approach to the reduction of damaging air pollution, which may include long-range transboundary air pollution, in national strategies for sustainable development;
- (b) Encouraged countries to strengthen international cooperation for building scientific knowledge, such as techniques for monitoring and analysing airborne causes of deforestation and forest degradation, and to cooperate in activities related to the impact of airborne pollution on forest health, including the provision of access to existing data by potential users, including managers and policy makers and the dissemination of information to the public;

- (c) Recommended that existing regional programmes monitoring the impact of airborne pollution on forest health in affected countries should continue and be extended to other regions where necessary;
- (d) Encouraged the development of methods for the assessment and monitoring of national-level criteria and indicators for airborne pollutants in the context of sustainable forest management;
- (e) Recommended countries to consider entering into international agreements, as appropriate, on the reduction of long-range transboundary air pollution.

F. Needs and requirements of developing and other countries with low forest cover

Conclusions

51. Many of the issues arising under the present subsection also arise elsewhere in the present section and in section III below. The Panel emphasized that actions under the present section need to be coordinated with actions, inter alia, under the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, and the Convention to Combat Desertification.

52. The Panel recognized that there are both developed and developing countries with low forest cover. Low forest cover can arise as a result of natural ecological conditions, as well as of human activities, and the situation is constantly changing. Some countries are actively expanding their forest cover, while others are approaching qualification for entry into the low forest cover category.

53. The Panel felt that there was a need for more precise identification of countries categorized as countries with low forest cover. The definition of forest used by the Panel, based on the global forest resources assessment of the Food and Agriculture Organizations of the United Nations (FAO), is that it includes vegetation with 20 per cent and 10 per cent minimum tree crown cover for developed and developing countries, respectively. That definition does not have a strong scientific foundation, nor does it allow for comparability of data on a world-wide basis. Furthermore, there is no consistent way of classifying countries by the extent of forest, however defined, into those with low and those with high forest cover.

54. In some countries, economic development has been historically associated with the significant loss of forests, leading to disturbing consequences today in terms of land degradation and social, cultural and economic hardship. The restricted area of forests in countries with low forest cover results in reduced capacity for the production of timber and for the provision of goods and services, including the protection of watersheds, the supply of fuelwood, the maintenance of biological diversity and endemic species, and recreation and amenity. Moreover, many of the forest types in those countries are distinctive or even rare, and require national protective measures and international support, while the proportion included in nationally designated protected areas is often below average.

55. The Panel recognized the seriousness of problems faced by both developing and developed countries with low forest cover in satisfying their needs for forest goods and services. It also recognized that, owing to economic factors and circumstances, the impact of the problem in developing countries is much more severe than in developed countries. The needs of low-income and middle-income countries with low forest cover are likely to differ from those of high-income countries, and consequently, different sets of actions to address those needs will apply.

56. The Panel noted that national forest programmes may provide a good vehicle for addressing at least some of the needs and requirements of countries with low forest cover. They can provide a framework for analysing and considering alternative ways of satisfying diverse demands for forest products and other goods and services within and outside the forest sector. While additional information may be necessary as a basis for national forest programmes in countries with low forest cover, this should not prevent the preparation of interim plans based on information already available.

57. The Panel emphasized the importance of international cooperation to address the management, conservation and sustainable development of forests in low-income countries with low forest cover, particularly through financial assistance and the transfer of environmentally sound technology, as well as through the establishment of appropriate research and information networks. In that connection, the Panel noted that the increasing focus of private investments in countries with abundant forest resources has made forest ecosystems in developing countries with low forest cover particularly vulnerable. In those countries, ODA is and will

continue to be the most important source of funding. National forest programmes should be considered as one of the main vehicles to channel and secure the effectiveness of the required financial and technical assistance.

Proposals for action

58. The Panel:

- a) Called upon FAO, in consultation with relevant organizations and countries, as appropriate, to develop a workable and precise definition of low forest cover, applicable to all countries and suitable for use in the forest resources assessment in the year 2000;
- (b) Urged countries with low forest cover:
 - (i) To seek long-term security of forest goods and services through the development of national forest programmes for sustainable forest management, in accordance with the guiding principles set out in subsection IA above, taking into account the particular conditions of each country, defining as far as possible in those programmes their national requirements for a permanent forest estate, in those countries that may have a need to define a permanent forest estate as a policy goal;
 - (ii) To plan and manage forest plantations, where appropriate, to enhance production and provision of goods and services, paying due attention to relevant social, cultural, economic and environmental considerations in the selection of species, areas and silviculture systems, preferring native species, where appropriate, and taking all practicable steps to avoid replacing natural ecosystems of high ecological and cultural values with forest plantations, particularly monocultures;
 - (iii) To promote the regeneration and restoration of degraded forest areas, including by involving, inter alia, indigenous people, local communities, forest dwellers and forest owners in their protection and management;
 - (iv) To fully analyse and take into account the related social, economic and environmental implications and costs and benefits, when

considering non-wood substitutes or imports of forest products;

(v) To establish or expand networks of protected areas, buffer zones and ecological corridors, where possible, in order to conserve biodiversity, particularly in unique types of forests, working in close liaison with the parties to the Convention on Biological Diversity and other relevant international environmental agreements;

(vi) In particular developing countries and countries with economies in transition, to embark on capacity-building programmes at national, subnational and local levels, including especially existing national institutions, to promote effective participation in decision-making with respect to forests throughout the planning, implementation, monitoring and evaluation processes, and taking full advantage of the wealth of traditional knowledge available in the country;

(vii) To develop adequate research and information systems based on reliable evaluations and periodic assessments, including the use of national-level criteria and indicators and establishing sectoral and cross-sectoral mechanisms for information exchange, in order to allow for timely decisions related to national forest policies and programmes;

(c) Urged developed countries with low forest cover that are nevertheless endowed with suitable land and climate conditions to take positive and transparent action towards reforestation, afforestation and forest conservation, while urging other developed countries, where appropriate, notably those with low forest cover but with limited land and unsuitable climatic conditions, to assist developing countries and countries with economies in transition, in particular countries with low forest cover, to expand their forest cover, taking into account principle 8 (a) of the Forest Principles, through the provision of financial resources and transfer of appropriate technology, as well as through the exchange of information and access to technical know-how and knowledge;

(d) Urged countries and international organizations to improve the efficiency of and procedures for inter-

national cooperation to support the management, conservation and sustainable development of all types of forests in developing countries and countries with economies in transition with low forest cover;

(e) Urged donor countries and multilateral and international organizations to facilitate and assist developing countries and countries with economies in transition with low forest cover, where required, in building capacity for data gathering and analysis so as to enable them to monitor their forest resources.

II. International Cooperation in financial assistance and technology transfer

A. Financial assistance

Conclusions

59. The Panel emphasized that the issues of financial assistance and transfer of technology are cross-cutting, interlinked and essential for the management, conservation and sustainable development of all types of forests, particularly in developing countries and countries with economies in transition. The Panel reiterated that those cross-cutting issues are critical to progress in all the other programme elements within its terms of reference.

60. In proposing measures to address those issues, the Panel emphasized the need to take into account the Forest Principles and relevant chapters of Agenda 21. The Panel recognized that existing resources are insufficient to achieve the management, conservation and sustainable development of all types of forests. The Panel further recognized that there is a need for greater financial investment from all sources, as well as a need to improve the absorptive capacity of developing countries to use financial resources.

61. The Panel recognized that in developing countries, domestic resources for financing the management, conservation and sustainable development of all types of forest are scarce and international financial sources remain vital. It reiterated the need for external support through ODA and the provision of new and additional financial resources, and emphasized the need to mobilize new, innovative and additional forms of finance at the public, private, international, domestic and local levels. However, while recognizing the important potential in innovative financial packages and new types of public-

private partnerships, the Panel emphasized the continuing importance of international public finance and of existing commitments to it, and the need to promote the predictability and continuity of flow of financial resources. The catalytic and leveraging roles of international public funding remain essential for developing countries. It recognized that more effective use of available finance is conducive to attracting additional resources.

62. The financing needs for sustainable forest management at the national level should, as far as possible, be met by the revenue generated by the forest sector itself, be it the public or private sector. Some countries, with valuable forest estates and stronger economies, have much greater potential for generating private-sector and domestic public investment than others. National forest programmes and similar policy instruments can be an important policy tool, and can serve as a means of promoting, prioritizing and coordinating both public and private financial investments. Community financing is also an important element in enhancing the sustained productivity of forest resources. Experience suggests that despite their low income level, many forest-dependent communities can mobilize substantial labour, material and capital resources for forest development, and appropriate policy changes can enhance that potential.

63. The Panel noted that, in general, private capital flows are growing and are increasingly greater than public funding, but are distributed unevenly among developing countries. That trend is also visible in the case of private investment in forests. The Panel recognized, therefore, that it is critical for countries to take the necessary measures to introduce appropriate policies and create an enabling environment to attract such private-sector investment. Policies that address long-term land tenure rights and encourage local community investment in sustainable forest management could mobilize significant financing. Investment in forests may be encouraged by voluntary codes of conduct for sustainable forest management, stronger national regulations and enforcement, full cost internalization in the pricing of renewable resources and various incentives. Policies and regulations should be carefully evaluated before implementation to avoid negative social and environmental impacts and market distortions, which would create disincentives.

