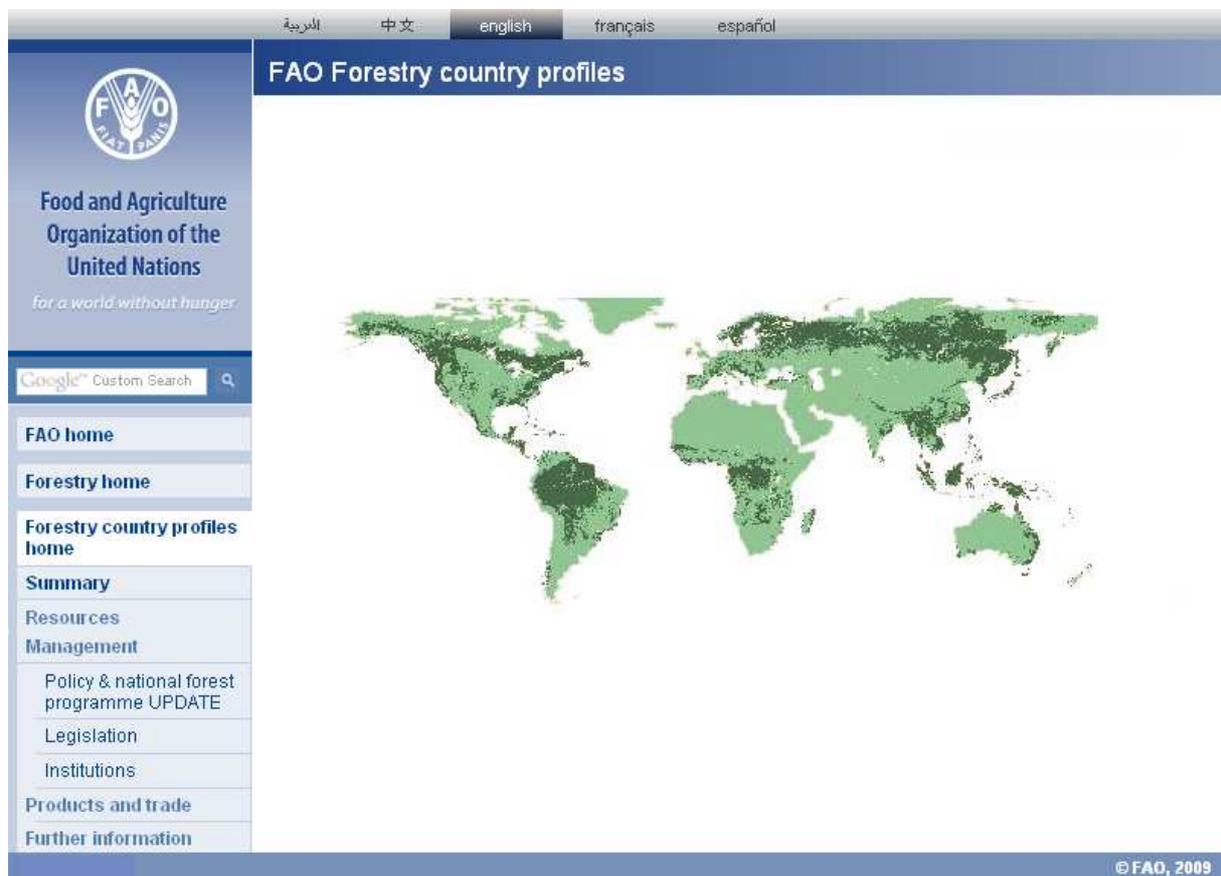


FAO Forestry Country Profiles



Collection, storage and dissemination of information related to the Political, Legal and Institutional frameworks.

Rapport de stage d'année optionnelle

Jérôme MAURICE
Promotion FIF 17
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Summary

Numerous international initiatives collect and use information related to the political, legal and institutional (PLI) frameworks of Sustainable Forest Management. There is a strong need to collect, store and display this information to enhance international exchanges and debates, as well as raising general public awareness. FAO began to collect *PLI* information with NFP-Update, and more recently, with the Forest Resources Assessment 2010, on a systematic way. FAO provides free access to this information on its Forestry Country Profiles website. In this document, we analyze first the technical efforts needed to integrate regional approaches to a global common database (ex : MCPFE), stressing the necessity to update the mechanisms of storing, displaying and up-dating this *PLI* information worldwide. Then we give an overview of the potential additional sources of *PLI* information, classifying them in categories of priorities and advising on how to start the processes of integration of these sources to a global information repository. An important number of annexes have been gathered in order to make this document an operational tool to continue the work already done.

Résumé

De nombreuses organisations collectent et utilisent de l'information sur les cadres politiques, légaux et institutionnels (PLI) de la Gestion Durable des Forêts. Il est nécessaire de collecter, stocker et délivrer cette information pour alimenter les débats et échanges internationaux, ainsi que pour répondre au besoin d'informer le grand public. La FAO collecte ces informations *PLI* à travers le NFP-Update, et plus récemment, à travers l'Evaluation Globale des Ressources Forestières 2010, de manière plus systématique. FAO permet également d'accéder à ces informations gratuitement sur son site web « Forestry Country Profiles ». Le document présent analyse en premier lieu les efforts techniques qui ont été réalisés pour intégrer des approches régionales à cette base de données globale (ex : MCPFE), insistant sur le besoin de mettre à jour les processus d'accès, de mise-à-jour et de stockage de l'information *PLI*. La deuxième partie de ce document traite des différentes sources d'informations additionnelles et potentiellement intégrables à un recueil d'information mondial. Les annexes nombreuses en font un document opérationnel pour poursuivre les travaux déjà engagés sur ces questions.

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Acronyms

ATO	African Timber Organization
C&I	Criteria and Indicators
CBD	Convention on Biological Diversity
CIFOR	Centre for International Forestry Research
CILSS2	Permanent Interstate Committee for Drought Control in the Sahel
COST	European Cooperation in Science and Technology
CP	Country Profiles
CPF	Collaborative Partnership on Forests
EPR	Environmental Performance Review
FAO	Food and Agriculture Organization of the United Nations
FLEG	Forest Law Enforcement and Governance
FMU	Forest Management Unit
FOWECA	Forestry Outlook Study for Western and Central Asia
FRA	Forest Resources Assessment
GEF	Global Environment Facility
GLIN	Global Legislation Information Network
ICRAF	World Agroforestry Centre
IFF	International Forum on Forests
IGADD	Inter-Governmental Authority on Drought Control and Development
IPF	International Panel on Forests
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
IUFRO	International Union of Forestry Research Organizations
MCPFE	Ministerial Conference on the Protection of Forests in Europe
MP	Montreal Process
NFP	National Forest Programme(s)
NLBI	Non Legally Binding Instrument
PCI	Principles, Criteria and Indicators (for Sustainable Forest Management)
PLI	Political, Legal and Institutional (frameworks)
SADC	Southern African Development Community
SFM	Sustainable Forest Management
TAC	Technical Advisory Committee
ToS	Team of Specialists
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Program
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
WB	World Bank
WG	Working Group

Introduction

Policies, Laws and Institutions (PLI) are essential to develop the forestry sector worldwide and to support Sustainable Forest Management. It is necessary to collect, organize and store information of this kind in order to facilitate the international debates at global and regional scales. Various initiatives have been undertaken in the (recent) past by numerous international stakeholders of the world forestry sector to inform about the *PLI* frameworks.

An illustration was given by the Working Group on Criteria and Indicators for the Conservation and Sustainable Management of Temperate and Boreal Forests ("Montreal Process") who, consecutively to the 1992 Earth Summit, developed a set of Criteria and Indicators, not only used to monitor and assess national trends in forest conditions and forest management, but also to provide information essential to the formulation of policies that promote SFM.

Developing robust political, legal and institutional frameworks ideally includes setting up inter-sectorial measures promoting forestry as a major societal concern. National forest programmes, for example, support countries to lead and steer their forest policy development and implementation processes in a participatory and inter-sectorial way. National forest programmes aim at improving the political, legal and institutional frameworks of the forestry sector, on behalf of the Sustainable Forest Management.

Currently a large panel of institutions provide information on the forestry *PLI* frameworks. It is under FAO's responsibility to gather, analyse and disseminate forest-related information and knowledge of all kinds. Whereas the others six forestry thematic elements of SFM are well covered worldwide, the seventh element (*Policies and Institutions*) is less documented *in a systematic way*. In the particular context of the *PLI* frameworks, it is therefore necessary to identify all sources of information. FAO started to collect this information from various internal initiatives (FRA2010, nfp-UPDATE...) and seeks also to collect information from external sources.

This document tries to give an understanding on the on-going process of collecting information related to the *PLI* frameworks in FAO. The first part of this study targets the work already realized to collect, organize and store *PLI* information within FAO. The second part gives an overview of the major sources of information that provide information related to the political, legal and institutional frameworks in the forestry sector.

1 The actual “State of the Art” in collecting information related to the *PLI* frameworks within FAO.

1.1 *PLI* Information at global level.

1.1.1 What information related to the *PLI* frameworks is FAO gathering?

To promote forestry issues, success and experiences in the forestry sector, it is highly important to collect data describing the evolution of the *PLI* frameworks at the national level and to disseminate it at larger scales. FAO is collecting national information but often this information has to be generated. Qualitative information is provided as text and difficult to store and update. In this context, information has to be simple and standardized, so that it becomes easier to make comparisons and connexions between different countries and situations. Consistently with these assumptions, FAO collected information related to the *PLI* frameworks according to the following outlines.

1.1.1.1 Information on Policies:

This information is related to the *formulation* and the *implementation* of forest policies at the national level, taking into account the intersectoriality and participative approach. The nature of these data is multiple:

- existence and characteristics of the national forest policy *statements* (names and references to the *document* as well as year of endorsement and name of the endorsing official body, if any);
- *objectives* of the national forest policy and guiding *instruments* and *principles* for policy implementation;
- *links* to national websites where additional resources can be found.

A complementary description of the *National Forest Programmes* (or similar processes) in the country is addressed, highlighting:

- the existence and current status of the nfp;
- the name, starting year, main *characteristics* of the nfp process and its *chronology* as well as the reference to the *document(s)* and *links* related and website if (any);
- the *coordination mechanism* leading the process and the *evaluation matrix* of the nfp, if available.

Additional information on the *international commitments* (agreements, processes...) regarding the forestry policy formulation and implementation in the country or including these issues in a broader context (for example, “Forests and Water”, “Forests and Climate Changes”...) is also tackled through:

- the *priorities* and *measures* taken in the forest-related international commitments;
- the *links* to the national reports elaborated in this framework, if any.

1.1.1.2 Information on Legal frameworks:

This information is related to the legal *document(s)* - Forest Law, Act or Code – as a policy instrument - that might exist in the country:

- the name, reference, year of enactment and latest amendment of this document(s)
- the main changes and evolution from the previous document

- the links to national websites and to the FAOLEX¹ database

An additional short description of the main *characteristics of the legal and regulatory frameworks* is also tackled.

1.1.1.3 Information on Institutions:

Information on Institutions address the institutional capacities related to SFM. This information tackles the *public organization(s)* responsible for policy formulation, policy making, forest management and forest law enforcement as well as the main *private organization(s)* – associations, interest groups - involved in forest policy formulation.

It is accompanied by a short description of the *main characteristics of the institutional frameworks* and the *forest policy coordinating mechanism(s)*.

An indication on the amount of *human resources within public forest institutions* according to gender and university degrees across time is also provided.

1.1.1.4 Complementary information:

FAO collected also *PLI* information focusing on *Forestry Research and Education*, especially on the *policy objectives* of this area, the legal or reference *documents* supporting it, the *instruments* to achieve these objectives, the relevant *institutions* - research institutes/centres, universities... - as well as the *human resources* component of these sector in terms of number of graduate students and professionals working in forest research - or publicly funded forest research centres - since 2000, according to gender.

Information on *Economy and Finance* in the forestry sector was collected in order to indicate the contribution of the sector to government finances and government support for the forest sector through:

- a short description of the priorities and characteristics of forest-related economic policy and financial *instruments*, and the related official *documents*.
- estimations, across time, of the forest *revenues* and *total public expenditures* with regards to the *origin* of the funding (domestic or external), the *nature of the expenditure* (operational or transfer payment) and in case of transfer payments, the *motivating objective(s)* (reforestation, afforestation, forest inventory, biodiversity conservation, water and soil protection...).

Decentralization of policy-making and/or law-making has also been addressed. In case of decentralized forest-related competences, information on the nature of the *decentralized body* is inquired (regions, states, provinces...) and *documents* are provided.

1.1.2 Mechanisms to collect *PLI* information within FAO:

Collecting the above-quoted information on the *PLI* frameworks in FAO has started with the nfp-UPDATE initiative and, more recently, has been integrated to the FAO Global Forest Resources Assessment.

¹ FAOLEX database: Legal information on topics falling within FAO's mandate is received by FAO-Legal Office from Member Nations pursuant to Article XI of the FAO Constitution. This web database, available online, provides a direct access to abstracts and full legal texts. See also <http://faolex/faolex/index.htm>.

1.1.2.1 National forest programmes-UPDATE

The nfp-UPDATE is a questionnaire providing an overview of the on-going nfp process in a country who adopted the nfp approach. It is a national collect, which should be regularly updated (most recent updates “wave”: 2008¹) by national focal points on a voluntary basis. It is expected to be updated at least on a biennial basis. The information provided for each country is as described above but in addition, the following information dealing specifically to nfp is asked:

- the *contact details of the nfp national focal point, name and acronym* of the nfp process;
- a *description of the nfp coordination mechanism and chronology* of the whole process;
- an *evaluation matrix* assessing the current *status and progress* and identifying the areas that need improvement;
- information on national policies, legislations and institutions in the forestry sector, provided by the national focal points and forestry experts in some case. In addition to the previous outlines in collecting information in FAO, nfp-UPDATE tackles also:
 - *Legal frameworks*: national laws and regulations impacting the forestry sector in addition to the pure forestry sector’s regulations, international conventions relevant for forestry signed by the country;
 - *Institutions*: mandate of the forest administration, organization charts, forestry extension and outreach services...

1.1.2.2 Global Forest Resources Assessment 2010

The Global Forest Resources Assessment (FRA) is a 5-years-step global survey based on country reporting and covering the thematic elements of Sustainable Forest Management. For the first time, FRA 2010 will cover the seven thematic elements of SFM, including thus information related to *Policies, Legal frameworks and Institutions*. It will also address - among others - forest-related information needs for monitoring progress towards the 2010 Biodiversity Target of the Convention on Biological Diversity (CBD), the Global Objectives on Forests of the United Nations Forum on Forests (UNFF) and the Millennium Development Goals.

For each country, a questionnaire based on tables permits to collect standardized information. Tables 14 to 17 (Annex 1) deal with information related to the forestry *PLI* frameworks. Table 14 addresses the political and legal frameworks, table 15 addresses the institutional frameworks, table 16 addresses the forestry-related Research and Education sector and table 17 tackles the forest-related Public revenues collection and expenditures. This information is collected following the general outlines described above (§1.1.1).

One of the added values in FRA is the identification and recalling of all terms and definitions that are employed for each table: it generates stable information, allowing comparisons and analysis of evolution across the time. To avoid the collection of non-sense information and facilitate the global reporting process, the information is mainly collected through simple questions (Yes/No are the answers). Therefore, FRA questionnaire is considered “closed”.

1.1.3 Mechanism to store information: FAO Forestry Country Profiles (website)

Information collected in nfp-UPDATE and FRA are displayed on the **FAO Forestry Country Profiles** website². This section is free to access and is aiming at offering all

¹ <http://www.fao.org/forestry/30514/en/>

² <http://www.fao.org/forestry/country/en/>

information collected by FAO on the forestry sector. Four major sections structure the actual Forestry Country Profiles:

- Resources;
- Management;
- Products and Trade;
- Further Information.

The information provided in these sections comes mainly from the FRA programme and Yearbook, except the information related to the *PLI* frameworks, which has been prepared by consultants (until 2004).

The *Management* section provides the information on the *PLI* frameworks. The data regularly collected in the frame of the nfp-UPDATE are provided under the sub-section “Policy & national forest programme UPDATE”. Until now, national correspondents provided information on the legal frameworks - main forestry laws and regulations, either enacted or under development, significant legal instruments pertaining to sectors having a bear on forestry, legal papers from the joint ECOLEX database – and on the institutional frameworks - main forestry and forest-related public bodies operating at the national and local level, decentralization processes and structures, when available, major national and sub-national stakeholders outside the public sector.