64. The Panel underscored the need to fulfil the financial commitments of Agenda 21, especially chapter 33, with the aim of achieving the management, conservation and sustainable development of all types of forest,

including, where appropriate, the protection of representative forest ecosystems. Efforts in developing countries to secure additional financial resources and technology at domestic level need to be strengthened, and should be supplemented from international sources. ODA remains a main source of external public funding, and has as a principal aim alleviating the poverty that is one of the main causes of deforestation. It will continue to play an important role in supporting forest-related activities in developing countries, especially where it is difficult to attract financing from other sources, for example, in developing countries, with low forest cover. The Panel expressed its concern that funding levels, including ODA, are insufficient and declining, and that sustainable forest management is not given sufficient priority in ODA. While there is a continuing challenge to ensure that ODA funds for forest sector are used as efficiently as possible, that is independent from the issue of trends in international public sector financing. Forest-related projects that have global environmental benefits should also be supported through GEF programmes, under the guidance provided by the conferences of parties of the relevant international instruments.

65. The Panel emphasized the need to examine ways to enhance international cooperation. It stressed the need for the international community to find durable solutions to the debt problem of developing countries in order to provide them with the needed means for management, conservation and sustainable development of all types of forests. Other forms of innovative financing should also be explored. Market-based instruments, such as taxes, levies, user fees and domestic public investments, could generate additional financial resources to support activities for sustainable forest management and conservation. A whole range of options relevant to specific national conditions warrants further examination. Adequately valuing forest resources and creating markets that reward sustainable forest management would contribute to the management, conservation and sustainable development of all types of forests, and would generate needed public resources.

66. The Panel emphasized that in-country coordination and cooperation among donors is crucial in view of the need to make the best use of limited financial resources. National forest programmes provide a good basis in many countries for national and international cooperation, including setting priorities for financial assistance and technology transfer between recipient countries and donors.

Proposals for action to strengthen financial assistance

67. The Panel:

- (a) Recalled the Rio Declaration on Environment and Development and relevant chapters of Agenda 21, as well as paragraph 10 of the Forest Principles, which states that new and additional financial resources should be provided to developing countries to enable them to sustainably manage, conserve and develop their forest resources, including through afforestation, reforestation and combating deforestation and forest and land degradation;
 - (b) Urged recipient countries to prioritize forest activities or national resources development strategies that would favour sustainable forest management and related activities in programming the ODA available to them, and also urged donor countries and international organizations to increase the proportion and availability of their ODA contribution to programmes supporting the management, conservation and sustainable development of all types of forests in order to respond to increased priorities for sustainable forest management in recipient countries;
 - (c) Requested the relevant United Nations organizations, international financial institutions, other international organizations and the donor community to work with developing countries, on the basis of national forest programmes, to identify their needs for sustainable forest management, estimate the resources required to finance such needs and identify the resources available to them for such purposes, including ODA;
 - (d) Urged international organizations and international financial institutions to use national forest programmes, as appropriate, as a framework for the support and coordination of forest-related activities;
 - (e) Encouraged countries, through appropriate channels, to support increased and improved programmes promoting the management, conservation and sustainable development of forests and related activities in international organizations and international financial institutions, whose programmes should consider further concessional lending for the forest sector;
 - (f) Invited UNDP and the Bretton Woods institutions, together with other relevant international organizations, to explore innovative ways to both use existing financial mechanisms more effectively and generate new and additional public and private financial resources at the domestic and international levels in order to support activities for the management, conservation and sustainable development of all types of forests;
 - (g) Recognized the importance of increasing resources available to developing countries for promoting the management, conservation, and sustainable development of all types of forests, welcomed the progress that has been made in devising and implementing debt relief initiatives, and bearing in mind General Assembly resolution 50/92, urged the international community, particularly the creditor countries and international financial institutions, as well as commercial banks and other lending institutions, to continue the implementation of various measures aimed at effective, equitable, development-oriented and durable solutions to the external debt and debt-servicing problems of developing countries, particularly the poorest and heavily indebted countries, including exploring the opportunities for innovative mechanisms, such as debt-for-nature swaps related to forests and other environmentally oriented debt reduction programmes.
68. The Panel also discussed the proposal that an international fund be established to support activities for the management, conservation and sustainable development of all types of forests, particularly in developing countries. The following options for action were discussed, without a consensus being reached on those or other possible procedures:
- (a) To urge the establishment of such a fund;
 - (b) To invite the international community to discuss the proposal;
 - (c) To pursue action to enhance funding in other ways, inter alia, as proposed in paragraph 67 (f) above.

Proposals for action to enhance private-sector investment

69. The Panel:

- (a) Urged all countries, within their respective legal frameworks, to encourage efforts by the private sector to formulate, in consultation with interested parties, and implement voluntary codes of conduct aimed at promoting sustainable forest management through private-sector actions, including through management practices, technology transfer, education and investment;
- (b) Urged countries to explore mechanisms, within their respective legal frameworks, to encourage their private sector to act consistently with sustainable forest management and to invest financial resources generated from forest-based activities in actions that support sustainable forest management;
- (c) Urged countries to explore mechanisms, within their respective legal frameworks, to encourage the reinvestment of revenues generated from forest goods and services back into the forests where those revenues were generated;
- (d) Invited developing countries to promote policies and regulations aimed at creating a favourable environment to attract the domestic and foreign private sectors, as well as local community investment, for sustainable forest management, environmentally sound forest-based industries, reforestation, afforestation, non-wood forest product industries, and conservation and protection of forests;
- (e) Urged developed countries to formulate and create incentives, such as loan and investment guarantees, to encourage their private sector to invest in sustainable forest management in developing countries, as well as in countries with economies in transition.

Proposals for action to enhance national capacity and national coordination

70. The Panel:

- (a) Urged recipient countries to establish country-driven national forest programmes that include priority needs and that serve as an overall framework for forest-related policies and actions, including the coordination of financing and international cooperation, and urged donor countries and international organizations to support national initiatives to create national forest programmes and policy framework in developing countries;
- (b) Encouraged countries in a position to do so to continue to develop and employ appropriate market-based and other economic instruments and incentives to increase rent capture and mobilize domestic financial resources in support of sustainable forest management, as well as to reduce social costs and negative environmental impacts due to unsustainable forest and land management practices;
- (c) Encouraged countries, within their respective legal frameworks, international organizations and financial institutions, to enhance, subject to national legislation, community financing as an important strategy to promote sustainable forest management, and to establish policy and programmatic mechanisms and instruments that facilitate local investments in sustainable forest management by, inter alia, indigenous groups and forest owners;
- (d) Suggested that recipient countries, where appropriate, identify a national authority responsible for in-country coordination in the deployment of financial resources, including ODA, and in requests for external assistance;
- (e) Urged developed countries, international organizations and international financial institutions to support the efforts of developing countries in capacity-building in the management, conservation and sustainable development of their forests.

Proposals for action to enhance international cooperation

71. The Panel:

- (a) Called for enhanced coordination, collaboration and complementarity of activities among bilateral and multilateral donors and among international instruments related to forests, notably the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, the Convention to Combat Desertification and the International Tropical Timber Agreement;
- (b) Urged recipient and donor countries to jointly explore, as a priority activity, appropriate indicators for monitoring and evaluating the adequacy and effectiveness of forest programmes and projects at the national and local levels, supported by international cooperation in financial assistance and technology transfer;
- (c) Encouraged countries to explore the feasibility of innovative financial initiatives to support the implementation of national forest programmes.

B. Technology transfer and capacity-building and information

Conclusions

72. There is an unprecedented accumulation of technological capability in the world today, including for forestry. However, much of it remains largely unrecognized, underutilized and inadequately shared. Dissemination of those technological innovations is critical. The Panel emphasized that the transfer of environmentally sound technology in the forest sector is an important part of strategies for enabling countries to manage, conserve and sustainably develop their forests. The potential of particular technologies for transfer needs to be assessed in consultation with all interested parties, such as Governments, non-governmental organizations, the private sector, scientists and local communities.

73. The Panel noted that as new technologies are largely originated from the North, in particular in private domain, there is a need for strengthening North-South cooperation in technology transfer under favourable terms, including on concessional and preferential terms, for developing countries, as mutually agreed. However,

owing to similarities of forest types, institutions and culture, there is also a considerable potential for South-South cooperation in conjunction with and as a complement to North-South cooperation.

74. The Panel noted that developed countries bear a special responsibility for facilitating the creation of conditions for the conservation of forest biological diversity and sustainable use of forest biological resources, inter alia, through constructive approaches to the transfer of technologies to strengthen the capabilities of indigenous people, forest dwellers, forest owners and local communities for sustainable forest management.

75. The Panel agreed that established priority in technology transfer and capacity-building should be continuously reviewed, and could include: information dissemination to improve forest and land-use planning and improvement of forest yields; technology and methods that reduce environmental damages due to current forestry practices; conservation and protection; native species research, including biotechnology, for tree improvement; rehabilitation and restoration of natural forest ecosystems; reforestation and nursery development; technology and methods for retaining forest values, including biological diversity; incorporation of indigenous knowledge in forest management; utilization, rehabilitation, restoration and regeneration of natural forest ecosystems; new and renewable sources of energy, in particular fuelwood and its appropriate substitutes; environmentally sound forest harvesting technologies; enhancement of technologies regarding wood processing; the development of new non-wood and wood forest products to promote techniques and design in order to add more aggregate value for forest products; and the development and implementation of national forest strategies.

76. The Panel emphasized the need to review and improve information systems. Attention should be given to worldwide access to information systems that would encourage effective implementation of national forest programmes, increased private-sector investment, efficient development and transfer of appropriate technologies, and improved cooperation. Internet-based information systems should allow easy access and information-sharing among multilateral agencies, countries' institutions, non-governmental organizations and other interested parties.

Proposals for action to enhance technology transfer and capacity-building

77. The Panel:

- (a) Urged developed countries to promote, facilitate and finance, as appropriate, access to and the transfer of environmentally sound technologies and corresponding know-how to developing countries on favourable terms, including on concessional and preferential terms, as mutually agreed, taking into account chapter 34 of Agenda 21 and paragraph 11 of the Forest Principles;
- (b) Encouraged countries, where needed, to assess and identify their national technological requirements and capabilities in order to achieve the management, conservation and sustainable development of their forests. The assessment and identification of specific technology needs should be consistent with priorities in national forest programmes;
- (c) Called for the strengthening of North-South cooperation and the promotion of South-South as well as trilateral North-South-South cooperation in forest-related technology transfer, through public and private-sector investment and partnerships, joint ventures, exchange of information and greater networking among forest-related institutions, taking due note of related work being conducted in other international forums, including the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change;
- (d) Called upon countries to formulate policies and incentives that encourage all concerned to develop and use environmentally sound technologies;
- (e) Called for greater emphasis on national and local capacity-building in the development and implementation of national forest programmes and in international cooperation programmes, as well as in the development of mechanisms for the dissemination and adaptation of technologies to national and local conditions;
- (f) Invited Governments, within their respective legal frameworks, and international organizations, in consultation with countries, to consider supporting indigenous people, local communities, other inhabitants of forests, small-scale forest owners and forest-dependent communities by funding sustainable

forest management projects, capacity-building and information dissemination, and by supporting direct participation of all interested parties in forest policy discussions and planning;

- (g) Urged United Nations organizations, with the support of the international financial institutions, to prepare inventories of the most appropriate forest-related technologies, as well as the most effective methods of transfer of those technologies to developing countries among Governments, between Governments and private sector, and within the private sector.

Proposals for action to improve information systems

78. The Panel:

- (a) Invited relevant international organizations and international financial institutions to review and initiate the development of improved forest information systems with a view to enhancing coordination and data-sharing among interested parties regarding the implementation of national forest programmes, ODA programming, the provision of new and additional financial resources, increased private-sector investment, efficient development and transfer of technology;
- (b) Urged developed countries and appropriate international organizations to establish mechanisms to assist the interpretation and dissemination of information relevant to the management, conservation and sustainable development of all types of forests to countries and interested parties who have difficulties in accessing internationally available information, including dissemination through electronic means;
- (c) Invited members of the informal high-level Inter-Agency Task Force on Forests, including FAO, the International Tropical Timber Organization (ITTO), UNDP, the World Bank, the secretariat of the Convention on Biological Diversity, the United Nations Environment Programme (UNEP) and other relevant international bodies to facilitate the provision of a better flow to both the policy and operational levels of synthesized information on programme progress, policy development, best management practices and financial strategies for forest sector, for both the public and private sectors, including through the establishment of specialized databases.

III. Scientific Research, Forest assessment and the development of criteria and indicators for sustainable forest management

A. Assessment of the multiple benefits of all types of forests

Conclusions

79. The Panel emphasized that national inventories are an important basis for effective national forest programmes. Assessment of the actual and potential conditions of all types of forests is central to sustainable forest management and to a wide range of other considerations related to forests and forest ecosystems at the local, national, regional and global levels. Inadequate recognition of the contribution of forests to national economies has in many cases led to deforestation, forest degradation and underinvestment in forest management.

80. The database on forest types in both developed and developing countries is uneven. Much attention is still given to timber and forest cover, whereas other goods and services provided by forests, such as fuelwood, the sustainable use and conservation and the fair and equitable sharing of benefits of biological diversity, soil and water protection functions, and carbon sequestration and sinks, as well as other social, cultural and economic aspects, are rarely covered and need to be considered.

81. Forest assessments at the national level should adopt an integrated and holistic multidisciplinary approach, and should be user-oriented and demand-driven. Such assessments should be transparent and accessible to all interested parties. Further study is needed to define the levels of precision required and the specific needs of different users, including forest managers. Assessments should fully utilize the data already collected and analyses already carried out by local, national, regional and international institutions. Efforts should be made to harmonize approaches to data collection and analysis in order to enhance comparability.

82. The Panel emphasized that assessment data already in the public domain, including remote-sensing information, should be disseminated effectively. The use of existing FAO data, in combination with other data sets, offers a rich potential to address urgent questions in a cost-effective manner. The Panel also recognized that data interpretation in response to user needs is necessary.

Consequently, a study of uses and categories of users of forest resources and related information at the international, regional, national and local levels is required. This would be particularly important when discussing new types of information to be included in the global forest resources assessment.

83. International and national forest assessments should take account of appropriate international, regional, sub-regional and national-level criteria and indicators for sustainable forest management. The need to include qualitative as well as quantitative information on forest goods and services was stressed, and should be addressed in future assessments. Site-specific field testing is also needed in order to ensure the adaptation of reliable parameters in forest assessments. Emphasis should be placed on the provision of reliable and high-quality data.

84. The Panel further noted that capacity-building at the national and local levels is important in many countries, and should involve all interested parties, including forest owners, local communities, indigenous people and other major groups. Forest assessments should be multidisciplinary, and should involve data collection and analysis by local, national and possibly regional as well as international institutions. Enhanced national capacity is considered essential for high-quality national inputs to the global forest resources assessment for the year 2000 being organized by FAO.

85. The Panel expressed strong support for the global assessment and for the arrangements being made following the recommendations of the FAO Expert Consultation on Global Forest Assessment held in Finland in June 1996, and urged FAO, in consultation with countries and interested organizations, to prepare a strategic plan for assessing global forest resources and a detailed plan for the implementation of the global assessment for the year 2000, including detailed cost and funding options and target dates. The Panel noted the importance of eco-floristic zone and vegetation maps as tools for the assessment process, together with appropriate qualitative parameters and criteria and indicators defined through the Helsinki and Montreal processes, the Dry Zone of Africa initiative, the Tarapoto Proposal and the ITTO guidelines.

86. The Panel took note of the recommendation of the Expert Consultation to maintain the current 10-year interval between global forest resources assessments. However, the possibility of rolling assessments by region could also be considered, together with the possibility of

updating of data at regular intervals, taking into account the financial and resource implications for FAO, as well as for developing and developed countries, in meeting such requirements. The global assessment for the year 2000 should be a partnership exercise facilitated by FAO but also involving United Nations organizations, national institutions and other interested parties, including relevant major groups. Cooperation at the national level should involve all interested parties, both within and outside the forest sector.

87. While recognizing the value of remote-sensing techniques and geographical information systems for forest assessments, the Panel noted the need for ground validation of some parameters. Assessments impose a significant financial and technical burden on developing countries, and should therefore be carried out in the most cost-effective manner and should be assisted by developed countries and international organizations. Coordination is needed between forest information systems and other relevant systems, and required both North-South and South-South cooperation.

88. Resources available for the global assessment for the year 2000 in FAO's regular budget and at the national level are limited. The Panel stressed the urgency of identifying existing or additional financial resources that would ensure an effective assessment. Consideration should be given to establishing methods by which users would provide resources for data collection, and to more effective utilization of existing resources and capabilities of organizations and institutions, both in the public and private sectors, to assist FAO in executing the assessment.

Proposals for action

89. The Panel:

- (a) Encouraged countries to integrate national-level criteria and indicators for sustainable forest management in national forest assessments, including qualitative indicators, where appropriate;
- (b) Encouraged all countries, where appropriate and on a step-by-step basis, to improve national forest resources assessment, forest statistics and the capacity to analyse and make proper use of forest resources information, and encouraged donor countries and international organizations to support those initiatives;

- (c) Urged countries, universities and relevant organizations and major groups to strengthen research on forest inventory and monitoring techniques with a view to expanding the scope and improving the quality of forest assessments;
- (d) Requested FAO, in consultation with Governments and relevant organizations, including UNEP, to prepare and distribute a detailed plan for the implementation of the global forest resources assessment for the year 2000. The plan should provide for the inclusion of a broad range of forest values, including non-timber values, and should include detailed cost and funding options associated with potential new parameters, actions, targets and responsibilities for carrying out the assessment consistent with the recommendations of the Expert Consultation and with due regard to the requirements arising from internationally or regionally agreed criteria and relevant indicators for sustainable forest management;
- (e) Requested FAO to implement the global forest resources assessment 2000, in collaboration with international organizations, countries and other organizations with competence in assessments, and to share the results of the assessment effectively with the international community;
- (f) Requested FAO, in consultation with countries and relevant international organizations and in an open and transparent manner, to formulate an internationally acceptable set of definitions of key terms used in the assessment of all types of forests and their resources, and to promote their adoption;
- (g) Urged FAO, in partnership with other international organizations, the Intersecretariat Working Group on Forest Statistics, national institutions and non-governmental organizations, to address the need for better coordination and avoidance of overlap between forest and other related information systems, and for clearer prioritization in data collection;
- (h) Encouraged countries to begin a consultation process with all interested parties at the national, sub-national and local levels to identify the full range of benefits that a given society derives from forests, taking the ecosystem approach fully into consideration.

B. Forest research

Conclusions

90. The Panel recognized the need to strengthen research, which was relevant to all the programme elements of its programme of work. There was need for a more comprehensive and focused approach, including support to regional research networks. Enhanced international efforts for more focused and effective funding and coordination of forest-related research and development were also required.