This old organization, gathering the information on the *PLI* frameworks in a “Management” section remains confusing and thus has to be rebuilt. Moreover, the structure of the Forestry Country Profile will have to take into account a new flux of information coming from FRA 2010. The final objective is to convert this actual Country Profile into a Global Repository, integrating more regional approaches and storing a high amount of qualitative information related to the *PLI* frameworks.

1.2 Integrating regional *PLI* information into global set up

1.2.1 Integration of regional issues - UNECE/FAO joint-effort to integrate MCPFE reports on qualitative indicators for SFM:

1.2.1.1 Background:

FAO already disposed of mechanisms to collect and store global data. Additional sources of information on the *PLI* frameworks exist also outside FAO:

- *regional approaches*, often based on Criteria & Indicators processes.
- *national forestry websites* presenting *PLI* frameworks regularly updated
- *ad-hoc information* collected during workshops and meetings, additional publication and studies realized by others forestry institutions

Integrating these external sources of information into the Forestry Country Profiles remains an opportunity to gather the most comprehensive and complete set of data related to Policies and Institutions with a global scope ever. However, some strong efforts will be required to harmonize all these data, due to the various types and approaches used to collect and disseminate the information related to the *PLI* frameworks.

In the following, we describe the UNECE/FAO joint-effort to integrate information collected in the frame of the Ministerial Conference for the Protection of Forests in Europe (MCPFE) related to the *PLI* frameworks into the FAO Forestry Country Profiles. This first attempt was an opportunity to analyze more in details what are the requirements to gather information of different nature, from different sources, with different approach and scope, into a unique, global, comprehensive and relevant Forestry Country Profile. The potential sources of

information that could implement the **Global Repository** are summarized in part II of this report.

1.2.1.2 Methodology:

The MCPFE is a voluntary forest policy process addressing common forest policies issues for Europe and promoting the protection of forests and Sustainable Forest Management through participation, open cooperation and commitments adopted at the ministerial level. At the operational level, MCPFE promotes sustainable forest management by the implementation, the application and if necessary the improvement of criteria and indicators for monitoring, assessing and reporting on the progress on sustainable forest management (see Vienna Declaration). The MCPFE decided to report on its qualitative indicators for Sustainable Forest Management¹ preparation for the 5th Ministerial Conference held in Warsaw (2007). Information on the implementation of the MCPFE commitments made since the Ministerial Conferences in Vienna (2003), Lisbon (1998), Helsinki (1993) and in Strasbourg (1990) was collected through this enquiry. Data related to the improved Pan-European Indicators for SFM were also collected. This information was gathered and analyzed in the MCPFE report on the “State of Forests and Sustainable Forest Management in Europe 2007”.

The improved Pan-European Indicators for SFM were collected into country reports, in two stages:

- the overall policies, institutions and instruments for SFM: national forest programmes or similar, institutional frameworks, legal/regulatory frameworks and international commitments, financial instruments/economic policy and Informational means.
- the policies, institutions and instruments by policy area: land use and forest area, Carbon balance, health and vitality, production and use of wood, production and use of non-wood goods and services, provision of especially recreation, biodiversity, economic viability, employment, research (+ training and education), public awareness and participation, and cultural and spiritual values.

A significant part of this information follows the general outlines described above (§1.1). However, the MCPFE reports present particularities that are useful to stress and to understand, in order to integrate this information into a broader dataset.

- MCPFE is a regional approach : the reports are developed on the basis of Pan-European Indicators
- MCPFE developed a set of policy areas addressing the inter-sectorial forestry issues.
- the political frameworks are addressed through the national forest programmes, which are processes and thus do not cover all the aspects of forestry policy (formulation, making, coordination...).
- most of the information is collected with short descriptions (max. 100 words): MCPFE questionnaire are considered to be “open” (as compared to the FRA 2010 questionnaire).

1.2.1.3 First results and highlighted issues:

There was a need to integrate the MCPFE data gathered in 2007, with their particularities, and also to prepare the integration of the future MCPFE inquiries. UNECE-Timber Section was in charge to elaborate the future MCPFE questionnaire for 2011. It was thus an opportunity for

¹ reports prepared by Austria, Belarus, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Netherlands, Norway, Poland, Romania, Russian Federation, Slovakia, Slovenia, Sweden, Switzerland, Ukraine and the United Kingdom. See <http://www.unece.org/timber/fra/mcpfe07qualcountryreport.htm>

FAO-HQ to work closely with UNECE-Timber Section and to find how to coordinate the collecting processes.

A major outcome of this partnership was to discuss and agree about a common database structure to collect, organize and store the *PLI* information collected either in FAO (mainly FRA and nfp-UPDATE) or in UNECE-Timber Section (mainly MCPFE). The ***PLI Country Profile*** (Annex 2) will be displayed on the main page of the FAO Forestry Country Profile website, on a user-friendly way and in direct access.

The actual FAO Forestry Country Profile is structured with tables. This organization has been adapted from the FRA tables in order to facilitate the implementation of the numeric data collected in the FRA questionnaires. Even if the information relative to the *PLI* frameworks is more qualitative than quantitative, the decision was taken to maintain the same structure in tables for the *PLI* Country Profile. A large part of the actual flux of information will be provided by FRA 2010, so that maintaining this tables-based structure will facilitate the implementation of data.

A reorganization of the Forestry Country Profile webpage was proposed. To the former four main sections (*Resources, Management, Products and Trade* and *Further Information*), three additional sections should be added:

- “*Political, legal and institutional frameworks*”, partly extracted from the Management section and containing new sub-sections as described in the general outlines paragraph A (see CP Tables);
- “*Research and Education*”, partly extracted from the Management section, Institutions sub-section, and reorganized according to the general outlines §1.1;
- “*Economy and Finance*”, fully new created section and organized according to the general outcomes §1.1.

To collect the information according to the previous proposals, it was necessary to create a document called *PLI Country Profile*. This document has been created in order to facilitate the database implementation. It is structured by two main sections: 1.*Policies and Institutions* and 2.*Research and Education*. *Economy and Finance* were disregarded in this document but will be taken into account in a complementary exercise.

Mechanisms, responsibilities, capacities and resources to maintain regularly up-to-date information must also be identified.

1.2.2 Coordination mechanisms at global and regional level

In the following, we indicated the coordination mechanisms leading the actual discussion on the *PLI* Country Profile and on issues related to the database: the UNECE/FAO Inter-secretariat coordination group on monitoring forest policies and institutions at the global level and the Team of Specialists on Forest Policy in Eastern Europe and Central Asia at the Pan-European level.

1.2.2.1 At global level: the UNECE/FAO Inter-secretariat coordination group on monitoring forest policies and institutions.

The basis for a coordinated work at global level on were set up at the first coordination meeting (Geneva, November 2006) between FAO Rome, FAO Budapest, UNECE and MCPFE, resulting in the creation of the *UNECE/FAO/MCPFE Intersecretariat Coordination*

Group on Monitoring Forest Policies and Institutions. The objective to develop a comprehensive and global information repository on forest policies and institutions was stated, and the following needs were identified:

- to have a common approach to terms and definitions among the partners of the Group;
- to define a common approach towards open and closed questions;
- to exchange information on on-going and future activities related to the collection of PLI information;
- to integrate web links to reliable, regularly and consistently updated information collected through existing networks.

The second coordination meeting took place in Rome (July, 2007) with the participation of the FAO Legal Office, highlighting the strong interest to integrate FAOLEX into the global repository of information. The decision was also taken to integrate the global repository of information into the FAO Forestry country profiles website. The elaboration of the global-datasets by FAO HQ was launched, as well as the elaboration of a pan-european dataset, integrated to the global one) by UNECE/FAO, FAO/SEUR in consultation with MCPFE.

The third coordination meeting was held in Rome (February, March 2009). The Group confirmed the objectives agreed at previous meetings and emphasized on the responsibilities for and validity of the information displayed on the FAO website through the Global Repository. The Updating processes were also questioned, as well as the capacities required to maintain such a global dataset. Further coordination with an enlarge circle of partners (organizations involved in similar processes) was highlighted.

1.2.2.2 The Team of Specialists on Forest Policy in Eastern Europe and Central Asia: an exchange platform between FAO, UNECE and countries at the European level:

1.2.2.2.1 Methodology:

The UNECE/FAO Team of Specialists on Forest Policy in Eastern Europe and Central Asia inaugural meeting took place in Budapest on March 2009. Why there is a need for ToS? The mandate of this ToS stresses, among others, the need for *improved forest information management and communication*, the *identification of emerging issues and facilitate dialogue and discussion on important policy and cross-sectorial aspects*, that are respectively the third and fourth objectives addressed to the ToS in their mandate (see the Mandate of the ToS, Annex 3). Amongst the major expected outputs of this ToS, the ToS has to *improve exchange of information and experiences on forest sector policies and institutions between countries* (output 2) and has to *raise awareness of existing forest policy information and networks* (output 4). In this concrete situation, the Country Profiles database was considered to be a possible tool that could help the ToS to reach, at least partially, these objectives and outputs. Consequently, the *PLI* Country Profile structure developed by the UNECE/FAO Inter-secretariat coordination group has been presented during the meeting. The concept, aiming at gathering different sources and different approaches into the same global and on-line database, has been presented to countries for the first time as well as the structure of the database. The need to take into consideration the countries advice was highlighted. All the participants received an empty *PLI* Country Profile in order to give comments, feedbacks and raise questions to the Inter-Secretariat coordination group. Moreover, 8 country profiles were

established before the meeting by the UNECE/FAO Inter-secretariat: Austria, Bulgaria, Czech Republic, Kirghiz Republic¹, Russia, Ukraine and Uzbekistan² (Annex 4).

1.2.2.2 Countries feedbacks and comments:

The participants appreciated the initiative and concept to gather all forest policy and institution information collected through various programmes into one P&I Country Profile form. They also expressed the need to translate the Country Profile into Russian. For the time-being, we received a more detailed feedback only from four countries: Macedonia, Lithuania, Bulgaria and Russia. The representatives stressed the need to harmonize terms and definitions because some terms might let a large place for individual interpretation (for example: “main characteristics of ...”, “coordination mechanism”, etc...). They also highlighted the presence of obsolete information and gaps, problems which have already been raised during the preparatory sessions. The question of the responsibility to fulfill the forms was also tackled, as the representatives considered that UNECE/FAO could provide a platform to display the information (the FAO website) but not fulfill the database. This task would be achieved by the countries themselves, ensuring that relevant and up-to-date information would be provided.

Thus, the participants who gave a feedback suggested to give more responsibilities to the countries in the fulfillment of the country profiles and to find a way to facilitate the transfer of information from the national websites to the database. In a general manner, the participants were in favor to strengthen the links between the FAO website and the national websites, considered as the best source of information. They also expressed the need to see more coordination between the different agencies collecting information at both global and regional scale. Some participants proposed to review more in details the structure of the database and its contents and send additional comments later on. Additional resources and capacities required to fulfill the profiles has not yet been raised.

1.2.2.3 Perspectives for this collaboration:

In the context of the Team of Specialists on Forest Policy in Eastern Europe and Central Asia, the Country Profile tables need to be translated into Russian in order to facilitate Russian-speaking countries to provide feedback and comments. Regarding a potential mechanism to update the *PLI* Country Profile, several participants (Bulgaria, Lithuania and Macedonia) suggested that all ToS members be requested to update the Country Profile when they are invited to attend the ToS meetings.

In the following we will make an overview of the major sources of information related to the political, legal and institutional frameworks of the forestry sector.

^{1,2} Non-MCPFE countries

2 Overview of the sources of information related to the *PLI* frameworks worldwide

2.1 Organisations developing regional approaches based on Criteria and Indicators for SFM

2.1.1 Organisations with high potential of collaboration

2.1.1.1 The Montreal Process¹

Member countries: Argentina, Australia, Canada, China, Japan, the Republic of Korea, Mexico, New Zealand, the Russian Federation, the United States of America and Uruguay.

The member countries represent about 60% of the world's forests and about 90% of the world's temperate and boreal forests in the northern and southern hemispheres.

The 1992 United Nations Conference on Environment and Development (UNCED), also called “**Earth Summit**”, called upon all nations to ensure sustainable development, including the sustainable management of all types of forests. In 1993, following UNCED, Canada held a seminar in Montreal known as the **International Seminar of Experts on Sustainable Development of Boreal and Temperate Forests**, sponsored by the Conference on Security and Cooperation in Europe (CSCE). During this event, international experts focused on the possibility to measure progress towards SFM through a set of criteria and indicators. European countries, under the framework of the MCPFE, decided to work as an autonomous region.

Subsequently, an initiative was launched among non-European temperate and boreal countries to develop and implement internationally agreed criteria and indicators for SFM. The first meeting of the **Working Group on Criteria and Indicators for the Conservation and Sustainable Management of Temperate and Boreal Forests** took place in Geneva in 1994: the **Montreal Process** started.

The ten original member countries met in 1995 in Santiago (Chile) where they endorsed the so-called “**Santiago Declaration**”. Argentina and Uruguay joined the group later on in 1995, bringing the number of member countries up to twelve. The countries agreed on a comprehensive set of seven criteria and 67 indicators stated in the declaration. This declaration is also an important step for the implementation of the UNCED Forest Principles and Agenda 21, as well as in furthering the joint commitment made by tropical timber consumer countries in January 1994 to the goal of achieving sustainable management of their respective forests by the year 2000.

The group works, through a policy level **Working Group** (WG) and a **Technical Advisory Committee** (TAC), to advance the development and implementation of internationally agreed criteria and indicators for the conservation and sustainable management of temperate and boreal forests (outside Europe) at the national level. The Technical Advisory Committee is an ad-hoc and task-oriented group. It provides advice on technical matters, originally related to three areas of work: the definition of terms, the examination of the use of forest types to characterize biodiversity, and the development of approaches to collect data for an identified

¹ <http://www.rinya.maff.go.jp/mpci/>

set of indicators. The TAC works between the WG meetings in order to think specific tasks assigned by the WG over. TAC members are representatives from each member country. The work of the TAC, including the development of the revised indicators, is coordinated and facilitated by the TAC Convenor, currently hosted by the Government of New Zealand. Regarding the set of Criteria and Indicators, the TAC proposes indicators that are reviewed and discussed by the Working Group. Countries then develop methodologies for data collection.

Country representatives from the WG and TAC are forests experts – scientists, policy advisers and officials - from various ministries in charge of forests and/or land (agriculture, natural resources...), State forests services, research and technical national institutes, academies... Montreal Process website provides a detailed list of contacts for each member country (free access) and for the actual TAC Convenor.

The Montreal Process **Criteria and Indicators** provide a source of reference information for legislators, policy makers, resource managers and concerned citizens. The criteria function on the assumption that a nation cannot achieve forest sustainability without the support and understanding of its public. Taken together, the Criteria and Indicators provide a mutual understanding and implicit definition of what is meant by sustainable forest management. They are tools for assessing national trends in forest conditions, and they provide a common framework for describing, monitoring and evaluating progress toward sustainability. It is important to note that the Criteria and Indicators are not performance standards for certifying management or products at any level. Criteria and Indicators within the Montreal Process provide to the member countries a common definition of SFM characteristics. The Criteria emphasize on the values that the public attach to its forests. The Indicators, describing the Criteria, provide means for measuring and monitoring environmental, economic, social conditions that are needed in the forests and to highlight their necessary evolution or changes.

Criterion 7, related to the *PLI* frameworks, provides an action framework for Criteria 1 to 6 aiming to achieve SFM good governance, laws and institutions, transparency, participatory processes as well as institutions capacity to create knowledge, to implement and enforce laws, to develop and coordinate policies, deliver program and services. This information enhances public awareness and knowledge sharing on SFM.

The first reporting session was conducted between 1995 and 2003. The national reports provide information aiming to improve public dialog and decision-making on what outcomes are desired and what actions are needed to achieve SFM at national level. This first reports established a baseline for future progress measurement towards SFM. On the basis of these reports, an **Overview Report of the First Montréal Process Forest Report (2003)**¹ was compiled.

This first reports were based on Criteria 1 to 6, whereas Criterion 7 was not taken into consideration. On the basis of the Criteria 1 to 6 and the related set of indicators, individual **national reports**² have been provided in 2003. A second set of revised Criteria and Indicators has been elaborated since. The second edition of the national reports – it is assumed that this edition will be delivered in 2010 – will take into consideration Criteria 7.