91. The Panel also took note of the recommendations on priorities for scientific research on biological diversity and forests made by the Conference of the Parties to the Convention on Biological Diversity. The Panel also recognized the important role of the Convention to Combat Desertification in addressing many of the forest-related scientific issues and research needs as regards arid zones.

92. The Panel recognized that institutional needs include the strengthening of existing national research institutions; subregional and regional networks; joint research ventures; approaches to enhancing and strengthening existing international, regional, subregional and national forest research institutions' participation in an international network dedicated to the conservation and sustainable development, management and utilization of forests and forest policy research; and the creation of appropriate mechanisms that could enable research findings to reach policy and field levels more effectively and could support concrete action.

93. The Panel recognized the importance of developing and identifying research priorities at all levels: national, with the involvement of local communities and other interested parties; regional; and international. The Panel noted that research priorities relevant to further understanding and implementation of chapter 11 of Agenda 21 and the Forest Principles that are in need of comprehensive intergovernmental examination include the development of criteria and indicators for sustainable forest management, including their testing at the field level in pilot studies; integrated site-specific socio-economic and biophysical studies to explore the relationship between human development and forests; periodic forest assessment; valuation of forests and forest resources; the use of forest valuation in national resource accounts; community participation, including the adoption of participatory appraisal and other participatory techniques to

determine research and technology development agendas; TFRK; forest conservation, including human impact on protected forest areas; consideration of the long-term impacts of pervasive external stresses, such as climate change, ozone depletion and air pollution, on forest health, productivity and biodiversity; examination of trends in the supply of and demand for forest products; forest policy at the national, regional and global levels; and environmentally sound technologies for forest-based industries, including cost-effective processing techniques.

Proposals for action

94. The Panel:

- (a) Requested the Centre for International Forestry Research, in collaboration with relevant organizations and in consultation with a group of internationally recognized experts, as well as in conjunction with national, regional, intergovernmental and non-governmental bodies, to develop as soon as possible mechanisms to:
 - (i) Guide the identification and definition as well as prioritization of global and eco-regional interdisciplinary research problems, taking into account national priorities and closely linked to practical and operational forest management issues;
 - (ii) Promote consortia or networks to lead and organize global forest research and ensure that results are made available to all users;
 - (iii) Build global capacity for forest research and develop new and innovative means for disseminating information and technologies;
 - (iv) Mobilize resources to accomplish the above objectives;
- (b) Called on the Conferences of the Parties to the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the Convention to Combat Desertification, within their areas of competence, to promote research and analysis undertaken by those Conventions and to address gaps in existing knowledge where relevant to their mandate;

- (c) Urged the United Nations system, international financial institutions and countries to examine the need to expand the capacity of existing research institutions at the regional and subregional levels, and where appropriate the establishment of new regional/subregional centres for research, development and extension, including for biological diversity and forest products and other forest goods and services;
- (d) Encouraged countries and regional and international research organizations to extend on-site research and to enhance its prioritization and the application of its results, with the involvement of all interested parties, in the planning, implementation, monitoring and evaluation of research so as to enhance its relevance and impact.

C. Methodologies for the proper valuation of the multiple benefits of forests

Conclusions

95. The Panel stressed that forests provide a wide range of benefits, not all of which are easy to quantify. The costs associated with deforestation, forest degradation and changes in forest quality, in terms of losses of biological diversity, impaired biological functions and reduced social and environmental values are not adequately measured by present methodologies. However, that shortcoming is due as much to the inability to assess the nature and significance of biophysical, ecological, economic and social impacts resulting from forest change as to uncertainty about how to assess their costs.

96. The Panel recognized the importance of the services provided by forests, including those relating to biological diversity and global climate regulation, and the potential for developing mechanisms to translate those values into monetary terms to encourage forest owners, forest dwellers, indigenous populations and local communities to conserve forests and manage them sustainably. Further discussion on those issues should take place in the context of the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change. The Panel took note of the input received from the Conference of the Parties to the Convention on Biological Diversity with respect to the development of methodologies for valuing forest biodiversity.

97. Undervaluation of forest goods and services and of other forest attributes, including non-market benefits, impedes sustainable forest management. The Panel recognized the difference between value and price, and noted that market mechanisms were not always appropriate or available to give monetary expression to key forest values, leading to the misconception that sustainable forest management is expensive and not cost-effective.

98. The Panel emphasized that the economic value of forests depends on the characteristics of particular forest areas and their locational relationships with people and markets. Those characteristics vary both spatially and in time, and as a result forest valuation estimates are usually site-specific and time-specific. Nevertheless, there is considerable benefit in different countries sharing experiences, with the application of particular valuation techniques and instruments designed to capture a higher share of benefits for forest owners and forest-dwelling people.

99. A variety of methodologies has been developed to aid in the valuation of forest benefits that were previously considered intangible and not amenable to measurement. They can be used in all types of forests to improve the description of a wide range of social, cultural and environmental benefits, including those associated with hydrological functions, soil conservation, biological diversity and amenity. While those methodologies have many limitations, they could help improve decision-making by more clearly defining the costs and benefits associated with different patterns of forest use, and by indicating the scope for applying various measures to internalize environmental and social costs. The results of that valuation, when applied as a neutral tool, are an important potential source of information to all interested parties, and for increasing public awareness, particularly about currently non-marketable forest goods and services.

100. Although the Panel recognized the potential usefulness of forest valuation methodologies, it felt that their complexity and the costs involved may limit their widespread application. The Panel emphasized that innovative and simple scientific valuation methods were needed, especially those related to criteria and indicators and national forest programmes. Expensive valuation exercises should not be performed at the expense of more pressing basic needs, such as the development and application of reliable data systems and the development of strategies and mechanisms to achieve sustainable forest management.

101. New forest valuation methodologies should take into account the following criteria: neutrality and scientific validity, practical applicability, simplicity and clarity, multidisciplinary, cost-effectiveness, and orientation towards currently non-marketable goods and services.

102. The Panel noted the need for international cooperation in the development of methodologies for the valuation of forest goods and services and their inclusion in national accounts. That could include training for staff as well as decision makers, and work on ways and means to promote public awareness. The need to exchange experience and establish pilot studies and schemes was emphasized.

103. The Panel expressed support for national forest-resource accounting as a means of providing strategic information for forest policy and management at the national and subnational levels, and of creating awareness of the value of forest goods and services.

Proposals for action

104. The Panel:

- (a) Encouraged countries, in collaboration with international organizations, to make use of available methodologies to provide improved estimates of the value of all forest goods and services and allow for more informed decision-making about the implications of alternative proposals for forest programmes and land-use plans, taking into account that the wide range of benefits provided by forests are not adequately covered by present valuation methodology, and that economic valuation cannot become a substitute for the process of political decision, which includes consideration of wide-ranging environmental, socio-economic, ethical, cultural and religious concerns;
- (b) Requested international organizations and relevant institutions to prepare comprehensive documents on the available forest valuation methods and datasets required for the evaluation of forest goods and services, in particular those that are not traded in the marketplace;
- (c) Invited countries and relevant international organizations and institutions to promote research to further develop forest valuation methodologies, in

particular those related to deforestation and forest degradation, erosion, and criteria and indicators, taking into account the particular circumstances of each country.

D. Criteria and indicators for sustainable forest management

Conclusions

105. The Panel noted the widespread international interest in and support for the development and implementation of criteria and indicators for sustainable forest management. It drew attention to the dynamic nature of that process, and emphasized that the current momentum of action must be sustained.

106. The Panel recognized that criteria and indicators provide a conceptual framework for policy formulation and evaluation, and should be considered as useful tools for assessing trends in forest conditions, for reporting on the state of forests and for achieving sustainable forest management. Criteria define the essential elements of sustainable forest management, while indicators provide a basis for assessing actual forest conditions. When combined with specific national goals, criteria and indicators also provide a basis for assessing progress towards sustainable forest management. Criteria and indicators can therefore play an important role in defining the goals of national forest programmes and policies, and evaluating the effectiveness with which they are implemented. Because they reflect components of sustainable forest management, they collectively contribute to its development as a concept.

107. There is a need for a broad spectrum of quantitative, qualitative and descriptive indicators covering social, cultural, economic, ecological, institutional, legal and policy elements, including land tenure. Aspects of forests and woodlands that are essential in meeting the subsistence needs of indigenous people, forest dwellers and other local communities, including forest owners, require special attention in some countries. In many national, regional and international initiatives, both quantitative, qualitative and descriptive indicators have already been established.

108. While recognizing that national-level criteria and indicators may play an important role in clarifying issues related to forest certification and the labelling of forest products, the Panel emphasized that the development of

criteria and indicators is primarily intended for promoting and monitoring sustainable forest management, and not for imposing certification or labelling schemes for forest products. Criteria and indicators are not performance standards for certifying management at any level, and should not be made a basis for restriction of trade. The Panel also emphasized that criteria and indicators for sustainable forest management should not be used as grounds for conditionality in the provision of ODA.

109. The Panel stressed the need for further efforts to reach a common international understanding of key concepts, definitions and terms used in formulating and developing criteria and indicators for sustainable forest management, and methodologies for data collection. Those terminologies and approaches must be compatible with terminologies used in other related fields, such as inventory, assessment and valuation, environmental assessment, national forest programmes, land-use plans and trade-related forest issues.

110. The Panel welcomed the efforts made to clarify the links between the criteria and indicators appropriate at the national level and those applicable to the subnational and forest management unit/operational levels, and emphasized that these should be compatible. It recognized, however, that those links will vary from country to country, and may require further examination. Criteria and indicators should be formulated through a transparent process involving all interested parties, including forest dwellers, indigenous people and local communities, as well as forest owners and other major groups, where applicable. Criteria and indicators for application at all levels should be practical, scientifically based and cost-effective, and should reflect, inter alia, economic, social and ecological circumstances.

111. The Panel noted that a number of countries are participating actively in international and regional initiatives for defining and implementing national-level criteria and indicators for sustainable forest management. That cooperation has enabled countries to benefit from the experience of others and at the same time bring new dimensions and ideas into international processes. While recognizing that the countries currently involved are at different stages in the process, the Panel stressed the need for further progress towards consensus on concepts, terms and definitions. The Panel also urged continuing efforts to involve countries and regions that are not yet participating in such initiatives.

112. The Panel placed particular emphasis on the need to involve regions and subregions with distinctive ecological and geographical characteristics, and countries with low forest cover. It also agreed that the development of appropriate criteria and indicators for application at the regional levels, in particular for forests in similar ecological zones, should be considered. The Panel also emphasized the need for efforts to enhance comparability and compatibility between various international and regional processes on the development and implementation of criteria and indicators, and stressed the importance of mutual recognition among sets of criteria and indicators as tools for assessing trends in forest management and conditions at the national level; and on transparent methods for the measurement of indicators and for the collection, assembly, storage and dissemination of data.

113. The Panel recognized that there needed to be consistency in the methodology employed in global forest assessments. It supported the promotion of ways and means to maximize the exchange of information, experience and technical knowledge at the global level, in particular the promotion of best forest practices for sustainable forest management.

114. The Panel had divergent views on the merits of a core set of criteria and indicators for use at the global level, while recognizing that dialogue should continue.

Proposals for action

115. The Panel:

- (a) Encouraged countries to proceed to prepare, through a participatory approach, national-level criteria and indicators for sustainable forest management, and, taking cognizance of specific country conditions and on the basis of internationally and regionally agreed initiatives, to initiate and to implement them, where appropriate, while recognizing that further scientific and technical examination, including field testing, will itself provide valuable experience and assist in further refinement and development;
- (b) Urged countries to promote, as appropriate, the use of internationally, regionally, subregionally and nationally agreed criteria and indicators as a framework for promoting best forest practices and in facilitating sustainable forest management; to

encourage the formulation and implementation of criteria and indicators on a cross-sectoral basis and with the full participation of all interested parties; to include them in national forest programmes; to establish and, where appropriate, clarify links between criteria and indicators employed at the national level and at the subnational or at the forest management unit/operational levels; and to promote their compatibility at all levels;

- (c) Encouraged countries not yet participating in any of the ongoing international and regional initiatives on criteria and indicators to become involved as soon as possible, thereby gaining benefit from the experience of the existing processes as well as contributing new insights; and urged donor countries and multilateral and international organizations to provide adequate technical and financial assistance to developing countries and economies in transition to enable them to be involved and participate in the further development, field testing and implementation of criteria and indicators at the national, subnational and forest management unit/operational levels;
- (d) Urged countries and international organizations, in particular FAO, UNEP and other participants in international and regional initiatives, to undertake efforts to achieve a common international understanding on concepts, essential terms and definitions used in formulating and developing criteria and indicators for sustainable forest management (and to promote their adoption); on indicators for forests in similar ecological zones; on mutual recognition among sets of criteria and indicators as tools for assessing trends in forest management and conditions at the national level; and on transparent methods for the measurement of indicators and the collection, assembly, storage and dissemination of data;
- (e) Recommended that FAO and participants in regional and international initiatives draw on commonalities between criteria and indicators developed in such initiatives, as well as on the Forest Principles, and recommended that criteria and indicators be used by FAO and other relevant organizations in order to improve consistency in reporting on forest assessment and sustainable forest management;

- (f) Requested that the Conference of the Parties to the Convention on Biological Diversity take note of the work of the various existing initiatives on criteria and indicators to ensure that the work done by the Convention on Biological Diversity on developing and implementing biodiversity indicators would be consistent with and complementary to them.

IV. Trade and environment in relation to forest products and services

Conclusions

116. The Panel acknowledged the potential positive relationship between trade in forest products and services and sustainable forest management. It recognized the importance of promoting sustainable forest management through mutually supportive trade and environmental policies, in particular avoiding policies that have adverse impacts on the management, conservation and sustainable development of forests. However, it also recognized the wide range and complexity of the issues associated with this topic. A continuing process of consensus-building is needed, including the exploration of the possible need for specific international trade agreements in forest products and voluntary codes of conduct for sustainable forest management to facilitate and improve trade in forest products in specific areas.

117. The Panel emphasized that the issues of trade and environment relating to forest products and services should be addressed in a holistic manner, taking into account chapter 11 of Agenda 21 and the Forest Principles. It recognized, however, that there was inadequate information on both domestic and international trade in non-wood products and forest services. Further studies and data gathering are needed to overcome those gaps in future.

118. The Uruguay Round of multilateral trade negotiations made significant progress in improving market access for forest products, especially in terms of reducing tariffs for all types of forest products. Yet barriers to international trade in forest products, particularly non-tariff barriers, could still impede access of forest products to the international market.

119. Forest products obtained from sustainably managed forests may be considered to be environmentally friendly. Competition between different products from different regions and between wood and non-wood alternatives is inevitable. It need not constrain national or global efforts to achieve sustainable forest management, but could have implications for sustainable forest management and for markets for specific forest products in the future. Further economic and market studies, therefore, should be carried out to determine how best to use markets and economic instruments to promote sustainable forest management.

120. For the majority of developing countries, exports of processed products represent a small proportion of their total roundwood production. Additional efforts, therefore, should be geared towards promoting efficient and environmentally sound downstream processing industries and exports of processed products, consistent with sustainable forest management, in order to increase their contribution to sustainable development and to increase export earnings.

121. The Panel noted that producer countries and international institutions have undertaken many efforts and initiatives to promote lesser used species in the international tropical timber market. Progress is still limited, but efforts should continue and should also include temperate and boreal species, consistent with the management, conservation and sustainable development of all types of forests.

122. International attention to the issues of the certification of forest management and labelling of forest products should be put into perspective. To date, only a small proportion of the global trade in forest products and a small area of the world's forests are influenced by those schemes. Because of inadequate information and relatively few real world experiences, it is still too early to assess objectively their full potential in promoting sustainable forest management. More studies and information are required to clarify various uncertainties, including the impacts of certification on forest enterprises and markets; the competitiveness of forest products; the economic and non-economic costs and benefits; the demand for certified products; the feasibility and credibility of certification at different levels; the use of criteria and indicators; the governance and credibility of certification schemes in the context of consistency with international agreements; and the role of Government as a regulator, and in some countries also as resource owner.

123. The Panel recognized that voluntary certification and labelling schemes are among many potentially useful tools that can be employed to promote the sustainable management of forests. In view of the potential proliferation of schemes, there is a need to promote comparability and avoid duplication among various voluntary certification and labelling schemes.

124. The Panel accepted that Governments have a critical role in promoting effective sustainable forest management systems. However, because certification has thus far been developed as a voluntary private initiative, different views expressed on the roles of Governments and intergovernmental institutions in the development or regulation of certification systems require further clarification. In considering possible roles for Governments, bearing in mind the fact that certification is a market-driven process, distinctions should be made between the roles of Governments as regulators, as promoters of public policy, and in some countries as forest owners. Governments, however, have a role in encouraging transparency, the full participation of interested parties, non-discrimination, and open access to voluntary certification schemes.

125. International efforts should focus on ensuring that existing and new certification and labelling schemes are open and non-discriminatory in respect of types of forests or forest products, forest owners, managers and operators, are not used as a form of disguised protectionism and are not in conflict with international obligations.

126. Full-cost internalization may contribute to sustainable forest management in the long term. Without it, socio-economic and environmental costs may not be fully reflected in and addressed by the market, with the result that unsustainable practices may appear more attractive and less costly than sustainable forest management. Only limited consensus exists on concepts, definitions, measurements, techniques and data requirements to introduce environmental costs into pricing mechanisms. The relationship to substitutes, among other things, will affect the allocation of costs and benefits of cost internalization and market-based instruments. Exchange of information on various research findings and experiences in relation to costs and policy mechanisms are encouraged so as to facilitate discussion and policy development.

127. Greater market transparency has the potential to promote the mutually supportive roles of trade and environment in the forest sector. Improved market

transparency would also help to address such issues as illegal international trade in forest products, transfer pricing and market distortions. Despite some ongoing efforts by relevant international organizations, there has been little progress in improving market transparency for trade in forest products, and the Panel agreed that further efforts should be encouraged.

Proposals for action on market access

128. The Panel:

- (a) Urged countries and relevant international organizations to study the environmental, social and economic impacts of trade-related measures affecting forest products and services;
- (b) Requested countries to undertake measures for improving market access for forest goods and services, including the reduction of tariff and non-tariff barriers to trade in accordance with existing international obligations and commitments, and in that context to promote a mutually supportive relationship between environment and trade in forest goods and services, and to avoid conflict between measures that affect trade in forest goods and services and existing international obligations so that environmental concerns do not lead to disguised barriers to trade;
- (c) Urged all countries, subject to their national legislation, to encourage efforts by the private sector, in consultation with interested parties, to formulate and implement voluntary codes of conduct for promoting sustainable forest management for forest owners, forest developers and international investors in forestry so as to improve trade in forest products, and to endeavour to ensure that external trade policies take into account community rights, where appropriate.