¹ http://www.rinya.maff.go.jp/mpci/rep-pub/2003/overview/report_2003.html

² http://www.rinya.maff.go.jp/mpci/rep-pub/2003/contents_e.html

Criterion 7 is related to the *PLI* frameworks. In 1995, the Working Group agreed to develop a set of indicators for the Criterion 7, but to report on these indicators only for the reporting period post-2003. The development of and agreement on the set of indicators for the criterion 7 was particularly time-consuming and difficult. During the 11th Montreal Process Technical Advisory Committee Meeting - held in August 2008, in Rotorua, New Zealand – the TAC developed a set of technical notes associated with the revision of Criterion 7 indicators (Annex 5), which consisted of titles, rationales and approaches to measurement. These technical notes have been presented for discussion and adopted at the 19th Working Group meeting in Moscow, Russian Federation in November 2008. They are available on the Montreal Process website¹ (free access).

From the twenty indicators developed for the 2003 reporting session – but not reported, as described above - there will be only ten remaining indicators for the 2010 reporting session. The original indicators were re-organized in “policy areas” as follows: (7.1.a) Forestry sector, (7.1.b) Intersectorial coordination, (7.2.a) Economical environment, (7.3.a) Land rights/tenure security, (7.3.b) Law enforcement, (7.4.a) Institutional capacities, (7.4.b) Research and Development capacities, (7.5.a) Partnerships building, (7.5.b) Public participation, (7.5.c) Monitoring/Assessment capacities. As a consequence, information targeted in 2003 will be still collected in the 2010 reporting session but in a broader, inter-sectorial context.

In the following, we describe in details the information related to the PLI frameworks that will figure in the next national reports.

7.1.a Legislation and policies supporting the sustainable management of forests: information on laws, regulations and national policy frameworks that affect forests and govern and guide their management.

7.1.b Cross sectorial policy and programme coordination: information on the extent to which policies and programmes are coordinated across sectors to support the SFM, minimizing adverse impacts and the ability to respond with other sectors to national and global issues.

7.2.a Taxation and other economic strategies that affect the SFM: information on the economic environment that affects the SFM. Economic measures influence forest management and government policies, whereas strategies on investment, taxation and trade can influence the level of long term investment in forestry.

7.3.a Clarity and security of land and resource tenure and property rights: information on land, forest and resource tenure, laws and rights. Clarity and security of ownership and tenure and the assurance that these rights can be protected or disputed through due process are important prerequisites to the SFM.

7.3.b Enforcement of laws related to forests: information on the extent to which forest-related laws and regulations are enforced. The enforcement of laws related to forests and forest products addresses illegal activities threaten SFM.

7.4.a Programmes, services and other resources supporting the SFM: information on the capacity of both governmental and private organisations to deliver programmes and services,

¹ <http://www.rinya.maff.go.jp/mpci/meetings/19an-3.pdf>

to maintain and develop infrastructure and to access the financial and human resources necessary to support the SFM. The strength of forest related institutions, trained personnel and adequate onsite facilities and infrastructure are important to support SFM.

7.4.b Development and application of research and technologies for the SFM: information on the capacity to develop and incorporate new science, research and technologies into forest management. Continuous improvement in the depth and extent of knowledge and its application will help ensure advances in the SFM.

7.5.a Partnerships to support the sustainable management of forests: information on policies and programmes that encourage and support partnerships and their contribution. Partnerships can help create a shared purpose and are important tools for building capacity, leveraging financial, technical and human resources, strengthening political commitment and developing public support to advance the SFM.

7.5.b Public participation and conflict resolution in forest-related decision making: information on the processes that promote public participation in forest-related decision making, and reduce or resolve conflict amongst forest stakeholders. Public participation in decision making processes and conflict resolution efforts can lead to decisions that are widely accepted and result in better forest management. Tools for reducing conflicts, surveys...

7.5.c Monitoring, assessment and reporting on progress towards sustainable management of forests: information on the capacity to monitor, assess and report on forests. An open and transparent monitoring and reporting system that provides up to date and reliable forest related information are essential for informed decision making, and can elevate public and political awareness of issues affecting forests and assist the development of policies for the SFM.

The Montréal Process has maintained close contacts with the other international initiatives using C&I (ITTO, MCPFE...) to assess the state of the world's forests, and “will continue to do so”.

The next National reports will be published in 2010, so that up-to-date information of high quality will be provided. It seems highly important to integrate this information into the Global Repository. It seems possible to achieve this integration in 2010-2011. A joint-effort following UNECE/FAO's example regarding coordination for the future inquiries would be highly profitable.

During the last WG meeting, the Working Group endorsed the **Strategic Action Plan 2009-2015** to guide and focus the work of the Montreal Process for the period 2009-2015¹. This document should be taken into consideration to see how to possibly integrate discussions and collaboration about the Global Repository into the Montreal Process agenda.

¹ <http://www.rinya.maff.go.jp/mpci/meetings/an-5.pdf>

2.1.1.2 The International Tropical Timber Organisation¹

ITTO is an intergovernmental organization promoting the conservation and sustainable management, use and trade of tropical forest resources. Its 59 members represent about 80% of the world tropical forests and 90% of the global tropical timber trade. Country members are separated into two groups:

○ *Producers:*

Africa : Cameroon, Central African Republic, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Gabon, Ghana, Liberia, Nigeria, Togo.

Asia & Pacific: Cambodia, Fiji, India, Indonesia, Malaysia, Myanmar, Papua New Guinea, Philippines, Thailand, Vanuatu.

Latin America: Bolivia, Brazil, Colombia, Ecuador, Guatemala, Guyana, Honduras, Mexico, Panama, Peru, Suriname, Trinidad and Tobago, Venezuela.

○ *Consumers:*

Europe: European Community (Austria, Belgium/Luxembourg, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Netherlands, Poland, Portugal, Spain, Sweden, United Kingdom), Norway and Switzerland.

Africa: Egypt

Asia & Pacific: China, Japan, Nepal, Republic of Korea, New Zealand and Australia.

North America: United States of America and Canada.

The **International Tropical Timber Agreement 2006²** focuses on the *world tropical timber economy* and the *sustainable management of the tropical forests*. In addition, it contains provisions for information sharing, including non-tropical timber trade data, and allows for the consideration of non-tropical timber issues as they relate to tropical timber.

ITTO's Council is supported by four committees, which are open to all members and observers and provide advice and assistance to the Council on policy and project issues. Three of the committees deal with key areas of policy and project work: *economic information* and market intelligence; reforestation and forest management; and forest industry.

A part of ITTO's work is to collect, analyze and disseminate data, mainly on the production and trade of tropical timber. The objective is to improve market intelligence, ensuring greater transparency in the international timber market, including the gathering, compilation, and dissemination of trade related data and data related to species being traded. ITTO also encourages information-sharing on the international timber market.

¹ <http://www.itto.int/en/>

² <http://www.itto.int/en/itta/#2006>

In 2006, ITTO produced the **Status of tropical forest management 2005**¹ which provides analysis of the forest management situation in 33 of ITTO's producer member countries. This publication addresses the political and institutional settings in each country, the approaches taken to allocate and manage forestry resources and the status of management of these resources, at the national and forest management unit.

Information has been gathered into **country profiles**² that are also available on ITTO's website. The countries submitted their information to ITTO through questionnaire based on Criteria and Indicators. ITTO completed the eventual gaps with data from a wide range of other sources (internal studies, FAO studies, governmental sources...). For this report, countries submitted information following the **ITTO Criteria and Indicators for the sustainable forest management of natural tropical forests**³ (*published in June 2001*). The information generated through the use of these C&I had the objectives to communicate more effectively on the status of efforts towards SFM, to assist the development of strategies for sustainable forest management, focusing on research efforts where knowledge is still deficient and identifying weaknesses.

The country profiles offer a short analysis of the *PLI* frameworks in the ITTO producing countries. This summary, entitled *Institutional arrangements* is divided into four parts:

- *Forest tenure*: historical or evolution of property rights, usufructs rights...
- *SFM policy framework*: existence and characteristics of a SFM policy framework, instruments (for example C&I...)
- *Forest policy and legislation*: general evolution of the policy framework, objectives of forest policy, instruments for its implementation, reference documents...
- *Institutions involved in forests*: main institutions in charge of forests and forestry research, participating stakeholders (associations, communities...)

This information is relevant, but has already been analyzed before publication. The original data are contained into Reporting Formats that are not available online (only the blank forms are available, see Annex 6). These **Reporting Formats** are questionnaire allowing the countries to assess their level of progress in SFM, based on the evaluation of Criteria and Indicators, at both national and Forest Management Units level. Having access to this Reporting Formats – and to the original data if possible – would be of great interest in the context of the Global Repository.

A new set of Criteria and Indicators has been published in 2005⁴, accompanied by new Reporting Format. This new set is not significantly different from the previous (1998) but Criteria and Indicators have been reorganized. However, the sequence's order does not reflect ITTO's priorities but represent a logical order. The Criterion 1 "*Enabling conditions for sustainable forest management*" addresses the legal, economic and institutional frameworks, without which actions included under the other criteria would not succeed. This criterion covers the general institutional requirements for SFM to succeed. It addresses *policy*,

¹ <http://www.itto.int/en/sfm/>

² <http://www.itto.int/en/sfm/>

³ http://www.itto.int/fr/policypapers_guidelines/

⁴ [ITTO Reporting Format - 2005 \(national level and FMU level\)](#)

legislation, economic conditions, incentives, research, education, training and mechanisms for consultation and participation. Many of the indicators are necessarily descriptive. Taken together, the information collected indicates the extent of a country's political commitment to sustainable forest management. In the following, we indicate the information that can potentially be collected within this Criterion:

- *Policy, legal and governance framework:* Existence and implementation of policies, laws and regulations to govern forest management, Forest tenure and ownership.
- *Economic framework:* Amount of funding in forest management, administration, research and human resource development, Existence and implementation of economic instruments and other incentives to encourage sustainable forest management.
- *Institutional framework:* Structure and staffing of institutions responsible for sustainable forest management, Number of professional and technical personnel at all levels to perform and support forest management, Existence of communication strategies and feedback mechanisms to increase awareness of sustainable forest management, Existence of, and ability to apply, appropriate technology to put into practice sustainable forest management and the efficient utilization and marketing of forest products.

For instance, ITTO's information on *PLI* frameworks is contained into the country profiles available either on ITTO's website, or in ITTO's publication "Status of Tropical Forest Management 2005". This information will be partly obsolete as changes will occur in countries *PLI* frameworks, if it is not already the case. However, as previously said, a new set of Criteria and Indicators has been produced by ITTO in 2005, meaning that *ITTO will continue to collect PLI information at both national and FMU levels.* In the context of the Global Repository, this regional approach regarding tropical timber producing countries is highly important. We recommend thus pursuing the collaboration with ITTO as a regional partner collecting *PLI* information for tropical timber producing countries.

FAO can benefit from ITTO's structures and experiences in collecting regional information, as well as from its network (national correspondents for example). A first step can be to share the "gross" information when it is available. In fact, the original data that are analysed to create the country profiles are not available on-line. To pursue the collaboration, we recommend to obtain the questionnaires that collect this original information (also called "Reporting Formats", at national and FMU levels) and to analyse more in details how they could be integrated into the global dataset.

Some additional regional organisations aimed to develop regional Criteria and Indicators for Sustainable Forest Management in a more or less recent past. Among others, we identified:

- *The African Timber Organization (ATO)*
- *The Dry-Zone Africa Process on Criteria and Indicators for Sustainable Forest Management*
- *The Regional Initiative for the Development and Implementation of National Level Criteria and Indicators for the Sustainable Management of Dry Forests in Asia*
- *The Lepaterique Process of Central America on Criteria and Indicators for Sustainable Forest Management*
- *The Tarapoto Proposal of Criteria and Indicators for Sustainability of the Amazon Forest*
- *The Near East Process*

In the following, we won't develop the cases of the Near-East Process and of the Dry Forests in Asia (country reporting on PLI frameworks is inactive) but send references to Annexes 11 and 12 because these two processes are inactive.

2.1.2 Organisations with limited potential of collaboration at the moment

2.1.2.1 The African Timber Organisation

Member countries: Angola, Cameroon, Central African Republic, Congo, Cote-d'Ivoire, Democratic Republic of Congo, Equatorial Guinea, Gabon, Ghana, Liberia, Nigeria, Sao Tome et Principe and Tanzania.

The African Timber Organization (ATO) is an intergovernmental organization created in 1976 promoting cooperation on forestry issues between its 14 member countries. The organisation represents over 75% of the tropical natural forests on the African continent. One of the major objectives of the ATO is to promote the production and trade of African timber within the framework of sustainable forest management.

The awareness of the need for environment protection raised during the Rio Summit was followed by calls for a boycott of tropical timber by some environmental NGOs, who accused the harvesting of tropical timber for trade and industrial purposes to be a prime cause of forest degradation in the tropics. The response of the African Timber Organization (ATO) was to develop, with the financial assistance of the European Union and the technical collaboration of the Centre for International Forestry Research (CIFOR), a set of principles, criteria and indicators (PCI) to promote the sustainable management of African forests. In the meantime, ITTO had revised and updated its 1992 set of C&I based on experiences acquired in the implementation of sustainable forest management in tropical countries and research advances in this field, publishing a new set in 1998. Thus, African member countries of ATO and ITTO found themselves with two sets of C&I; it made sense to build on these sets to develop a unique and harmonized set applicable to African tropical forests.

In 2003, ITTO published **ATO/ITTO principles, criteria and indicators for the sustainable management of African natural tropical forests**¹ (and Annex 7). This set comprises 1 principle, 5 criteria, 33 indicators and 45 sub-indicators at the national level, and 3 principles, 15 criteria, 57 indicators and 140 subindicators at the forest management unit (FMU) level. An innovative feature of the ATO/ITTO PCI is the inclusion of sub-indicators, which provide a basis for the development of specific verifiers and standards of performance relevant to the assessment of sustainable forest management at the FMU level in African tropical forests.

Despite the existence of Criteria and Indicators, no country reports have been established yet for the country members. Only ITTO's country reports are for instance available for these countries. Moreover, ATO does not maintain a website. We recommend working closely with ITTO in order to integrate ATO's member countries.

¹ http://www.itto.int/direct/topics/topics_pdf_download/topics_id=1550000&no=1

2.1.2.2 The Dry-Zone Africa Process

Member countries: Djibouti, Ethiopia, Kenya, Somalia, Sudan, Uganda, Burkina Faso, Cape Verde, Guinea Bissau, Gambia, Mali, Mauritania, Niger, Senegal, Chad, Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe.

The need to involve countries and ecological regions which are not part of on-going international initiatives has been repeatedly highlighted in international fora. Special mention has been made of countries in the arid and semi-arid zones. While these countries often have limited forest resources, forests and other wooded lands play an important role in meeting basic subsistence needs of local populations. Moreover, forests and woodlands in these areas also help maintain a multitude of social, cultural and environmental functions.

Three subregions were designed in order to form three coherent groups of discussion, according to the pre-existing structures of coordination in these regions:

- *sub-Saharan East African zone*, also called IGADD¹: Djibouti, Ethiopia, Kenya, Somalia, Sudan and Uganda.
- *West African Sahel region*, also called CILSS2²: Burkina Faso, Cape Verde, Guinea Bissau, Gambia, Mali, Mauritania, Niger, Senegal and Chad.
- *Southern Africa*, also called SADC³: Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia, Zimbabwe.

Criterion 7 related to the *PLI* frameworks and the corresponding indicators have been developed for the CILSS2 and the IGADD countries (see Annex 8). However, none of the countries elaborated reports based on such a set of Criteria and Indicators. No relevant activities in the area of collecting information related to the *PLI* frameworks have been noticed since November 1995 and the UNEP/FAO Expert Meeting on Criteria and indicators for sustainable forest management in dry-zone Africa (Nairobi, Kenya).

2.1.2.3 The Tarapoto Proposal

Member countries: Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela.

The Tarapoto Proposal on the Amazon Forest's Sustainability Criteria and Indicators is sponsored by the Amazon Cooperation Treaty. It has been initiated in February 1995 in Tarapoto, Peru. Through this Proposal, the Amazon countries identified and defined 12 criteria and 77 indicators, grouped in three categories, which reflect the specific features of the region's ecosystems as well as their social and cultural factors:

- National level
- Management Unit level

¹ IGADD stands for "Inter-Governmental Authority on Drought Control and Development".