129. The Panel discussed the following options for action relating to possible agreement for forest products from all types of forests, based on non-discriminatory rules and multilaterally agreed procedures, without reaching a consensus on these or other possible procedures:

- (a) To take note of the International Tropical Timber Agreement (ITTA) of 1994, in particular the commitment made by ITTO members to review the scope of the agreement four years after its entry into force on January, 1st, 1997;
- (b) To explore the possibility of extending the concept of the Year 2000 Objective of ITTA for all types of forests;
- (c) To explore the possibility of an international agreement on trade in forest products from all types of forests;
- (d) To examine the possibilities of further initiatives on trade liberalization within the auspices of the World Trade Organization;
- (e) To explore, within an intergovernmental forum on forests, intergovernmental negotiating committee or other arrangements decided upon at an appropriate time, the possibilities of promoting the management, conservation and sustainable development of all types of forests and trade in forest products in the context of an international, comprehensive and legally binding instrument on all types of forests.

130. The Panel considered the question of the relationship between obligations under international agreement and national measures, including actions imposed by subnational jurisdictions, but was not able to reach a consensus. Options for action proposed included:

- (a) Urging countries to remove all unilateral measures to the extent that those are inconsistent with international agreements;
- (b) Urging countries to remove all unilateral bans and boycotts inconsistent with the rules of the international trade system, including those imposed by subnational jurisdictions, in order to facilitate the long-term management, conservation and sustainable development of all types of forests, in accordance with paragraph 14 of the Forest Principles;
- (c) Recognizing that those matters are also considered in forums whose primary competence is to address trade issues.

Proposals for action on the relative competitiveness of forest products

131. The Panel:

- (a) Called upon relevant organizations to support efforts to gather more information and conduct more independent market and economic studies of potential competition between wood and non-wood substitutes, analysing the costs and benefits, including any substitution effects, and the overall impact on the management, conservation and sustainable development of all types of forests;
- (b) Urged developed countries and relevant international organizations to support efforts by developing countries, consistent with policies and programmes for sustainable forest management, to increase their productivity and efficiency in downstream processing activities, and to support, where appropriate, community-based processing and marketing of wood and non-timber forest products.

Proposals for action on lesser used species

132. The Panel:

- (a) Called upon countries and relevant international organizations and research institutions to intensify efforts to promote lesser used forest species in domestic and international markets, where increased use is consistent with sustainable forest management;
- (b) Urged producer countries to implement policies that are compatible and consistent with sustainable forest management for the utilization of economically viable lesser used species;
- (c) Urged international organizations and research institutions to transfer technology, and to support national and community level efforts to develop and adapt technologies including traditional forest-related knowledge, for increasing the sustainable utilization of lesser used species.

Proposals for action on certification and labelling

133. The Panel:

- (a) Urged countries, within their respective legal frameworks, and international organizations to consider the potentially mutually supportive relationship between sustainable forest management, trade, and voluntary certification and labelling schemes operating in accordance with relevant national legislations, and to endeavour to ensure, as necessary, that such schemes are not used as a form of disguised protectionism, and to help to ensure, as necessary, that they do not conflict with international obligations;
- (b) Invited developed countries and international organizations to support, including through technical and financial assistance, efforts in developing countries to enhance the assessment capabilities of developing countries in relation to voluntary certification and labelling;
- (c) Urged countries to support the application to certification schemes of such concepts as:
 - (i) Open access and non-discrimination in respect of all types of forests, forest owners, managers and operators;
 - (ii) Credibility;
 - (iii) Non-deceptiveness;
 - (iv) Cost-effectiveness;
 - (v) Participation that seeks to involve all interested parties, including local communities;
 - (vi) Sustainable forest management;
 - (vii) Transparency;
- (d) Invited relevant organizations, in accordance with their mandate, to carry out further studies on various aspects of voluntary certification and labelling schemes, including:
 - (i) Effectiveness in promoting sustainable forest management;

- (ii) The relationships between various criteria and indicator frameworks and certification;
- (iii) Issues relevant to the development, implementation, promotion, equivalency and mutual recognition of voluntary certification and labelling schemes, and the role of government in that context;
- (iv) The special needs of local communities, other forest-dependent populations and owners of small forests;
- (v) The need to monitor practical experience with certification, including accreditation processes;
- (vi) The development of consistent terminology;
- (vii) The impacts of such schemes on the relative competitiveness of forest goods and services in the absence of equivalent schemes for substitutes;
- (viii) The needs of countries with low forest cover;

- (e) Invited countries to consider the relevance to certification schemes of the Centre for International Forestry Research project on criteria and indicators for sustainable forest management;
- (f) Urged countries and relevant international organizations dealing with trade in forest products to bring the current trends on certification into perspective, and to promote comparability and avoid duplication of efforts among various voluntary certification and labelling schemes;
- (g) Called upon countries and relevant agencies to make arrangements for and support an exchange of information and experience on certification and labelling schemes, in appropriate forums, to ensure transparency on an ongoing basis.

Proposals for action on full-cost internalization

134. The Panel:

- (a) Called upon countries and relevant international organizations concerned with forestry and trade to explore ways and means to establish full cost internalization of both wood products and non-wood substitutes, and to undertake market and economic analyses of their implications for forest management and development costs and for sustainable forest management. Such analyses should also examine the potential cost and benefits of improved efficiency and sustainability at all levels of the forest industry;
- (b) Drawing upon the work being carried out by countries and relevant international organizations, encouraged the sharing of information on research findings and experiences concerning the implementation of full cost internalization and its application to sustainable forest management, and relevant policy mechanisms.

Proposals for action on market transparency

135. The Panel:

- (a) Called upon relevant international organizations and national institutions to expand their work on market transparency for trade in forest products and services, and to include the possible development of a global database;
- (b) Invited countries to provide an assessment and share relevant information on the nature and extent of illegal trade in forest products, and to consider measures to counter such illegal trade.

V. International organizations and multilateral institutions and instruments, including appropriate legal mechanisms

Conclusions

136. The Panel recognized the need to strengthen coordination among international organizations and multilateral institutions in order to provide a holistic and balanced approach to all types of forests. The Panel also recognized that a number of international instruments and institutions deal with specific aspects of or matters closely related to forests, as well as with matters in other sectors that may directly affect forests. At the same time, the Panel acknowledged that, at present, no single multilateral body, organization or instrument has either a mandate or capacity to address, in a balanced, holistic and mutually reinforcing way, all issues that are currently on the international agenda with respect to all types of forests.

137. The Panel noted that it has provided a very useful forum for examining a wide range of international forest issues in a holistic, integrated and cohesive manner, and for building consensus in a number of areas. The work of the informal high-level Inter-Agency Task Force on Forests, which was established to support the Panel, was commended as an example of effective inter-institutional collaboration. That informal arrangement has proven to be flexible and effective, has provided an opportunity for outreach beyond the United Nations system, and could easily involve other institutions in the future.

138. The Panel noted the need for enhanced international efforts in a number of interlinked forest-related areas, including effective governance of international institutions, organizations and instruments dealing with forest issues; improved mechanisms for focusing, coordinating and monitoring the activities undertaken by agencies and to implement instruments on international forest-related issues; improved participation of major groups in forest-related forums and processes to promote sustainable forest management; strategic data collection and analysis; projects to strengthen capacity-building, technology transfer and exchange, and human resource development, in particular at the national and field levels; improved coordination between international and bilateral funding agencies; and more focused and effective funding for and coordination of research and development in priority areas concerned with sustainable forest management.

139. The Panel agreed that forest-related international, regional and bilateral agencies and organizations, existing legal instruments, financial and trade institutions and treaty bodies should mobilize their respective strengths and capacities in implementing the proposals for action in the Panel's report, and should further promote policy dialogue, consensus-building and international cooperation, recalling Agenda 21 and paragraph 10 of the Forest Principles. More still needs to be done to clarify mandates, define capacities and address overlaps, gaps and areas that need enhancement. Forest-related activities should be made more transparent, effective and flexible, and should provide for effective participation of and collaboration among all interested parties and major groups. The benefits of regional approaches should be fully explored.

140. The Panel noted that there are existing international legally binding instruments that are relevant to forests, such as the Convention on Biological Diversity, the Convention to Combat Desertification, the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the International Tropical Timber Agreement, the United Nations Framework Convention on Climate Change, and the Convention on Wetlands of International Importance, Especially as Waterfowl Habitat. Those instruments address forest-related issues in a specific context, embody the concept of sustainability, and address many cross-cutting issues that are relevant to forests, such as financial resources, technology transfer, trade, and traditional knowledge. They do not deal comprehensively with all issues relating to forests, including sustainable forest management. Some delegations considered that trade in products from all types of forests also need further consideration in a legal instrument.

141. The Panel recognized the importance of addressing forests in a holistic way at the regional and national level, and noted the several regional and international initiatives and regional mechanisms that have been launched by like-minded countries outside the United Nations system framework to promote the national implementation of improved forest management. Particularly notable are several initiatives related to developing and implementing criteria and indicators for sustainable forest management, in which more than 130 countries now participate.

142. The Panel noted that there is no global instrument that deals in a comprehensive and holistic way with all types of forests. The Panel agreed that in order to achieve the management, conservation and sustainable development of all types of forests it is necessary to deal coherently with all the interrelated social, cultural, economic, trade, environment, development, production, financial and technology issues that have a concrete impact on those objectives. The Panel recognized the need to address, in an integrated manner, such issues as trade, market access and transparency, economic, environmental and social policies that directly or indirectly affect the forest sector, private investment, financial resources and the transfer of technology.