² CILSS2 stands for "Permanent Interstate Committee for Drought Control in the Sahel".

³ SADC stands for "Southern African Development Community".

- Services at global level

This regional effort aimed at making environmental sustainability factors compatible with an efficient economic use of Amazon forests. It constitutes a political commitment as well as a technical tool, which six months after developing the Proposal, was perfected through a process of National Consultations that allowed evaluating and validating the applicability of the proposed indicators in each country. After the National Consultations and the consensual selection in 2001 of 15 very applicable indicators, the next phase consisted on validate these indicators and report on them. **Two criteria and three indicators were related to the *PLI frameworks*** in the set of C&I that has been conserved after the National Consultations (Annex 9).

A regional project was elaborated by the Permanent Secretariat of the Amazon Cooperation Treaty and submitted to FAO. This TCP project was called TCP/RLA/3007 (A) “Validation of 15 priority indicators of Sustainability in the Amazon Forest”. The project was executed between 2004 and 2006. Three regional meetings were conducted in order to plan, revise and improve the methodology used and to validate the results obtained by the countries. Some countries like Brazil elaborated a final national report. However, since 2006, no activity has been raised.

2.1.2.4 The Lepaterique process

Member countries: Belize, Costa Rica, Cuba, El Salvador, Guatemala, Honduras, Nicaragua and Panama.

The process initiated in Tegucigalpa, Honduras, in 1997. The region identified 4 criteria and 40 indicators at the regional level and 8 criteria and 53 indicators at the national level. This was the beginning of the Process which was later on complemented by 2 FAO/CCAD supported sub-regional meetings and 7 national seminars on country-level implementation and on the identification of criteria and indicators at the forest management unit level.

Criterion 1 at the national level addresses the *PLI frameworks* related to the forestry sector (Annex 10). However, no country reports were elaborated on the basis of these indicators. Some countries like Honduras tried to implement these Criteria and Indicators at the national and FMU level. But the integration of the Lepaterique Process into the regional agenda is difficult. The region needs a common strategy of regional development, which is not compatible with the short terms mandates of the governing bodies in the region. Hence, no activity in the national reporting processes has been raised since 1999.

2.1.3 Organisations with low potential of collaboration at the moment

These two processes are inactive since too long. They started to develop Criteria and Indicators for SFM (see Annexes 11 and 12).

2.1.3.1 The Dry-Forests Asia Process

See Annex 11.

2.1.3.2 The Near-East Process

See Annex 12.

2.2 International arrangements within the Collaborative Partnership on Forests framework

2.2.1 CPF – Streamlining Forest Related Reporting¹

The Collaborative Partnership on Forests (CPF) is a voluntary arrangement among 14 international organizations and secretariats with major programmes on forests: CIFOR, FAO, ITTO, IUFRO, CBD, GEF, UNCCD, UNFF, UNFCCC, UNDP, UNEP, ICRAF, World Bank, IUCN). CPF's missions are to promote the management, conservation and sustainable development of all types of forest and to strengthen long term political commitment to this end.

To further enhance coordinated activities by CPF members dealing with forest reporting, CPF has agreed on the following key outputs for 2006-2010:

- to coordinate more approaches for working with countries on information requests;
- to maintain and regularly update information on the CPF Reporting Portal;
- to increase coordinated approach for the information assembly;
- to increase capacity at the national level for forest information collection, analysis and reporting;
- to streamline forest-related reporting;
- to create a joint information framework and the CPF Portal on Forest Reporting. It is designed to help users find information related to national reporting on forests to various international organizations, institutions and instruments.

In the following, we describe the information available through the CPF Portal on Forest Reporting. CPF created a Portal on Forest Reporting², designed to help users find information related to national reporting on forests to various international organizations, institutions and instruments. FAO maintains this portal in collaboration with the other members of the CPF Task Force on Streamlining Forest-Related Reporting (UNEP/UNFF Secretariat, ITTO, Secretariat of CBD, Secretariat of UNCCD5 and Secretariat of UNFCCC) created in 2002. The portal aims at reducing reporting pressure on countries and improving efficiency of reporting. The Task Force members work to reduce and streamline reporting requests, synchronize reporting cycles, harmonize data collection methods, increase data comparability and compatibility, and facilitate the accessibility and flows of existing information.

CPF Reporting Portal provides an easy access to users looking for national reports that countries have submitted to various international processes, reporting formats and guidelines developed by the secretariats, reporting schedule/contact person for all the key processes, national focal points and meeting reports of the task force and other useful information and links. In this study, we focused on the more forest-oriented reporting processes or synthesis, as well as on the most up-to-date. Thus, we selected two international arrangements providing information that can be integrate to the Global Repository (ITTO has been developed earlier).

UNFF: *national reports on the implementation of IPF/IFF proposals for action*
CBD: *thematic report on forest ecosystems*

¹ <http://www.fao.org/forestry/cpf>

² <http://www.fao.org/forestry/cpf-mar/en/>

2.2.2 Main organisations reporting periodically on the *PLI* frameworks

2.2.2.1 United Nations Forum on Forests¹

Voluntary reports have been submitted by: Argentina, Brazil, Bulgaria, Cyprus, El Salvador, Finland, Gabon, Guinea-Bissau, Japan, Luxembourg, New Zealand, Norway, Philippines, Slovak Republic, Sudan, Switzerland and Yemen.

The number of countries submitting voluntary reports varies each year – for example, 18 countries in 2008 provided a report, only 54 in 2005.

The function of “Monitoring, assessment and reporting” is one of the six principle functions of the Forum. At UNFF1 (2001), countries identified three areas related to this function:

- progress made in the implementation of the IPF/IFF proposals for action;
- progress made towards SFM of all type of forests;
- review of the effectiveness of the international arrangement on forests.

The UNFF Secretariat, in collaboration with the UNFF Bureau and members of the Collaborative Partnership on Forests, has developed reporting guidelines and suggested **reporting formats**² for countries that agreed to report to the Forum. UNFF started to collect information from country members in 2002 (UNFF2), concentrating the efforts on assessing the progress of implementation of the IPF/IFF proposals for action. For each reporting session, new reporting suggested formats were elaborated. The final country reports - based on the reporting formats and serving as working tools for the Forum - are the **UNFF Voluntary reports**³.

Voluntary country reports are useful planning tools for countries in the frame of the Forum on Forests. The reports identify possible actions that could be taken, both at regional and international levels, by the country or by the Forum, to facilitate countries’ efforts towards SFM. In this context, the reporting process aims at:

- *assessing countries progress and analyzing lessons* learned in the implementation of IPF/IFF proposals for action towards SFM;
- *identifying gaps and obstacles* that the country might wish to address to the Forum;
- *enhancing coordination and cooperation* between governments and other stakeholders in the countries.

The UNFF8 voluntary reports focus on the progress made in 2007-08 in implementing the **Non-Legally Binding Instrument on All Types of Forests**⁴ (NLBI) and the progress towards achieving the four **Global Objectives on Forests**⁵. The NLBI included 25 national policies and measures, and 19 action items related to international cooperation and means of implementation. These policies and measures were clustered under 13 categories. Information provided through the reporting format is related to the following areas:

¹ <http://www.un.org/esa/forests/>

² [UNFF8 voluntary report - suggested format](#)

³ <http://www.un.org/esa/forests/reports.html>

⁴ [UNFF - Non Legally Binding Instrument](#)

⁵ [UNFF - the Four Global Objectives on Forests](#)

- *actions or measures taken at the national or international levels to implement the NLBI:*
 - for each of the 13 thematic clusters: strengthening political commitment for SFM, financing SFM, capacity building and technology transfer, stakeholder participation, enhanced international cooperation, forest law enforcement and governance, international trade in forest products, protection of forests, science and research, public awareness and education, private sector and industry, indigenous and local communities, monitoring, assessment and reporting
 - in the particular case of Raising awareness, introducing the NLBI to professionals and the general public: legal, policy or strategy *document* provided to the general public; actions to introduce the NLBI to the general public (any media); translation of the NLBI into the official language(s) of the countries.
- *actions taken to achieve the four global objectives on forests, including measures, policies, laws, national forest programmes or strategies...*
- *analysis and assessment of implementing the NLBI in the countries:* lessons learned regarding implementation; examples of successful and less successful actions taken; summary of future priorities and any problems that need to be addressed for further national-level implementation of the Instrument; suggestions for actions that need to be taken to further enhance implementation of the NLBI.

Member States, to the extent possible and using whatever means they have available, are encouraged to involve a range of relevant government agencies and major groups in the preparation of their voluntary reports. This is consistent with UNFF's recognition (UNFF resolution 1/2) of the importance of stakeholder participation in the preparation of national reports.

The UNFF Voluntary reports are collected on a regular basis (2002, 2003, 2004, 2005 and 2008) and the **reporting formats** (see Annex 13) are always reviewed and improved. Non-quantitative information relating to the Global Objectives on Forests was reported in UNFF8, keeping in mind that evaluation of progress would be conducted at the ninth and eleventh sessions of UNFF in 2011 and 2015.

UNFF's network of national correspondents (State members of the UNFF have designated UNFF National Focal Points within their governments) as well as UNFF Secretariat are the major actors of this reporting sessions.

Both the NLBI and the Global Objectives on Forests are important instruments for forest policies at international level. The country reports address the evolution of the *PLI* frameworks in this international frame for each country. This source of information, extremely stable and relevant, should be integrated into the Global Repository, to complete the information related to international commitments in the forestry sector. The reporting formats can be used to start harmonizing the collection of this type of *PLI* information.

2.2.2.2 Convention on Biological Diversity

Only voluntary Parties submit Thematic Report on Forest Ecosystems. Between 2000 and 2005, 48 countries submitted a report: Argentina, Australia, Austria, Belgium, Canada, Central African Republic, China, Comoros, Democratic Republic of the Congo, Denmark,

Djibouti, Dominican Republic, Eritrea, Estonia, Ethiopia, European Community, Finland, Germany, Greece, the Islamic Republic of Iran, Ireland, Israel, Kazakhstan, Lebanon, Liechtenstein, Lithuania, Madagascar, Mauritius, Mexico, Namibia, Netherlands, New Zealand, Norway, Pakistan, Panama, Poland, the Republic of Korea, the Republic of Moldova, Russian Federation, Samoa, Saudi Arabia, Seychelles, Singapore, Sweden, Switzerland, the former Yugoslav Republic of Macedonia, the United Kingdom of Great Britain and Northern Ireland and the United Republic of Tanzania.

The Convention on Biological Diversity (CBD) requests that each contracting Party elaborate a **national report**¹ on *measures that it has taken to implement the provisions of the Convention and their effectiveness in meeting the convention's objectives*, which are the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of the benefits arising from the utilization of genetic resources.

The Conference of the Parties (COP) of CBD established the format and interval of reports and their scientific and technical contents. A set of **thematic reports** (on Alien Species, Benefit-sharing, Forest Ecosystems, Global Taxonomy Initiative, Mountain Ecosystems, Protected Areas, Transfer of Technology and Technology Cooperation) has also been elaborated in order to report on specific Decision related to the Convention.

Voluntary Parties are asked to submit a thematic report on forest ecosystems, in response to **Decision IV/7 of the Conference of the Parties**², every 4 years (1997, 2001, 2005, 2009). Its purpose is to assist the Conference of the Parties to assess the *implementation of the CBD programme of work on forest biological diversity*. The report helps the Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. Three main elements are developed in this thematic report:

- the holistic and inter-sectorial ecosystem approaches that integrate the conservation and sustainable use of biological diversity, taking account of social and cultural and economic considerations;
- comprehensive analysis of the ways in which human activities, in particular forest-management practices, influence biological diversity and assessment of ways to minimize or mitigate negative influences;
- the methodologies necessary to advance the elaboration and implementation of criteria and indicators for forest biological diversity.

Countries are invited to answer a questionnaire (**reporting format**³, see also Annex 14). The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes and sometimes additional comments.

- *Programme element 1:*
 - methodologies to integrate biological diversity into a national holistic approach;
 - methodologies to integrate traditional forestry knowledge into SFM;
 - instruments to promote cooperation on the conservation and sustainable use of forest biological resources;

¹ <http://www.cbd.int/reports/national.shtml>

² <http://www.cbd.int/decisions/view.shtml?id=7130>

³ <http://www.cbd.int/reports/guidelines/>

- instruments to promote sharing of relevant technical and scientific information on networks at all levels;
- *Programme element 2:*
 - Instruments to promote activities for an enhanced understanding of positive and negative human influences on forest ecosystems by policy-makers, land-use managers etc...
 - instruments to promote activities to assemble management experiences and scientific, indigenous and local information at the national and local levels;
 - instruments to promote activities to minimize the impact of harmful alien species on forest biological diversity
 - means and mechanisms to improve the identification and prioritisation of research activities related to influences of human activities;
 - research and syntheses of reports of relevant scientific and traditional knowledge on key forest biological diversity issues;
- *Programme element 3:*
 - Experiences gained in national and regional processes, identification of common elements and gaps in existing initiatives and improving indicators for forest biological diversity.

This information is highly related to the instruments of all kinds that have been put in place in order to implement the elements of this Programme. This information is of course related to biological diversity and covers mainly the disposition undertaken by the Parties in order to raise general public awareness and share information among stakeholders.

A network of national correspondents linked to the Secretariat of the Convention on Biological Diversity. However, according to Parties, the reporting process can involve various types of stakeholders: they are all identified at the beginning of the reporting format.

The next reporting session is forecast for the year 2009. This reporting process is stable in the time. However, since the first reporting session in 1999, 48 voluntary Parties provided a single thematic report¹ for the whole exercise (4 reporting sessions). For instance, nothing indicates that they will produce another report when changes will occur in the implementation of the Convention Programme's provisions. The risk to have obsolete reports in a couple of years is therefore not excluded.

Moreover, the thematic reports focus on a particular "policy area" (e.g. Biodiversity). In the Country Profiles database, the information provided in this reports can either address the international arrangements or the "Biodiversity policy area". This ambiguity has to be considered, if the CBD Thematic Reports on Forest Ecosystems have to be integrated into the Global Repository.

2.3 Ad-hoc sources of information

Some sources of information dealing with information related to the *PLI* frameworks (entirely or partially) appear occasionally: studies, publications, official presentations... Regional projects and studies often last a few years: in the meantime networks of correspondents are created and capacities to collect, report and disseminate information are built. When the delay

¹ <http://www.cbd.int/reports/search/>

is past (funding the project has stopped, publication has been edited...) all these capacities often disappear. The information is rarely up-dated, and becomes soon obsolete.

In the following we described in details one of these ad-hoc sources of information, the *EFI COST Action E 51*, because of the relevancy of its information and its structure, which could easily be implemented in a database.

2.3.1 Sources providing original information

Countries concerned by COST Action E 51: Austria, Bulgaria, Croatia, Cyprus, Czech Republic, Finland, France, Germany, Italy, Lithuania, Norway, Romania, Poland, Portugal, Slovakia, Sweden, Switzerland, Scotland/United Kingdom

COST (COoperation in Science and Technology)¹ is a European joint-initiative hosted by the European Forest Institute aiming to coordinate nationally-funded research on the European level. This initiative contributes to reduce fragmentation in European research investments and to open the European research area to cooperation worldwide, in order to ensure that Europe holds a strong position in the field of scientific and technical research by increasing European cooperation and interaction in this field. This research initiative makes it possible for the various national facilities, institutes, universities and private industry to work jointly on a wide range of Research and Development activities.

*Forest, their Products and Services (FPS)*² is one of the nine scientific domains targeted by COST. Its mission is to promote research along the whole forest-wood-chain by providing a platform for the effective coordination of nationally funded research activities in the areas of forestry, wood technology and pulp & paper. The FPS domain focuses on the processes which form the basis for present and potential capacity to provide resources to satisfy human needs as well as environmental values.

Within COST, European scientists cooperate on projects called **Actions**. COST supports the COST Actions financially for joint activities such as conferences, short-term scientific exchanges and publications. A Memorandum of Understanding (**MoU**) provides the formal basis of an Action.

Innovation policies as well as entrepreneurship related to policies are a key pillar of the EU "Lisbon Strategy", the economic development policy of the EU endorsed in March 2000. In 2003, the MCPFE has adopted the Vienna Resolution on the "Economic Viability of Sustainable Forest Management" calling for the strengthening of innovation and entrepreneurship in this sector. The main objective of the project **COST Action E51**³, hosted by FPS and running from March 2006 to March 2010, is to develop knowledge that enable integration of innovation and development policies for a more effective and sustainable development of the forest sector.