143. The Panel recommended that the holistic and balanced approach to intergovernmental forest policy dialogue and consensus-building, as launched by the Commission through the establishment of the Panel, should be continued and enhanced. That continued intergovernmental policy dialogue on forests, which could include a high-level component, should promote and facilitate, in a transparent and participatory manner, a holistic consideration of all relevant forest-related issues, and should ensure balanced treatment of all types of forests based on the principles of common but differentiated responsibilities of all countries and the sovereign right of States over their natural resources, as contained in principles 2 and 7 of the Rio Declaration on Environment and Development and paragraphs 1 (a) and 2 (a) of the Forest Principles.

Proposals for action

144. The Panel urged international organizations, in cooperation with countries, to support and implement its proposals for action.

145. The Panel called upon the appropriate international institutions and organizations to continue their work in the informal high-level Inter-Agency Task Force on Forests, under the chairmanship of FAO as task manager for chapter 11 of Agenda 21, focusing on the proposals for action recommended by the Panel, in accordance with their respective mandates and comparative advantage, and proposed that the Task Force, in a transparent and participatory manner, undertake further coordination and explore means for collaboration and coherent action at the international, regional and country levels, in support of any continuing intergovernmental dialogue on forests.

146. The Panel called on countries:

- (a) To support the work on forest-related issues undertaken by international and regional organizations and agencies and under relevant instruments;
- (b) To clarify the mandates of the relevant international institutions and organizations related to forest issues, inter alia, through their respective governing bodies, in order to improve integration and coordination of their efforts and to guide the activities of each organization to areas in which they can be most effective;
- (c) Through the respective governing bodies, to work to eliminate waste and duplication, thereby using available resources in an efficient manner;
- (d) To guide relevant international and regional institutions and those administering instruments, through their governing bodies, to accelerate incorporation into their relevant work programmes of the forest-related results of UNCED and of further progress achieved since then, and of the proposals for action recommended by the Panel;
- (e) To support activities related to the management, conservation and sustainable development of all types of forests.

147. The Panel examined a number of options for action at the intergovernmental level to continue the intergovernmental policy dialogue on all types of forests and to monitor progress in and promote the implementation of the Panel's proposals for action. It proposed the following options, which were not necessarily seen to be mutually exclusive:

- (a) To continue the intergovernmental policy dialogue on forests and the consideration of all aspects and programmes aimed at the management, conservation and sustainable development of all types of forests in a holistic manner within existing forums, such as the Commission, FAO and their respective institutional structures, as well as other appropriate international organizations, institutions and instruments;
- (b) To continue the intergovernmental policy dialogue on forests through the establishment of an ad hoc open-ended intergovernmental forum on forests

under the auspices of the Commission, with a focused and time-limited mandate, charged with, *inter alia*, reviewing, monitoring and reporting on progress in the management, conservation and sustainable development of all types of forests, promoting and monitoring the implementation of the Panel's proposals for action, and either:

- (i) On that basis, considering and advising on the need for other arrangements and mechanisms, including legal arrangements covering all types of forests, and reporting on those matters to the Commission at the appropriate time in its work programme, which has yet to be defined;

and/or:

- (ii) Preparing the basis and building the necessary consensus for a decision to negotiate and elaborate possible elements of a legally binding instrument, reporting to the Commission in 1999 on its work;
- (c) To carry forward intergovernmental policy action on forests through the establishment, as soon as possible, under the authority of the General Assembly, of an intergovernmental negotiating committee on a legally binding instrument on all types of forest, with a focused and time-limited mandate.

148. The Panel also examined numerous detailed suggestions on the mandate and programme of work under the above options; these were noted by the Secretariat for future reference and consideration, and will be included in a forthcoming compilation.

149. The Panel recommended that the options contained in paragraph 147 (b) and (c) above, if endorsed, should be serviced by a small secretariat within the secretariat of the Commission in the Department for Policy Coordination and Sustainable Development of the United Nations Secretariat, and should be supported by the Task Force.

VI. Adoption of the report of the panel on its fourth session

150. At its 7th meeting, on 21 February 1997, the Panel had before it the draft report on its fourth session (E/CN.17/IPF/1997/L.1), as well as a number of informal papers.

151. At the same meeting, the Working Group took note of the informal papers and adopted its report.

VII. Organizational and other matters

A. Opening and duration of the session

152. The Ad Hoc Intergovernmental Panel on Forests of the Commission on Sustainable Development held its fourth session from 11 to 21 February 1997, in accordance with Economic and Social Council decision 1996/230. The Panel held seven meetings (1st to 7th meetings).

153. The session was opened by one of the Co-Chairmen, Sir Martin Holdgate (United Kingdom of Great Britain and Northern Ireland). The other Co-Chairman, Mr. Manuel Rodri'guez (Colombia), also made an opening statement.

154. The Under-Secretary-General for Policy Coordination and Sustainable Development of the United Nations Secretariat made an introductory statement.

B. Election of officers

155. At the 1st meeting, on 11 February 1997, the Panel elected Mr. S. K. Pande (India) Vice-Chairman of the Panel for the fourth session, to replace Mr. M. F. Ahmed (India), who had retired.

156. The Bureau of the Panel comprised the following officers:

Co-Chairmen:

Sir Martin Holdgate (United Kingdom of Great Britain and Northern Ireland)
Mr. Manuel Rodri'guez (Colombia)

Vice-Chairmen:

Mr. Juste Boussienguet (Gabon)
Mr. S. K. Pande (India)

Mr. Anatoliy I. Pisarenko (Russian Federation)
157. As decided at the second session of the Panel, Mr. Juste Boussienguet also served as Rapporteur at the fourth session.

C. Agenda and organization of work

158. At the 1st meeting, on 11 February 1997, the Panel adopted its provisional agenda, as contained in document E/CN.17/IPF/1997/1, and approved its organization of work. The agenda was as follows:

1. Adoption of the agenda and other organizational matters.
2. Implementation of forest-related decisions of the United Nations Conference on Environment and Development at the national and international levels, including an examination of sectoral and cross-sectoral linkages.
3. International cooperation in financial assistance and technology transfer.
4. Scientific research, forest assessment and development of criteria and indicators for sustainable forest management.
5. Trade and environment in relation to forest products and services.
6. International organizations and multilateral institutions and instruments, including appropriate legal mechanisms.
7. Other matters.
8. Adoption of the report of the Panel on its fourth session.

159. Also at the 1st meeting, the Panel agreed to establish two in-session working groups, each to be chaired by one of the Co-Chairmen.

D. Attendance

160. The session was attended by representatives of 52 States members of the Commission on Sustainable Development. Observers for other States Members of the United Nations and for the European Community, rep-

resentatives of organizations of the United Nations system, and secretariats of treaty bodies, as well as observers for intergovernmental, non-governmental and other organizations also attended. The list of participants is contained in annex I.

E. Documentation

161. The Panel had before it the following documents:

- (a) Report of the Ad Hoc Intergovernmental Panel on Forests on its third session (Geneva, 9-20 September 1996) (E/CN.17/IPF/1997/2);
- (b) Note by the Secretariat transmitting a note by the Co-Chairmen of the Ad Hoc Intergovernmental Panel on Forests on elements of a draft report of the Panel on its fourth session (E/CN.17/IPF/1997/3);
- (c) Report of the Secretary-General entitled "Programme element V.1: International organizations and multilateral institutions and instruments" (E/CN.17/IPF/1997/4);
- (d) Report of the Secretary-General entitled "Options for follow-up to the work of the Intergovernmental Panel on Forests in relation to programme element V.2: Contribution to consensus-building towards the further implementation of the Forest Principles" (E/CN.17/IPF/1997/5);
- (e) Letter dated 15 January 1997 from the Permanent Representatives of Colombia and Denmark to the United Nations addressed to the Secretary-General, transmitting the results of the International Meeting of Indigenous and Other Forest-Dependent Peoples on the Management, Conservation and Sustainable Development of All Types of Forests (Leticia, Colombia, 9-13 December 1996) (E/CN.17/IPF/1997/6);
- (f) Letter dated 27 January 1997 from the Permanent Representatives of Sweden and Uganda to the United Nations addressed to the Secretary-General, transmitting the report of the Inter-Governmental Workshop of Experts on Sustainable Forestry and Land Use (Stockholm, 14-18 October 1996) (E/CN.17/IPF/1997/7);

- (g) Note by the Secretary-General transmitting the text of decision III/12 of the Conference of the Parties to the Convention on Biological Diversity (E/CN.17/IPF/1997/8);
- (h) Note verbale dated 5 February 1997 from the Permanent Representative of Japan to the United Nations addressed to the Secretary-General, transmitting the final report of the International Workshop on Integrated Application of Sustainable Forest Management Practices (Kochi, Japan, 22-25 November 1996) (E/CN.17/IPF/1997/9).

Notes

- 1/ Report of the United Nations Conference on Environment and Development, Rio de Janeiro, 3-14 June 1992, vol. I, Resolutions Adopted by the Conference (United Nations publication, Sales No. E.93.I.8 and Corrigendum), resolution 1, annex III.
- 2/ Ibid., annex I.
- 3/ Ibid., annex II.