The first objective of this project is to collect, map and build a repository of knowledge on existing EU and national strategies and programmes and their implementation mechanisms, especially on:

- innovation and entrepreneurship

¹ http://www.cost.esf.org/about_cost

² http://www.cost.esf.org/domains_actions/fps

³ http://www.cost.esf.org/domains_actions/fps/Actions/Policies_for_the_Forest_Sector

- rural development
- regional development and sustainable development policies

The result of this *preparatory work* should enable participants to become acquainted with the policies, programmes, implementation agencies, procedures and characteristics in different and often completely unrelated policy fields. The **country reports**¹ elaborated in this context describe relevant development programmes in the forestry sector and the characteristics of their implementation.

This reporting session is the first phase of COST Action E 51, next steps are:

- to make an appraisal of effects (outcome and impacts) of these programmes on forestry and forest sector enterprises in regard to their support of innovation, start-up activity, employment creation and competitiveness
- to identify and analyse key issues in strengthening cross-sectorial policy integration and co-ordination in those key development programmes relevant for forestry and forest sector enterprises in rural areas in order to promote innovation:
 - for territory-based service provision (e.g. the provision of recreational forest services, nature conservation services, or protection against natural hazards)
 - in relation to cross-sectorial policy integration and co-ordination for vertical production chains (e.g. timber frame housing, bio-energy or other)
- to develop approaches, options and recommendations for a more coherent implementation of these policies in forestry and the forest sector, with a view to reinforce the development of the sector, especially in rural areas.

In the following, we describe the most relevant information related to *PLI* frameworks that is addressed in the country reports:

- *Policy documents*: list of relevant documents: all documents related to forest policy, forest based sector policy, innovation policy, rural development policy, regional development policy, sustainable development policy, renewable energy policy...
 - *General document information* (for each document): name, adoption (body, date and level of adoption), validity period, revision foreseen, monitoring/ evaluation, related documents, geographical scope (national, regional or local), budget.
 - *General description of contents* as written in document: objective of the document, priorities, structure and measure areas.
 - *Follow-up/implementation*: follow-up measures and general comments.
- *Cross-sectorial coordination*:
 - *Policy formulation*: coordination with other processes and documents, administrative coordination, stakeholders involvement, coordination mechanisms...
 - *Policy implementation*: responsible actors and their roles, level of delegation, related general document.

This information can easily be implemented into a database because of its nature: dates, names, tick-boxes, short comments....

¹ <http://www.boku.ac.at/coste51/>

COST E51 runs from March 2006 until March 2010. The reporting session was part of the first phase of this project. It seems likely that once the Action ends, the reporting session won't be reconducted. However, the information related to the *PLI* frameworks provided in the country reports can be used as a consistent basis to start or complete, at least temporary, a *PLI* Country Profile. This example raises the question of the occasional enquiries that provide high quality information but can quickly become obsolete, at least partially.

2.3.2 Sources providing analysed information

A wide range of ad-hoc sources provide publications analyzing the *PLI* frameworks in particular countries. In the following, we gave some examples of publications, articles or preparatory works that are relevant in this context.

Information provided by these sources cannot be implemented directly into a database, but the original information could be. It is of highly interest to assess how the "gross information" has been collected (questionnaire, reporting format...) and whether the networks that have been created at this occasion are still operational.

Hereunder, we provide examples of ad-hoc sources providing analyzed information on the *PLI* frameworks.

FAO	Forestry Outlook Study for West and Central Asia (FOWECA) People, forests and trees in West and Central Asia
FAO	"National Forest Programme - experiences in Europe and Central Asia" http://www.fao.org/regional/SEUR/events/EFWNFP/EFWNFP_en.htm
UNECE	Environmental Performance Reviews (EPR) http://www.unece.org/env/epr/publications.htm
UNECE	Forest and Forest Products Country Profiles http://www.unece.org/timber/tc-publ.htm
World Bank	Reports and studies on <i>Forest Law Enforcement and Governance</i>. http://web.worldbank.org/ <i>Forests and Forestry</i> , FLEG studies.
World Bank	Forest Sector Notes. Ukraine Forest Sector Notes 2006 (Profor)

2.4 Existing database: the Global Legislation Information Network

The Global Legal information network (GLIN¹) is an online database providing links to legal documents - *laws, judicial decisions, legislative records and legal literature* -for jurisdictions around the globe. It is hosted by the Library of the American Congress². GLIN members are governmental agencies and international organizations. They are divided into three groups:

- *contributing members*: Government authorities (or their designated agencies) from jurisdictions around the globe or international organizations that contribute official texts of laws, regulations, and related legal material to the database.
 - *Argentina, Brazil, Cameroon, Canada, Democratic Rep. of Congo, Costa Rica, Dominican Republic, Ecuador, Egypt, El Salvador, Gabon, Guatemala, Honduras, Republic of Korea, Kuwait, Lithuania, Mali, Mauritania, MERCOSUR, Mexico, Nicaragua, Organization of American States, Pakistan, Panama, Paraguay, Romania, Russia, Saudi Arabia, Taiwan, Tunisia, Ukraine, United Kingdom, United Nations, United States, Uruguay.*
- *supporting members*: Organizations that operate on a national or international scale that have entered into Memoranda of Understanding with GLIN that set forth the nature of the relationship between the Supporting Member and GLIN. Supporting members generally provide major contributions of financial or personnel resources. This category includes organizations such as the World Bank, the Inter-American Development Bank, and NASA.
- *associate members*: Institutions that are interested in the activities of GLIN but are unable or ineligible to become either Contributing Members or Supporting Members. Associate members may contribute information, such as Legal Literature, to the database and in exchange they have access to the full contents of the GLIN database and are invited to attend the annual meeting of members as observers. This category of members may include international organizations, non-governmental organizations, and educational institutions.

GLIN members contribute original-language, officially published, full text documents in electronic format. GLIN is a reflection of similar needs shared by government organizations around the world for a lawmaking process based upon knowledge of the laws and regulations of other jurisdictions. GLIN's mission is to acquire, store, and provide timely access to this body of critical research and reference material.

Annex 15 informs, for each jurisdiction, on the categories (*laws, judicial decisions, legislative records and legal literature*), the period of time concerned by the data collection, the number of legal resources available and whether the access is public or reserved to members.

The legal documents are described as follows:

- **Title**: name of the decree, law... in the country and in the GLIN database.
 - Ex: *Decreto 5794 (GLIN ID 179725)*

¹ <http://www.glin.gov/search.action>

² <http://www.loc.gov/law/>

- **Jurisdiction**
 - Ex: *Brazil*
- **Publication** (name, issue number, specifics)
 - Ex: *Diario official da União, Ano CXLIII n° 107, Primeira Seção*
- **Date of Publication and Language**
 - Ex: *06/06/2006; Portuguese*
- **Subject terms** (Key-words)
 - Ex: *Administrative law; Conservation; Environment; Forestry; Government organization; Natural resources*
- **Summary** (English)
 - Ex: *Decree 5794 of 5 June 2006, amends provisions of Decree 3.420 of 20 April 2000, adopts provisions concerning the creation of the “Programa Nacional de Florestas – PNF” (National Forestry Program). (5 articles; p. 1)*
- Links to full texts

Further enquiries are needed to assess whether and how this database can be used to complete either the FAOLEX database or the Global Repository.

Conclusion

The actual information available on the *Political, Legal and Institutional* frameworks of the forestry is facing several changes : the Forestry Country Profiles website is obsolete, FRA 2010 and NFP-Update (will) collect *PLI* information regularly, new sources and approaches are emerging (mainly regional approaches). The joint-effort FAO/UNECE/MCPFE to integrate *Political, Legal and Institutional* information of a regional approach into a global database has shown good results in the recent past, but also revealed the challenges that are ahead. Agreements on common global terms and definitions are needed, as well as expliciting the motivations that conduct one to collect information : what information is collected and why ? Understanding the intentions and interests of each organisation to collect *PLI* information is a key-parameter for their integration into a Global Repository of information.

In this study we were able to identify the principal sources of information related to te *PLI* frameworks and to prioritarize them according to their relevance in the context of the Global Repository of information. Information gathered in the frame of both the Montreal Process and ITTO SFM in Tropical Forests study, based on Criteria and Indicators for SFM, must be integrated in the near future because of their stability in the time and their important coverage of world forests (temperate, boreal and tropical forests). Strong collaboration in the preparation of the reporting sessions amongst the different organisations must be pursued. More in-depth analysis must enquire on the relevancy of the GLIN database in the Global Repository context, especially considering its co-existence with the FAOLEX database. More coordination amongst all stakeholders collecting information related to the *PLI* frameworks must take place in the preparation of the reporting session (reporting formats) and for sharing the « original information » (or *gross* information).

In a general manner, regarding the global amount of information, we highlighted that some countries are poorly described whereas other are « over-described ». The main reason is the existence of regional approaches stable in the time (MCPFE, Montreal Process, ITTO...) that exclude some countries from description (for example, countries with very low forest cover). It means also that we did not find all the potential sources of information, especially those which are not available on the web, or in an unofficial UN language. To complete this lack of information, national websites must be considered widely as well as new means to reach the information not available on the web.

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Annex 1: FRA Tables 14 to 17 related to the PLI frameworks.

Table T14 – Policy and legal framework

FRA 2010 Categories and definitions

Term	Definition
Forest policy	Forest policy is the set of orientations and principles of actions adopted by public authorities in harmony with national socio-economic and environmental policies in a given country to guide future decisions in relation to the management, use and conservation of forest and tree resources for the benefit of the society.
Forest law	Set of rules enacted by the legislative authority of a country regulating the access, management, conservation and use of forest resources.

Data for Table T14

Indicate the existence of the following (2008)			
1. Forest policy statement with national scope		Yes	
		No	
If Yes above, provide:	Year of endorsement		
	Reference to document		
2. National forest programme (nfp)		Yes	
		No	
If Yes above, provide:	Name of nfp in country		
	Starting year		
	Current status		In formulation
			In implementation
			Under revision
			Process temporarily suspended
Reference to document or web site			
3. Law (Act or Code) on forest with national scope		Yes, specific forest law exists	
		Yes, but rules on forests are incorporated in other (broader) legislation	
		No, forest issues are not regulated by national legislation	
If Yes above, provide:	Year of enactment		
	Year of latest amendment		
	Reference to document		

In case the responsibility for forest policy- and/or forest law-making is decentralized, please indicate the existence of the following and explain in the comments below the table how the responsibility for forest policy- and law-making is organized in your country.	
4. Sub-national forest policy statements	Yes
	No
If Yes above, indicate the number of regions/states/provinces with forest policy statements	
5. Sub-national Laws (Acts or Codes) on forest	Yes
	No
If Yes above, indicate the number of regions/states/provinces with Laws on forests	

Explanatory notes to the reporting table:

1. The national forest policy document or statement describes the objectives, priorities and means for implementation of the forest policy. It is endorsed when it is officially recognised as a government policy or instruction. The endorsement is formalised by the Minister in charge of forests by a dated and signed document.
2. The term “national forest programme” is a generic expression referring to a wide range of approaches towards forest policy formulation, planning and implementation at national and sub-national levels and providing a framework and guidance for country-driven forest sector development in consultation and participation of all stakeholders and in consistence with policies of other sectors and international policies.
3. The term “law on forest” refers to a Law (Act or Code) providing specific rules on forests and forest sector management, such as access, management and use of forest resources. The Law is enacted when the legislative authority adopted its text.
4. Same as (1) but the policy documents or statements refer to sub-national administrative units, e.g. States in a Federation or Autonomous Regions or Provinces.
5. Same as (3) but indicate if specific Laws on forests exist at sub-national level (at the level of regions/states/provinces).

Comments to Table T14

Variable / category	Comments related to data, definitions, etc.
Forest policy statement with national scope	
National forest programme (nfp)	
Law (Act or Code) on forest with national scope	
Sub-national forest policy statements	
Sub-national Laws (Acts or Codes) on forest	

Other general comments to the table

Table T15 – Institutional framework

FRA 2010 Categories and definitions

Term	Definition
Minister responsible for forest policy-making	Minister holding the main responsibility for forest issues and the formulation of the forest policy.
Head of Forestry	The Head of Forestry is the Government Officer responsible for implementing the mandate of the public administration related to forests.
Level of subordination	Number of administrative levels between the Head of Forestry and the Minister.
University degree	Qualification provided by University after a minimum of 3 years of post secondary education.

Data for Table T15

Table 15a

FRA 2010 Category	2008	
Minister responsible for forest policy formulation : please provide full title		
Level of subordination of Head of Forestry within the Ministry		1 st level subordination to Minister
		2 nd level subordination to Minister
		3 rd level subordination to Minister
		4 th or lower level subordination to Minister
Other public forest agencies at national level		
Institution(s) responsible for forest law enforcement		

Table 15b

FRA 2010 Category	Human resources within public forest institutions					
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Total staff						
...of which with university degree or equivalent						

Note: Excludes people employed in State-owned enterprises, education and research, as well as temporary / seasonal workers.

Comments to Table T15

Variable / category	Comments related to data, definitions, etc.	Comments on the reported trend
Minister responsible for forest policy formulation		
Level of subordination of Head of Forestry within the Ministry		
Other public forest agencies at national level		
Institution(s) responsible for forest law enforcement		
Human resources within public forest institutions		

Other general comments to the table

Table T16 – Education and research

FRA 2010 Categories and definitions

Term	Definition
Annual graduation of students	Number of students that have successfully completed a Bachelor's or higher degree in forest science or achieved a certificate or diploma as forest technician.
Doctor's degree (PhD)	University (or equivalent) education with a total duration of about 8 years.
Master's degree (MSc) or equivalent	University (or equivalent) education with a total duration of about five years.
Bachelor's degree (BSc) or equivalent	University (or equivalent) education with a duration of about three years.
Technician certificate or diploma	Qualification issued from a technical education institution consisting of 1 to 3 years post secondary education.
Publicly funded forest research centers	Research centers implementing research programmes on forest matters. Funding is public or channelled through public institutions.

National data

Data sources

References to sources of information	Quality (H/M/L)	Variable(s)	Year(s)	Additional comments

Original data

Analysis and processing of national data

Estimation and forecasting

Data for Table T16

FRA 2010 Category	Annual graduation of students within the country					
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Master's degree in Forest Science						
Bachelor's degree in Forest Science						
Forest technician certificate / diploma						
FRA 2010 Category	Professionals working in public forest research centres					
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Doctor's degree (PhD)						
Master's degree (MSc) or equivalent						
Bachelor's degree (BSc) or equivalent						

Comments to Table T16

Variable / category	Comments related to data, definitions, etc.	Comments on the reported trend
Annual graduation of students within the country		
Professionals working in public forest research centres		

Other general comments to the table

Table T17 – Public revenue collection and expenditure

FRA 2010 Categories and definitions

Category	Definition
Forest revenue	All government revenue collected from the domestic production and trade of forest products and services. For this purpose, forest products include: roundwood; sawnwood; wood-based panels; pulp and paper; and non-wood forest products. As far as possible, this should include revenue collected by all levels of government (i.e. central, regional/provincial and municipal level), but it should exclude the income of publicly owned business entities.
Public expenditure	All government expenditure on forest related activities (further defined below).
Operational expenditure (sub-category to Public)	All government expenditure on public institutions solely engaged in the forest sector. Where the forest administration is part of a larger public agency (e.g.

<i>expenditure)</i>	department or ministry), this should only include the forest sector component of the agency's total expenditure. As far as possible, this should also include other institutions (e.g. in research, training and marketing) solely engaged in the forest sector, but it should exclude the expenditure of publicly owned business entities.
Transfer payments (<i>sub-category to Public expenditure</i>)	All government expenditure on direct financial incentives paid to non-government and private-sector institutions, enterprises communities or individuals operating in the forest sector to implement forest related activities.
Domestic funding	Public expenditure funded from domestic public financial resources, including: retained forest revenue; forest-related funds; and allocations from the national budget (i.e. from non-forest sector public revenue sources).
External funding	Public expenditure funded from grants and loans from donors, non-governmental organisations, international lending agencies and international organisations, where such funds are channelled through national public institutions.