Annex I

List of Participants

Members

Antigua and Barbuda

Australia

Tony Press, Peter Thomas, Gary Dolman, Rod Holesgrove,
Frank McKinnell, Mark Gray

Bahamas

Bangladesh

Anwarul Karim Chowdhury, M. Zillur Rahman, Muhammad Ali Sorcar

Belgium

Alex Reyn, Christian Lepage, Hugo Brauwiers

Benin

Fassassi A. Yacoubou, Alioune S. Aladji Boni, Rogatien Biao, Houssou Paul

Houansou

Bolivia

Maria Estela Mendoza

Brazil

Sergio Florencio, Enio Cordeiro, Antonio Fernando Cruz de Mello, Antonio
Carlos do Prado, Luiz Carlos Ros Filho

Bulgaria

Raiko Raichev, Zvetolyub Basmajiev

Burundi

Canada

Yvan Hardy, Jacques Carette, David Drake, Richard Ballhorn, Ralph Roberts,
Rosalie McConnell, Denis Chouinard, Denyse Rousseau, Victoria Berry,
Jacques Robitaille, Guy Lemieux, Peggy Smith, Martin von Mirbach,
Jean-Pierre Martel

Central African Republic

China

Qu Guilin, Su Wei, Zhou Goulin, Wang Qun

Colombia

Julio Londono Paredes, Manuel Rodriguez Becerra, Maria Andrea Alban,
Alvaro Jose Rodriguez

Djibouti

Egypt

Ethiopia

Finland

Birgitta Stenius-Mladenov, Pekka Patosaari, Taisto Hulmasalo, Manu Virtamo,
Elias Lähdesmäki, Markku Aho, Salla Korpela, Leena Karjalainen-Balk,
Anneli Sund, Erja Fagerlund, Heikki Granholm, Hannu Valtanen,
Timo Nyrhinen, Esko Joutsamo

France	Andre Grammont, Janie Letrot, Bernard Chevalier, Philippe Delacroix, Jean-Paul Lanly, Jean-Pierre Le Danff, Genevieve Rey Parfait Onanga-Anyanga, Juste Boussienguet, Athanase Boussengue, Andre Jules Madingou, Guy-Marcel Eboumy
Germany	Wolfgang Runge, Ulrich Hoenisch, Rainald Roesch, Hagen Frost, Peter Franz, Udo Vollmer, Peter Fahrenholtz, Christian Mersmann, Gerhard Dieterle
Ghana	Jack B. Wilmot, Edward Dwumfour, Messie Y. Amoah
Guyana	Samuel R. Insanally, Clayton Hall, George Talbot, Koreen Simon
Hungary	
India	
Indonesia	Nugroho Wisnumurti, Toga Silitonga, I. G. M. Tantra, Untung Iskandar, Benny H. Sormin, M. Slamet Hidayat, Wening Esthyprobo Moe'min, Bagas Hapsoro, Rudy Tarumingkeng
Iran (Islamic Republic of)	Mostafa Jabari, Esmail Tekieh Sadat
Ireland	
Japan	Takao Shibata, Toshikatsu Aoyama, Hiroaki Shinohara, Yutaka Tsunetomi, Takeshi Goto, Atsuo Ida, Shin Inoue
Mexico	Diana L. Ponce-Nava, Ulises Canchola
Mozambique	
Netherlands	Hans Hoogeveen, Ton van der Zon, Peter Schütz, Rob Velders, Jeroen Steeghs, Karin Wester
Pakistan	
Panama	Jorge E. Illueca, Ruth Decerega, Hernan Tejeira, Judith Cardoze
Papua New Guinea	Utula U. Samana, Dike Kari, Jimmy U. Ovia, Adam Vai Delaney
Peru	Fernando Guillen, Amalia Torres, Italo Acha
Philippines	Felipe Mabilangan, Jose De Malvas, Cecilia B. Rebong, Glenn F. Corbin
Poland	Tadeusz Strojwas, Kazimierz Rykowski, Lucyna Lundorff
Russian Federation	Anatoliy I. Pisarenko, Eugeny P. Kuzmichev, N. V. Chulkov, A. P. Kornienko, Valentin V. Strahov, I. P. Bulafni, V. M. Zimianin, V. A. Nebenzia, A. A. Pankin, A. V. Davidenko
Saudi Arabia	
Senegal	Abdoulaye Kane
Slovakia	Juraj Balkovic, Alexander Carny, Milan Dubcek

Spain	Arturo Laclaustra, Francisco Rabena, D. Ramiro Puig, Marta Betanzos
Sudan	Hassan Osman Abdelnur
Sweden	Hans Lundborg, Astrid Bergquist, Susanne Jacobsson, Ulf Svensson, Linda Hedlund, Gunnar Nordanstig, Reidar Persson, Stefan Wirten, Jan Sandstrom
Switzerland	Pierre Muehlemann, Manuela Jost Ernst, Werner Hunziker, Monika Linn Locher, Livia Leu
Thailand	Apiwat Sretarugsa, Arunrung Phothong
Ukraine	Tetyana V. Gardashchuk, Volodymyr M. Reshetnyak
United Kingdom of Great Britain and Northern Ireland	Sir John Weston, Sir Martin Holdgate, Peter Gooderham, Victoria Harris, Jill Barrett, Penny Brooke, Anthony Smith, John Hudson, Michael Dudley, David Bills
United States of America	Mark Hambley, Stephanie Caswell, Robert McSwain, Kathryn Shippe, Jan McAlpine, Mary Coulombe, Douglas Kneeland, Michael Hicks, Franklin Moore, Adela Backiel, Joseph Ferrante, Wendy McConnel, Julia Jack, Marvin Brown, Gary Cook
Venezuela	Luis Castro Morales, Isabel Bacalao-Roner, Samuel Mendoza, Judith Musso Q, Sulenma Ramirez, Luis Fernando Perez-Segnini, Lisette Hernandez
Zimbabwe	

States Members of the United Nations represented by observers

Algeria, Argentina, Armenia, Cameroon, Chile, Costa Rica, Co[^]te d'Ivoire, Cuba, Cyprus, Czech Republic, Denmark, Ecuador, Greece, Guatemala, Israel, Italy, Latvia, Lebanon, Madagascar, Malaysia, Morocco, New Zealand, Nicaragua, Norway, Portugal, Republic of Korea, Romania, Saint Lucia, Samoa, Slovakia, South Africa, Togo, Turkey, Uganda, Uruguay, Yemen

Entities represented by observers

European Community

United Nations:

United Nations Environment Programme

Specialized agencies

Food and Agriculture Organization of the United Nations, United Nations Educational, Scientific and Cultural Organization, World Bank, International Monetary Fund, World Trade Organization

Secretariats of treaty bodies

Convention on Biological Diversity

Intergovernmental organizations

International Tropical Timber Organization, Organisation for Economic Cooperation and Development

Non-governmental organizations

General consultative status with the Economic and Social Council

Franciscans International,
World Wide Fund for Nature International

Special consultative status with the Council

Forest Alliance of British Columbia,
Greenpeace International,
International Indian Treaty Council,
International Union for Conservation of Nature and Natural Resources

On the Roster of the Council or accredited to the Commission on Sustainable Development

Canadian Pulp and Paper Association, Center for International Environmental Law (CIEL), Centre for Science and Environment Cousteau Society, Cultural Survival Canada (Amazon Coalition), Deutscher Naturschutzring (DNR), Environment Investigation Agency, Friends of the Earth (FOE), Fundacio'n Natura, Fundacio'n Peruana para la Conservacio'n de la Naturaleza, International Hardwood Products Association, International Institute for Sustainable Development, Scottish Environmental Forum, SERVAS International, Sierra Club, Survival International Ltd., Third World Network, United Nations Association of the USA, UNED-UK/United Nations Environment and Development - United Kingdom Committee, World Conservation Monitoring Centre

Annex II

List of Government-sponsored initiatives in support of the intergovernmental panel on forests

International conference on certification and labelling of products from sustainable managed forests, sponsored by Australia (Brisbane, Australia, 26-31 May 1996)

International workshop on financial mechanisms and sources of finance for sustainable forestry, co-sponsored by Denmark, South Africa and UNDP (South Africa, 3-7 June 1996)

Expert consultation on implementing the Forest Principles: promotion of national forest and land-use programmes, sponsored by Germany (Feldafing, Germany, 17-21 June 1996)

International expert meeting on rehabilitation of degraded forest ecosystems, co-sponsored by Cape Verde, Portugal, Senegal, the European Community and FAO (Lisbon, 24-28 June 1996)

Expert meetings on forests on the theme "Overview on international organizations, institutions and instruments related to forests", co-sponsored by Switzerland and Peru (Geneva, 5-8 March and 24-28 June 1996)

Expert group meeting on trade, labelling of timber and certification of sustainable forest management, co-sponsored by Germany and Indonesia (Bonn, 12-16 August 1996)

Intergovernmental seminar on criteria and indicators for sustainable forest management, sponsored by Finland (Helsinki, 19-22 August 1996)

A study sponsored by the Government of Norway, entitled "Long-term trends and prospects in supply and demand for wood products, and possible implications for sustainable forest management", culminated in a report entitled "Long-term trends and prospects in wood supply and demand for wood, and implications for sustainable forest management a synthesis"

Expert meeting on sustainable forestry and land use on the theme "The process of consensus-building", co-sponsored by Sweden and Uganda (Stockholm, 14-18 October 1996)

International workshop on integrated application of sustainable forest management practices, co-sponsored by Japan, Canada, Malaysia, Mexico, FAO and ITTO (Kochi, Japan, 22-25 November 1996)

International meeting of indigenous and other forest-dependent peoples on the conservation and sustainable management of forests, supported by the Governments of Colombia and Denmark (Leticia, Colombia, 9-13 December 1996); the meeting was led by the International Alliance of the Indigenous-Tribal Peoples of the Tropical Forest, in cooperation with the Indigenous Council for the Amazon Basin.