National data

Data sources

References to sources of information	Quality (H/M/L)	Variable(s)	Year(s)	Additional comments

Classification and definitions

National class	Definition

Original data

Analysis and processing of national data

Calibration

Estimation and forecasting

Reclassification into FRA 2010 categories

Data for Table T17

Table 17a - Forest revenues

FRA 2010 Categories	Revenues (1000 local currency)	
	2000	2005
Forest revenue		

Table 17b - Public expenditure in forest sector by funding source

FRA 2010 Categories	Domestic funding (1000 local currency)		External funding (1000 local currency)		Total (1000 local currency)	
	2000	2005	2000	2005	2000	2005
Operational expenditure						
Transfer payments						
Total public expenditure						
If transfer payments are made for forest management and conservation, indicate for what specific objective(s) - Please tick all that apply.	<input type="checkbox"/>	Reforestation				
	<input type="checkbox"/>	Afforestation				
	<input type="checkbox"/>	Forest inventory and/or planning				
	<input type="checkbox"/>	Conservation of forest biodiversity				
	<input type="checkbox"/>	Protection of soil and water				
	<input type="checkbox"/>	Forest stand improvement				
	<input type="checkbox"/>	Establishment or maintenance of protected areas				
	<input type="checkbox"/>	Other, specify below				

Comments to Table T17

Variable / category	Comments related to data, definitions, etc.	Comments on the reported trend
Forest revenue		
Operational expenditure		
Transfer payments		

Other general comments to the table

Annex 2: PLI Country Profile – Slovakian Republic.

Forest Policies & Institutions

Forestry Country Profile

SLOVAK REPUBLIC	
Latest update	09/03/2009
Information compiled by	<i>Jérôme Maurice - FAO</i>

Information sources

Main sources

FRA 2010	http://www.fao.org/forestry/44375/en/
MCPFE qualitative indicators	http://www.unece.org/timber/fra/mcpfe07qualcountryreport.htm
Nfp country reports	http://www.fao.org/forestry/45998/en/
FAO-LEX	http://faolex.fao.org/faolex/

Additional information sources

UNFF country reports	http://www.un.org/esa/forests/reports.html
UNECE's Environmental Performance Reviews	http://www.unece.org/env/epr/publications.htm
Montreal criteria and indicators process	http://www.rinya.maff.go.jp/mpci/meetings_e.html
EFI EUROFOREST portal	http://forestportal.efi.int/lists.php?pl=02&sf=1

National website(s)

Ministry of Agriculture SR	http://www.land.gov.sk/en/index.php?navID=1
Ministry of Agriculture SR Green Report 2008	http://www.land.gov.sk/en/index.php?navID=17&id=22

POLICY & INSTITUTIONS

1. Forest Policy

1.1. Policy formulation and implementation

Forest policy statement with national scope			Sources ¹
Existence	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	FRA 2010
Forest Policy Statement name and reference to document	Concept of Agrarian Development for the years 2007-2013 – part Forestry	Strategy of Forestry Development	FRA 2010
Year of endorsement	2006	2008	FRA 2010
Endorsing Official Body	Ministry of Agriculture of the Slovakian Republic.		
Additional information	<p>➤ Concept of Agrarian Development (CAD) for the years 2007-2013 – part Forestry. It appoints the strategic objective, development priorities and framework goals aimed at achievement of given priorities for forestry in Slovakia</p> <p>➤ Strategy of Forestry Development. Validity of the strategy by 2020-2025. It elaborates priorities of both the CAD and the NFP SR. It gives reasons for suggested objectives, goals and priorities and identifies existing constraints, strong and weak aspects and risks at their achievement. It indicates possible tools, means and procedures on implementation of proposed objectives, goals and priorities.</p>		FRA 2010
Documentation - links	Rural development programme 2007-2013 (webpage) http://www.land.gov.sk/en/index.php?navID=1&id=19		Ministry of Agriculture

In the case responsibility for forest policy is decentralized			Sources
Existence of sub-national forest policy statements	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	FRA 2010
If yes: Number of regions/states/provinces with forest policy statements* (and names of regions/states/provinces)			
Documentation – links			

Main overall objectives of forest policy	Sources
1. promote ecological forest management; 2. enhance and protect the environment; 3. contribute to the quality of life; 4. enhance long-term sectoral competitiveness; 5. promote coo-operation, coordination and communication.	Green report 2008
Main guiding principles or instruments for policy implementation	Sources
	Nfp-update MCPFE 2010
Additional information	
	nfp-update

¹ Sources are indicated for internal reference and discussion, not to be displayed in final database

Main objective by policy area			
Land use and forest area		Restitution of ownership rights and forest land nationalized in the period 1948-1989 to former forest owners. Continuing in use of forest land by sustainable forest management.	MCPFE
Carbon balance		Mitigate impacts of climate change and support adaptation of forests to the effects of climate change.	MCPFE
Health and vitality		<ul style="list-style-type: none"> - Creation of effective system of formation, funding and realization of projects both remediation measures and forest protection for improvement of health and vitality of forests and effective regulation of injurious agents - Intensifying the research on injurious agents with objective of finding out of the relevant information on their effect and preparation of measures for forestry practice - Increase of carbon stock in forest ecosystems through implementing the silvicultural measures - Adaptation of forest textures to expected impacts of climate change through realization of adaptation measures 	MCPFE
Production and use of wood		Wood production on the basis of sustainable forest management. Wood processing by domestic industry with the highest possible added value. Production about 7 million m3 per year is intended for domestic processing. Wood export is about 10-20%. 40% of wood is used for processing at sawmills; 50% for the production of pulp, paper and wooden panels; 6% of wood including forest chips is for energy production.	MCPFE
Production and use of non-wood goods and services		<p>Main targets are:</p> <ul style="list-style-type: none"> - development and realization of the system of economical securing of the public order for the functional benefits of the forests in relation to other tools of forest policy, including the proposal of the legislative and institutional tools for entrepreneurship development and assurance of the non-wood products and services from forestry. - gradual increase of the all-society acceptance of the non-productive functions as services of the forest industry. 	MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	Forest management sustaining the production of wood along with non-wood functions of forests, including nature and landscape conservation	MCPFE
	Species diversity, incl. tree	Forest management sustaining the	MCPFE

	species composition and threatened forest species	production of wood along with non-wood functions of forests, including nature and landscape conservation	
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	Availability of genetically appropriate forest reproductive material, its sustainable use in forest management, and conservation of forest genetic resources.	MCPFE
Protective services		<i>Priority 7 NFP SR, Priority 3.3 CAD</i> Securing maximal functional effectiveness of forests with prevailing protective functions through maintaining and improvement of their vitality and stability; for this aim to improve differentiated principles of the care about these forests. Improvement of the methods of identification, quantification and financial valuation of protective forest functions; in relation to that to propose and implement mechanisms for obtaining sufficient funds to carry out respective measures. Secure implementation of the Programme of protection against floods by 2010 including its financial fulfilment.	MCPFE
Economic viability		Main aim is to maintain balance by securing economical, ecological and social functions of the forests and improvement of the ecological - economical competitiveness of multifunctional forestry by rational utilization of basic production factors, social, economical and political tools including enhancement of the economical effectiveness of production and trade processes.	MCPFE
Employment (incl. safety and health)		Increasing employment rate mainly through economic activities diversification and development of forest related services. Securing health and labour safety, elimination or reduction of the risk and factors conditioning accidents at work, occupational diseases and other damage to health at work	MCPFE
Public awareness		Increasing informing about benefits of sustainable forest management for the country and attaining positive relation of population to forests, forestry and foresters.	MCPFE
Cultural and spiritual values		Protection of national cultural monuments and memorial territories in accordance with scientific knowledge and on the basis of national legislation as well as international conventions on European and worldwide cultural heritage.	MCPFE

Main instruments used for achieving the main policy objectives, by policy area			
Land use and forest area	See main legal and reference documents. There was established at every forest district of state forest enterprise an organizational unit dealing with restitution of ownership rights and user's rights in relation to the forests of their former owners.	MCPFE	
Carbon balance	<ul style="list-style-type: none"> - Act no. 572/2004 and no.117/2007 of the Digest on trading with emission quotas. - Plan of Rural Development 2004-2006, Measure 8 Afforestation of agricultural land. - SOP Basic infrastructure, measure 2.2 Improvement and development of infrastructure with aim of air protection. - Energetic conception of SR - Slovakia in relation with accessing the EU committed itself to increase by 2012 the share of renewable sources of energy in total consumption to 19%. In the years 2003-2007 the interest in use of forest biomass for energy was increasing due to the effect of price increase of fossil fuels. 	MCPFE	
Health and vitality	<p>Programme on elimination of damages in forest ecosystems by the year 2010. Funding measures of the programme was secured from own financial sources of forest managers and from public sources: SOP Agriculture and rural development. Programme of Rural Development of SR (2007-2013) – the measure: Regeneration of potential and introduction of preventive measures. Its objective is regeneration of productive potential in forests damaged by natural disasters and by fires.</p> <p>Forest Management Plan – preventive measures on increase of ecological stability of forests.</p> <p>Professional Forester – he monitors state and development of injurious agents and proposes measures.</p>	MCPFE	
Production and use of wood	Act on Forests, NFP SR, Commercial Code, Civil Code, other regulations and directives. Forest management plans. Forestry market information system. National and European technical standards for the production of wood assortments.	MCPFE	
Production and use of non-wood goods and services	<p>Main political tools used for the achievement of the noticed aims are following:</p> <ul style="list-style-type: none"> - support from the public sources (national, EU) in the form of payments from ecosystem services; compensation for the property limitations, state help and tax reductions, - development of legislative and institutional tools of entrepreneurship fostering and securing of the non-wood forest products, - support of the research in the field of methods for identification, quantification and assessment of non-wood products and services. 	MCPFE	
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	- Order of the MA SR setting details about the state aid in agriculture, food and forest management	MCPFE

		<ul style="list-style-type: none"> - Implementing the Act on the Agricultural Payment Agency, and support of entrepreneurship in agriculture - National PEFC and FSC Forest Certification Schemes. 	
	Species diversity, incl. tree species composition and threatened forest species	<ul style="list-style-type: none"> - Action Plan for Implementation of the National Biodiversity Strategy for 2003-2010. - Order of the MA SR setting details about the state aid in agriculture, food and forest management, - Implementing the Act on the Agricultural Payment Agency, and support of entrepreneurship in agriculture. - National PEFC and FSC Forest Certification Schemes. - National Programme for Conservation of Forest Genetic Resources for 2005-2009. 	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	<ul style="list-style-type: none"> - Order of the MA SR setting details about the state aid in agriculture, food and forest management, - Implementing the Act on the Agricultural Payment Agency, and support of entrepreneurship in agriculture. - National Programme for Conservation of Forest Genetic Resources for 2005-2009 	MCPFE
Protective services		<p>Protection functions or services are secured by provisions of respective legal norms.</p> <p>To protect the infrastructure and managed natural resources there are declared protective forests (with prevailing functions: avalanche control, erosion c., deflation c., water management f.) and some sub-categories of special purpose forests (bank protection, line planting of trees as protection against wind, noise, dust). The care about these forests is in hands of their managers according to the prescriptions of forest management plans or the care is secured through measures charged by the state forest authorities. Forests SR, state enterprise secures protection against floods on small water courses.</p>	
Economic viability		<ul style="list-style-type: none"> - application of new, efficient ecological technologies in forestry operations - enhancement of the effectiveness of the production and trade processes. - rational utilization of production factors - implementation of socio-economical and political tools - partial compensation resulting from the limitations of property rights - support of the forest research and development - transfer of knowledge from research into practise - support of the technological development and innovations 	MCPFE
Employment (incl. safety and health)		Diversification of economic activities, services development and strengthening of investments to local infrastructure in agrarian sector to maintain jobs, mainly in rural areas. SOP	MCPFE

	<p>Industry and services 2004-2006 (scheme of support to small and medium-sized entrepreneurs, scheme of support to international cooperation and scheme of support to entrepreneurial activities in tourism). Act no. 95/2000 on work inspection. Act no. 158/2001 on health and labour safety.</p> <p>Increasing effectiveness of economic activity and adequate employment rate in accordance with priority 1.1.3 CAD.</p> <p>Increasing employment rate by securing entitled interests and needs of forest owners and the state in NFP SR.</p>	
Public awareness	<p>Communication with public was carried out on voluntary basis. In 2003-2007 pilot projects on public relations were implemented (Forest information bureaus, Tree Day, Foresters organized events for kids - Forests SR state enterprise, Target-oriented cooperation with local elementary schools - the SF of TANAP, Forest park Brezina – Municipal Forests Trenčín, Municipal Forests Spišská Nová Ves, Interactive exhibition - ALEA) Professional education and obtaining technical skills of forest sector employees in specialized courses and trainings on forest education and public relations organized by NFC. In social objectives of CAD there is anchored support to formation of voluntary part.</p>	MCPFE
Cultural and spiritual values	<p>Provisions defined by the Act no. 49/2002 of the Digest aimed at identification and preservation, of cultural monuments, memorial territories that may be also a part of the worldwide heritage of UNESCO.</p> <p>The Act no. 543/2002 of the Digest specifies provisions for the preservation of extremely important trees or their groups regarding their cultural, landscape or aesthetic values, and specially protected territories. Provisions for the protection and preservation of cultural values in the framework of the above-mentioned acts are sufficient. These issues are not solved separately in forestry documents and their evaluation is a part of National criteria and indicators in SFM.</p>	MCPFE

1.2. National forest programme

National forest programme (nfp) or similar process		Sources	
Existence of a nfp and current status	<input type="checkbox"/> No	<input type="checkbox"/> Not existing and currently not planned	
		<input type="checkbox"/> Planned for near future: please indicate date	
	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> In formulation	
		<input checked="" type="checkbox"/> In implementation	MCPFE
		<input type="checkbox"/> Under review (monitoring & evaluation stage)	
<input type="checkbox"/> Process temporarily suspended			
Nfp description			
Name of nfp	National Forest Programme of the Slovak Republic.	MCPFE	
Starting year	2007	MCPFE	

Main characteristics of nfp	National Forest Programme of the Slovak Republic (NFP SR) will be a basic document for securing sustainable forest management in the forests. On the 1st March 2007 it was discussed and approved by the Ministry of Agriculture of SR and is under preparation to be submitted for the session of the Government of SR (May 2007) and the National Council of SR (Sep 2007). It was worked out for the period by 2020 by formulating five strategic goals, 18 priorities and 52 general objectives. General objectives will be worked out into more details on regular basis and updated through measures formulated in the Action Plan of the NFP SR.	MCPFE
Chronology of the nfp process	The National Forest Programme is a cross-sectoral document which foresees national and international cooperation with agroforestry and other sectors. The preparatory phase is proposed for 2004 and will imply a first phase of draft structure preparation based on the analysis of domestic and foreign experience, processing of time schedule, expected budget, proposal for national and international expert groups. This phase will be under the overall responsibility of the Forestry Section (Ministry of Agriculture), the Forest Research Institute (LVU), the Institute for Forest Management Planning (Lesoprojekt), the State Forest Enterprise, as well as the associations of non-state forest owners.	Nfp-update
Reference to document(s) and website	http://www.land.gov.sk/sk/download.php?fid=1286	FRA 2010
Coordination mechanism		Nfp-update
Nfp Evaluation matrix		Nfp-update

1.3. International commitments

Main priorities and measures in forest related international commitments	Sources
They are formulated in the NFP SR in Priority14: - Effective implementation of all decisive conclusions from worldwide and European meetings and conferences in strategic, conception, legislative and programme documents on forestry; - Securing active participation of Slovakia in international organs, organizations, initiatives; - Improvement of informing, awareness the foresters and broad public on the intentions of the EU and worldwide initiatives on forestry.	MCPFE

National reports to forest-related international agreements and processes	Sources
link to CPF: http://www.fao.org/forestry/6947/en/	CPF

2. Legislation

FAOLEX search result page on comprehensive Forest-related national legislation			<i>With dynamic links to FAO-LEX (as for the Fisheries Department www.fao.org/fishery/countrysector/FI-CP_BH/5/en)</i>
Title of the text <i>With hyperlink to detailed metadata page</i>	Date of original text	Date of consolidation	Entry into force

Each metadata page will be linked to FAO-LEX and provide additional information on the document e.g.: FAOLEX Id, Original Title, Source, Type of Text, Abstract, Descriptors/keywords and link to the full document.

Forest-related Law/Act/Code		Sources	
Law (Act or Code) on forest with national scope	<input checked="" type="checkbox"/> Yes, specific forest law exists <input type="checkbox"/> Yes, but rules on forests are incorporated in other (broader) legislation <input type="checkbox"/> No, forest issues are not regulated by national legislation	FRA 2010	
If Yes	Name and reference to document	With link to FAOLEX or other website Act on Forests No. 326/2005 [LEX-FAOC079669] http://www.zbierka.sk/zz/predpisy/default.aspx?PredpisID=18775&FileName=05-z326&Rocnik=2005 http://www.zbierka.sk/zz/predpisy/default.aspx?PredpisID=207612&FileName=zz07-00360-0207612&Rocnik=2007	FRA 2010 FAOLEX
	Year of enactment	2005	FRA 2010
	Year of latest amendment	2007	FRA 2010
	Main changes from previous law		

In case the responsibility for law-making is decentralized		Sources
Existence of sub national forest laws	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	FRA 2010
If yes, indicate the number of regions/states/provinces with laws on forests		FRA 2010
Description of issues regulated by sub-national laws		MCPFE 2011

Main characteristics of legal/regulatory framework	Sources
(Please describe the main legal acts and related responsible ministries and/or implementing agency on forests and SFM, as characterized by the criteria and indicators) – but not referring to institutions for law enforcement – see institutions.	MCPFE
-	

Main legal/or reference document per policy area For each area, please specify: name, date of issuance, formal status	Sources
Land use and forest area	<p>Name: 1. Act no 229/1991 of the Digest on Regulation of Ownership Relations towards Land ... in the warding of later regulations 2. Act no 330/1991 of the Digest on Land Arrangements ... in the warding of later regulations 3. Act no 326/2005 of the Digest on Forests 4. NFP SR</p> <p>Date of issuance: 1991, 1991, 2005, 2007</p> <p>Formal status: adopted acts (1-3), in implementation (4)</p>
Carbon balance	<p>Name: 1. NFP SR; 2. CAD; 3. Identification of priorities and capacities development for fulfilment of SR commitments following from global environmental agreements</p> <p>Date of issuance: 1. March 2007, MA SR 2. January 2007, MA SR 3. Nov 2004, Ministry of Environment, MA SR, UNDP/GEF</p> <p>Formal status: all documents are in implementation</p>
Health and vitality	<p>Name: 1. Act no 326/2005 of the Digest on Forests 2. Act no 193/2005 of the Digest on Plant-Medical Care 3. Decree no 453/2006 of the Digest on Forest Management Planning and Forest Protection</p> <p>Date of issuance: 1. 23 June 2005; 2. 2005; 3. 15 July 2006</p> <p>Formal status: All in fully implementation</p>
Production and use of wood	<p>Name: 1. Act no 326/2005 of the Digest on Forests 2. NFP SR</p> <p>Date of issuance: 2005, 2007</p> <p>Formal status: in implementation</p>
Production and use of non-wood goods and services	<p>Name: 1. Act no 326/2005 of the Digest (§9, §12, §13§14, §30, §35, §55) 2. NFP SR 3. Act no 543/2002 of the Digest on the</p>

		<p>nature and landscape protection 4. PRD 2007-2013</p> <p>Date of issuance: 1. 23.06.2005 2. March 2007 3. 29.09.2002 4. March 2007</p> <p>Formal status: All documents are in implementation</p>	
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	<p>Name: 1. Act no 326/2005 of the Digest on Forests 2. Decree no 453/2006 on Forest Management Planning and Forest Protection</p> <p>Date of issuance: 1. 23 June 2005, 2. 15 July 2006</p> <p>Formal status: Parliamentary act and its implementation decree</p>	MCPFE
	Species diversity, incl. tree species composition and threatened forest species	<p>Name: Act on Forests, Decree on Forest Management Planning,</p> <p>Date of issuance: 2005 and 2006, respectively</p> <p>Formal status: Parliamentary act and its implementation decree</p>	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	<p>Name: 1. Act no 217/2004 on Forest Reproductive Material 2. Decree no 571/2004 on Forest Reproductive Material 3. Act no 326/2005 on Forests 4. Decree no 453/2006 on the Forest Management Planning</p> <p>Date of issuance: 1. 2004, 2. 1 November 2004, 3. 23 June 2005, 4. 15 July 2006</p> <p>Formal status: Parliamentary acts and their implementation decrees</p>	MCPFE
Protective services		<p>Name: - Act no 326/2005 of the Digest on Forests - Act no 184/2004 of the Digest on waters 1 July 2004 - Act no 666/2004 of the Digest on protection against floods</p> <p>Date of issuance: 1. 23 June 2005, 2. 1 July 2004, 3. 1 January 2005</p> <p>Formal status: Parliamentary acts and their implementation decrees</p>	MCPFE

Economic viability	<p>Name:</p> <ol style="list-style-type: none"> 1. Act no 326/2005 of the Digest on Forests (§9, §35, §55) 2. SOP ARD (Action 2.1) 3. NFP SR (priorities 9 and 10) 4. PRD 5. CAD <p>Date of issuance: 1. 23.06.2005, 2. February 2003, 3. March 2007, 4. March 2007, 5. January 2007</p> <p>Formal status: All in implementation</p>	MCPFE
Employment (incl. safety and health)	<p>Name:</p> <ol style="list-style-type: none"> 1. Strategy of support to employment on the basis of social system reform and labour market 2. National Action Plan on Employment 2004-2006 3. CAD - Part Forestry <p>Date of issuance: 1. April 2003, Government of SR, 2. July 2004, Ministry of labour, social affairs and family of SR (MLSAF SR), 3. January 2007, MA SR</p> <p>Formal status: All in implementation</p>	MCPFE
Public awareness	<p>Name:</p> <ol style="list-style-type: none"> 1. NFP SR 2. CAD, Part Forestry <p>Date of issuance: 1. March 2007, MA SR, 2. January 2007, MA SR</p> <p>Formal status: all documents are in implementation</p>	MCPFE
Cultural and spiritual values	<p>Name:</p> <ol style="list-style-type: none"> 1. NFP SR 2. CAD - Part Forestry 3. Strategy of Education in Agrarian Sector of SR for the period 2007-2013 (SEAS) 4. Concept of the System of Consultation In Agrarian Sector of SR from the year 2007 5. Manifesto of the Government of the Slovak Republic <p>Date of issuance: 1. March 2007, MA SR; 2. January 2007, MA SR; 3. February, 2007, MA SR; 4. January, 2007, MA SR; 5. July 2006, Government of SR</p> <p>Formal status: documents are under implementation, partially</p>	MCPFE

3. Institutions

Main public organization(s) responsible for forest policy		Sources
Minister/Ministry responsible for forest policy formulation (full title)	Ministry of Agriculture of the Slovak Republic	FRA 2010
Forest administration (institution responsible for forest policy making)	State forestry administration (SFA)	nfp update MCPFE
Level of subordination of the Head of Forestry within the Ministry	<input type="checkbox"/> Other <input checked="" type="checkbox"/> 1 st level subordination to Minister <input type="checkbox"/> 2 nd level <input type="checkbox"/> 3 rd level <input type="checkbox"/> 4 th or lower level	FRA 2010
Additional information on the relationship between the Head of Forestry and the Ministry	Head of Forestry is the head of Forestry Section which is directly subordinated to the Minister of Agriculture	FRA 2010
Main sub-national <u>decentralized</u> institutions if existing		
Other public forest agencies at the national level (organizations responsible for the management of state forests)	<ul style="list-style-type: none"> - Institute of Forest Management Planning (Lesoprojekt) - Forests of the Slovak Republic, state enterprise, Banská Bystrica - Military Forests and Estates of the Slovak Republic, state enterprise, Pliešovce 	FRA 2010
Institution(s) responsible for forest law enforcement	<ul style="list-style-type: none"> - Forestry section of the Ministry of Agriculture of SR - County Forest Offices (8) - District Forest Offices (40) 	FRA 2010

Main characteristics of institutional framework	Sources
Central institutional framework has been applied in Slovakia. A central organ of state administration of forestry and game management is the Forestry Section of Ministry of Agriculture of SR. On 1 January 2004 there was established an independent state administration of forestry by establishment of 8 county forest offices and 39 district forest offices. Since 1 January 2006 National Forest Centre (NFC) came into existence. The NFC consists of four institutes: Forest Research Institute, Institute of Forest Resources and Informatics, Institute of Forestry Education and Consultation and Lesoprojekt - Institute for Forest Management Planning.	MCPFE

Main private organization(s) involved in forest policy formulation (interest groups, associations)	Sources
Association of municipal forests ; Association of forest owners from Banska Bystrica region ; Union of the regional associations of non-state forest owners of Slovakia ; Union of Church forests of Slovakia	MCPFE

Forest policy coordinating mechanism	Sources
In Forest policy, it is most often the Ministry of Agriculture SR as the initiator of changes and innovations by reacting to the changes in the programme of governmental measures, requests from forest owners, various organizations and associations linked to the forests. Coordination functions are performed by the Forestry Section of MA SR, responsible body is the NFC in cooperation with associations of forest owners and forestry chamber.	MCPFE

Most relevant institution(s) per policy area		Sources
Land use and forest area	Forestry Section of the MA SR, Forest offices, Cadastre offices, Land offices. Obligatory persons in accordance to Act no 229/1991 - state forest enterprises.	MCPFE

Carbon balance		Ministry of Environment Ministry of Agriculture	MCPFE
Health and vitality		Forest Protection Service (department in National Forest Centre – Forest research Institute), in accordance section 29, Act no 326/2005 on Forests it secures checking the fulfilments of in forest protection and effectiveness of performed measures. Agricultural Payment Agency is an institution responsible for funding measures and checking their realization. National Forest Centre – Forest Research Institute: securing research tasks.	MCPFE
Production and use of wood		Forestry Section of the MA SR, Ministry of Economy, State Administration of forestry, National Forest Centre	MCPFE
Production and use of non-wood goods and services		Forestry Section of the MA SR - implementation of the legislative regulations and economy tools. - National Forest Centre - research and promotion of the non-wood products and services from forestry, cooperation in the development and implementation of the regulations and economy tools. - Ministry of Environment of the SR - implementation of the legislative regulations and economy tools. - TU Zvolen, Faculty of Forestry - research in the field of non-wood products and services - State Forest Enterprises - Non-State forest enterprises and Associations of non-state forest owners	MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	Forestry Section of the MA SR, State Forest Administration, forest owners and managers	MCPFE
	Species diversity, incl. tree species composition and threatened forest species	Forestry Section of the MA SR, State Forest Administration, National Forest Centre	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	Forestry Section of the MA SR, State Forest Administration, National Forest Centre	MCPFE
Protective services		Forestry Section of the MA SR, State Forest Administration, Ministry of Environment of the SR, National Forest Centre. Forest owners and managers	MCPFE
Economic viability		- Forestry Section of the MA SR - implementation of the legislative regulations and economy tools - National Forest Centre - research and promotion of the non-wood products and services from forestry, cooperation in the development and implementation of the regulations and economy tools - Ministry of Environment of the SR - implementation of the legislative	MCPFE

	regulations and economy tools - Technical University in Zvolen, Faculty of forestry - research in the field of non-wood products and services - State Forest Enterprises - Non-State forest enterprises and Associations of non-state forest owners	
Employment (incl. safety and health)	MLSAF SR, National Labour Inspectorate, Institute for Public Health Sector, National Centre of Information on Health, Ministry of Health of the SR.	MCPFE
Public awareness	MA SR, organizations established by MA SR (NFC, Forests SR state enterprise, Forests of Tatra National Park (TANAP), Forestry Chamber, associations of forest owners, organizations of non-state sector, voluntary organizations, NGOs.	MCPFE
Cultural and spiritual values	National Bureau for Monuments, Ministry of Culture State Nature Conservation, Ministry of Environment	MCPFE

Human resources within public forest institutions						FRA 2010
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Total staff*	-	-	-	-	-	-
...of which with university degree or equivalent*	-	-	-	-	-	-

4. Research and Education

Most relevant institution(s)		Sources
Forestry research institution(s)	National Forest Centre – Forest Research Institute, Technical University in Zvolen – Forestry Faculty, Slovak Academy of Sciences – Institute of Forest Ecology, Research station of the SF of TANAP.	MCPFE
Forestry education institution(s)/centre(s)	In the field of education: NFC - Institute of Forestry Education and Consultation (until 2006 Institute for the Education and Training of the Employees in Forest and Water Management Sector). From 2004 also Technical University in Zvolen - Centre of further education. Secondary forestry schools (3) and Vocational forestry schools (5).	MCPFE

Main research and education policy objectives	Sources
To support research and technological development for increasing competitiveness of forest sector in accordance with sustainable forest management (SFM). Improve education, consultation and technical courses and training in forest sector with regard to the requirements of labour market and building knowledge economics.	MCPFE

Main instruments to achieve the research and education policy objectives	Sources
Basic and applied research in forestry has been implemented in accordance with the acts no. 132/2002 of the Digest on Science and Technology and the Act no. 172/2005 of the Digest on organization of state support to research and development in harmony with the 7FP of EU for science and research as well as Mid-Term Conception of State Policy of the Slovak Republic for Science and Technology. NFP SR Priority 10 is aimed at improvement of economic, legislative, institutional, information instruments to strengthen forest research, technological development, innovations and faster transfer of their results to forest practice. Continuation at the further measures part...	MCPFE

Main research and education legal or reference document(s)			
Name	Date of issuance	Formal status	
1. NFP SR 2. CAD - Part Forestry 3. Strategy of Education in Agrarian Sector of SR for the period 2007-2013 (SEAS) 4. Concept of the System of Consultation In Agrarian Sector of SR from the year 2007 5. Manifesto of the Government of the Slovak Republic	1. March 2007, MA SR; 2. January 2007, MA SR; 3. February, 2007, MA SR; 4. January, 2007, MA SR; 5. July 2006, Government of SR	Documents are under implementation, partially.	MCPFE
Link to Forest-related national legislation (FAOLEX) under 3.Legislation			

Graduation of students and number of professionals working in forest research						FRA 2010
Graduation¹⁾ of students in forest-related education*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Master's degree (MSc) or equivalent	132	16	116	21	63	25
Bachelor's degree (BSc) or equivalent	-	-	-	-	93	18
Technician certificate / diploma	283 (148)	1(0)	307(160)	3(3)	223(120)	7(2)
Professionals working in publicly funded forest research centers*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Doctor's degree (PhD)	155	14	146	18	150	23
Master's degree (MSc) or equivalent	101	32	74	43	59	34
Bachelor's degree (BSc) or equivalent	-	-	-	-	1	0

Annex 3: Mandate of the UNECE/FAO Team of Specialists on Forest Policy in Eastern Europe and Central Asia, 2008-2013.

UNECE/FAO TEAM OF SPECIALISTS ON FOREST POLICY IN EASTERN EUROPE AND CENTRAL ASIA Reference to Integrated Work Programme: Work Areas 5 <i>Programme elements 5.2, 5.3, 5.4, 5.7, 5.8</i>	
A. OBJECTIVES	
<p>To enhance effectiveness of international activities intended to support and contribute to sustainable development of the forest sector in eastern Europe and central Asia, notably through:</p> <ol style="list-style-type: none"> 1. Strengthened forest management and marketing 2. Strengthened policies and institutions 3. Improved forest information management and communication 4. Identifying emerging issues and facilitating dialogue and discussion on important policy and cross-sectoral aspects; 5. Better integrating countries of eastern Europe and central Asia in international networks and forums for discussion of forest sector issues in Eastern Europe and Central Asia 6. Advising the UNECE/FAO secretariat in the dissemination of its products in Eastern Europe and Central Asia, and in the implementation of Work Area 5; 7. Monitoring implementation of the “Strategy for UNECE/FAO Activities in Eastern Europe and Central Asia,” and UNECE/FAO activities on implementing sustainable forest management. 	
B. EXPECTED MAJOR OUTPUTS	
<p>The team will identify priority issues in countries in the region and promote a transparent regional discussion of priorities and best practice in reforming policies and institutions in the sector. It will advise the UNECE/FAO Secretariat, on the implementation of their programmes within the framework of the integrated programme of work. In this context, the Team focuses on the policy and institutional dimension of the work. It will:</p> <ol style="list-style-type: none"> 1. Guide the development of a publication on Forest Policies and Institutions in Eastern Europe; 2. Improve exchange of information and experiences on forest sector policies and institutions between member countries; 3. Raise awareness of existing forest policy information and networks; 4. Promote better integration of countries into international policy networks; 5. Improve public awareness on forest sector issues and issues of a cross-sectoral dimension in eastern Europe and central Asia; 6. Maintain the ToS website. 	
C. BACKGROUND	
ESTABLISHED / APPROVED BY	Joint session of the UNECE Timber Committee and FAO European Forestry Commission, Rome, 23-24 October 2008
DURATION	From 2008 to 2010, renewable to 2013
METHODS OF WORK	To be determined by the team
REPORTING	Once a year to the joint bureaux of the UNECE Timber Committee the and FAO European Forestry Commission
TEAM LEADER	To be nominated during the 1 st meeting of the Team
RESPONSIBLE SECRETARIAT MEMBER	Volker Sasse, (FAO Sub-regional Office for Central and Eastern Europe, Budapest)

Annex 4: PLI Country Profile – Uzbekistan.

Forest Policies & Institutions

Forestry Country Profile

UZBEKISTAN	
Latest update	25/02/2009
Information compiled by	<i>Jérôme Maurice, FAO.</i>

Information sources

Main sources

FRA 2010	http://www.fao.org/forestry/44375/en/
MCPFE qualitative indicators	http://www.unece.org/timber/fra/mcpfe07qualcountryreport.htm
Nfp country reports	http://www.fao.org/forestry/45998/en/
FAO-LEX	http://faolex.fao.org/faolex/

Additional information sources

UNFF country reports	http://www.un.org/esa/forests/reports.html
UNECE's Environmental Performance Reviews	http://www.unece.org/env/epr/publications.htm
Montreal criteria and indicators process	http://www.rinya.maff.go.jp/mpci/meetings_e.html
ITTO	
EFI EUROFOREST portal	http://forestportal.efi.int/lists.php?pl=02&sf=1

National website(s)

	forestry.uz
	Krtiny 08 report

POLICY & INSTITUTIONS

1. Policy

1.1 Policy formulation and implementation

Forest policy statement with national scope			Sources ¹
Existence	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	FRA 2010 MCPFE 2010
Forest Policy Statement name and reference to document			FRA 2010 nfp update MCPFE 2010
Year of endorsement			FRA 2010 nfp update MCPFE 2010
Endorsing Official Body			nfp UPDATE
Additional information			nfp-update FRA 2010 comments
Documentation - links			

In the case responsibility for forest policy is decentralized			Sources
Existence of sub-national forest policy statements	Yes <input type="checkbox"/>	No <input type="checkbox"/>	FRA 2010
If yes: Number of regions/states/provinces with forest policy statements* (and names of regions/states/provinces)			FRA 2010
Documentation – links			nfp update

Main overall objectives of forest policy		Sources
<ul style="list-style-type: none"> - Forest protection from destructive anthropogenic impacts - Expansion of protective afforestation areas, particularly for desertification combating. - Conservation of biological diversity (by expansion of protected areas and strengthening their management (with special attention on tugai forests) - Development of multifunctional plantations by the private sector and local communities - Community forestry 		Krtiny 2008
Main guiding principles or instruments for policy implementation		Sources
- Regulatory acts		EPR
Additional information		
		nfp-update

Main objective by policy area		
Land use and forest area		MCPFE
Carbon balance		MCPFE
Health and vitality		MCPFE
Production and use of wood		MCPFE
Production and use of non-wood goods and services		MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	MCPFE
	Species diversity, incl. tree species composition and	MCPFE

¹ Sources are indicated for internal reference and discussion, not to be displayed in final database

	threatened forest species		
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production		MCPFE
Protective services			MCPFE
Economic viability			MCPFE
Employment (incl. safety and health)			MCPFE
Public awareness			MCPFE
Research, training and education			MCPFE
Cultural and spiritual values			MCPFE

Main instruments used for achieving the main policy objectives, by policy area			
Land use and forest area			MCPFE
Carbon balance			MCPFE
Health and vitality			MCPFE
Production and use of wood			MCPFE
Production and use of non-wood goods and services			MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns		MCPFE
	Species diversity, incl. tree species composition and threatened forest species		MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production		MCPFE
Protective services			
Economic viability			MCPFE
Employment (incl. safety and health)			MCPFE
Public awareness			MCPFE
Research, training and education			MCPFE
Cultural and spiritual values			MCPFE

1.2 National forest programme

National forest programme (nfp) or similar process			Sources
Existence of a nfp and current status	<input type="checkbox"/> No	<input type="checkbox"/> Not existing and currently not planned	
		<input type="checkbox"/> Planned for near future: please indicate date	
	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> In formulation	FRA 2010, Krtiny 2008
		<input type="checkbox"/> In implementation	
		<input type="checkbox"/> Under review (monitoring & evaluation stage)	
	<input type="checkbox"/> Process temporarily suspended		
Nfp description			
Name of nfp	National Forest Programme and Action Plan of the Republic of Uzbekistan		FRA 2010
Starting year	2006		FRA 2010
Main characteristics of nfp	Uzbekistan is a Facility country		FRA 2010
Chronology of the nfp process			
Reference to document(s) and website	www.forestry.uz		FRA 2010
Coordination mechanism			
Nfp Evaluation matrix			

1.3. International commitments

Main priorities and measures in forest related international commitments	Sources
	MCPFE

National reports to forest-related international agreements and processes	Sources
link to CPF: http://www.fao.org/forestry/6947/en/	CPF

2. Legislation

FAOLEX search result page on comprehensive Forest-related national legislation			With dynamic links to FAO-LEX (as for the Fisheries Department www.fao.org/fishery/countrysector/FI-CP_BH/5/en)
Title of the text With hyperlink to detailed metadata page	Date of original text	Date of consolidation	Entry into force

Each metadata page will be linked to FAO-LEX and provide additional information on the document e.g.: FAOLEX Id, Original Title, Source, Type of Text, Abstract, Descriptors/keywords and link to the full document.

Forest-related Law/Act/Code		Sources
Law (Act or Code) on forest with national scope		<input checked="" type="checkbox"/> Yes, specific forest law exists <input type="checkbox"/> Yes, but rules on forests are incorporated in other (broader) legislation <input type="checkbox"/> No, forest issues are not regulated by national legislation
If Yes	Name and reference to document	the Forestry Code [LEX-FAOC041428]
	Year of issuance	1978
	Year of latest amendment	1999 (Law "On Forest")
	Main changes from previous law	
		forest and forests products CP forest and forests products CP forest and forests products CP MCPFE 2011

In case the responsibility for law-making is decentralized		Sources
Existence of sub national forest laws	Yes <input type="checkbox"/> No <input type="checkbox"/>	FRA 2010
If yes, indicate the number of regions/states/provinces with laws on forests		FRA 2010
Description of issues regulated by sub-national laws		MCPFE 2011

Main characteristics of legal/regulatory framework	Sources
Legislation in Uzbekistan is adopted both on the national level and on the level of the Republic of Karakalpakstan. National legislation is equally valid in Uzbekistan and in the Republic of Karakalpakstan. The legislative acts of Karakalpakstan are valid only in the territory of the Republic, but they have to conform to the legislation of Uzbekistan.	EPR

Main legal/or reference document per policy area		Sources	
For each area, please specify: name, date of issuance, formal status			
Land use and forest area	<p>“Land Code”(1998) Law “On land”(1990) “About Organization of Activity of the Main Forestry Department under the Ministry of Agriculture and Water Resources of the Republic of Uzbekistan”(?) Law “On protection of Nature” (1992) Law “On Forest”(1999)</p>	<p>forest and forests products CP State and development of forestry sector in Uzbekistan till 2020 EPR</p>	
Carbon balance			
Health and vitality	<p>Law “On protection of atmospheric air” (1996) Law “On protection of Nature” (1992)</p>	<p>forest and forests products CP EPR</p>	
Production and use of wood	<p>Law “On protection of Nature” (1992) Law “On Forest”(1999)</p>	<p>EPR FAOLEX</p>	
Production and use of non-wood goods and services	<p>Law “On protection of Nature” (1992) Law “On Forest”(1999)</p>	<p>EPR FAOLEX</p>	
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	<p>Law “On protection of Nature” (1992) Law “On specially protected natural territories” (1993) Law “On protection and use of wildlife” (1997) Law “On protection of plant life”(1997)</p>	<p>forest and forests products CP EPR</p>
	Species diversity, incl. tree species composition and threatened forest species	<p>Law “On protection and use of wildlife” (1997) “About Protection and Use of Flora”(?)</p>	<p>forest and forests products CP State and development of forestry sector in Uzbekistan till 2020 EPR</p>
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production		
Protective services	<p>Law “On Water and land use” (1993)</p>	<p>forest and forests products CP</p>	
Economic viability			
Employment (incl. safety and health)			
Public awareness	<p>Law “On protection of Nature” (1992)</p>	<p>EPR</p>	
Research, training and education			
Cultural and spiritual values			

3. Institutions

Main public organization(s) responsible for forest policy		Sources
Minister/Ministry responsible for forest policy formulation (full title)	Ministry of Agriculture and Water Resources of the Republic of Uzbekistan	FRA 2010 ffp cp forestry.uz
Forest administration (institution responsible for forest policy making)	Main Department of Forestry under the Ministry of Agriculture and Water Resources of the Republic of Uzbekistan	Forest and forest products country profiles forestry.uz
Level of subordination of the Head of Forestry within the Ministry	<input type="checkbox"/> None ¹ <input type="checkbox"/> 1 st level subordination to Minister* <input type="checkbox"/> 2 nd level <input checked="" type="checkbox"/> 3 rd level <input type="checkbox"/> 4 th or lower level	FRA 2010 forestry.uz
Additional information on the relationship between the Head of Forestry and the Ministry		Nfp-update
Other public forest agencies at the national level (organizations responsible for the management of state forests)	Main Department of Forestry MDHRNP State Committee on Nature Protection of the Republic of Uzbekistan	FRA 2010 Forest and forest products country profiles State and development of forestry sector in Uzbekistan till 2020 forestry.uz
Institution(s) responsible for forest law enforcement	State Committee for Nature Protection Ministry of Agriculture	FRA 2010 Forest and forest products country profiles forestry.uz
Main sub-national <u>decentralized</u> institutions if existing		

Main characteristics of institutional framework	Sources
	MCPFE

Main private organization(s) involved in forest policy formulation (interest groups, associations)	Sources
	MCPFE

Forest policy coordinating mechanism	Sources
State committee for Nature Protection Main Forestry Department	Forest and forest products country profiles State and development of forestry sector in Uzbekistan till 2020

¹ Proposed additional category as for some countries, e.g. Bulgaria, there is no subordination as the Forestry institution is equivalent to a Ministry

Most relevant institution(s) per policy area		Sources
Land use and forest area		
Carbon balance		
Health and vitality		
Production and use of wood		
Production and use of non-wood goods and services		
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	
	Species diversity, incl. tree species composition and threatened forest species	
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	
Protective services		
Economic viability		
Employment (incl. safety and health)		
Public awareness		the Forestry Institute EPR
Cultural and spiritual values		

Human resources within public forest institutions ¹						FRA 2010
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Total staff*						
...of which with university degree or equivalent*						

5. Research and education

Most relevant institution(s)		Sources
Forestry research institution(s)	Academy of Sciences including the Scientific Corporation "Botanika" and the Institute of Genetics and Experimental Biology Plants State University – Biology Faculty	forest and forests products CP
Forestry education institution(s)/centre(s)	Tashkent State Agrarian University Kensai Forestry College Surkhandarya Region Forestry College Training Center for Improvement of Forester's Qualification	forest and forests products CP

Main research & education policy objectives	Sources
	MCPFE

Main instruments used for achieving the main research & education objectives	Sources
	MCPFE

¹ Information reported usually weak

Graduation of students and number of professionals working in forest research						FRA 2010
Graduation ¹⁾ of students in forest-related education*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Master's degree (MSc) or equivalent						
Bachelor's degree (BSc) or equivalent						
Technician certificate / diploma						
Professionals working in publicly funded forest research centers*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Doctor's degree (PhD)						
Master's degree (MSc) or equivalent						
Bachelor's degree (BSc) or equivalent						

ECONOMY & FINANCE

Financial instruments/Economic policy		Sources
Main priorities and characteristics of forest-related economic policy		MCPFE
Main priorities and characteristics of financial instruments		MCPFE
Main reference document(s)		MCPFE

Forest revenues* (1000 local currency)		Sources
2000	2005	FRA 2010

Forest expenditures (1000 local currency)						Sources	
	Domestic funding*		External funding*		Total*		FRA 2010
	2000	2005	2000	2005	2000	2005	
Operational expenditure							
Transfer payments							
Total public expenditure							
Objectives of transfer payments (multiple selection possible)	<input type="checkbox"/> Reforestation <input type="checkbox"/> Afforestation <input type="checkbox"/> Forest inventory and/or planning <input type="checkbox"/> Conservation of forest biodiversity <input type="checkbox"/> Protection of soil and water <input type="checkbox"/> Forest stand improvement <input type="checkbox"/> Establishment or maintenance of protected areas <input type="checkbox"/> Other, specify below						

Annex 5: Criterion 7 and the corresponding indicators for Sustainable Forest Management adopted by the Montreal Process in November 2008.

Revised Indicator titles adopted at the 19th Montreal Process Working Group Meeting, Moscow, Russian Federation. November 2008

- *Source:* <http://www.rinya.maff.go.jp/mpci/meetings/19an-3.pdf>

Criterion 7: Legal, institutional and economic frameworks for forest conservation and sustainable management

- 7.1.a Legislation and policies supporting the sustainable management of forests
- 7.1.b Cross sectoral policy and programme coordination
- 7.2.a Taxation and other economic strategies that affect the sustainable management of forests
- 7.3.a Clarity and security of land and resource tenure and property rights
- 7.3.b Enforcement of laws related to forests
- 7.4.a Programmes, services and other resources supporting the sustainable management of forests
- 7.4.b Development and application of research and technologies for the sustainable management of forests
- 7.5.a Partnerships to support the sustainable management of forests
- 7.5.b Public participation and conflict resolution in forest-related decision making
- 7.5.c Monitoring, assessment and reporting on progress towards sustainable management of forests

3 C&I reporting format

Criterion 1: Enabling conditions for sustainable forest management

This criterion addresses the general institutional requirements that are necessary to make sustainable forest management possible. Most of the related indicators cover the legal, policy and institutional frameworks and are mainly descriptive in nature. Taken together, the information gathered under this criterion indicates the extent of a country's political commitment to sustainable forest management.

Indicators		National level*	FMU level*																																
<p>Policy, legal and governance framework</p> <p>To ensure sustainable forest management it is important that forest resources, especially the PFE, are secured and protected and that they are managed in accordance with best management practices involving all stakeholders, in particular local communities who are dependent on the forest.</p>																																			
1.1	Existence and implementation of policies, laws and regulations to govern forest management	✓	✗																																
<p>Table 1: Presence (✓) or absence (✗) of laws, policies and regulations</p> <table border="1"> <thead> <tr> <th>Framework governing:</th> <th>Policies</th> <th>Laws</th> <th>Regulations</th> </tr> </thead> <tbody> <tr> <td>(a) national objectives for forest including production, conservation, protection and investment</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(b) establishment and security of the PFE</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(c) forest tenure and property rights in relation to forests</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(d) participation of local communities and other stakeholders in forest management</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(e) control of illegal activities in forest areas</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(f) control of forest management</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(g) health and safety of forest workers</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> List all relevant laws, policies and regulations. For each of the laws, policies and regulations, give a brief description of any sections that are significant in relation to categories (a) through (g). List any significant gaps in the coverage of laws, policies and regulations and indicate how it is proposed that these gaps will be filled. List any significant changes that have been made to the laws, policies and regulations listed in your last report and give the date of each change. 		Framework governing:	Policies	Laws	Regulations	(a) national objectives for forest including production, conservation, protection and investment				(b) establishment and security of the PFE				(c) forest tenure and property rights in relation to forests				(d) participation of local communities and other stakeholders in forest management				(e) control of illegal activities in forest areas				(f) control of forest management				(g) health and safety of forest workers					
Framework governing:	Policies	Laws	Regulations																																
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(f) control of forest management																																			
(g) health and safety of forest workers																																			

* All the criteria are valid at both the national and FMU levels. In the case of the indicators, the level at which an indicator applies is noted with a '✓'; if it does not apply, a '✗' sign is used.

Indicators		National level	FMU level			
1.2	Forest tenure and ownership ¹	✓	✓			
	Table 2: Extent of forest tenure and ownership of forests					
	<i>Class</i>			<i>Category</i>	<i>Area (ha)</i>	
	PFE			Public - State/federal (incl. concessions) - Municipalities (incl. concessions) - Other public		
				Private - Firms, associations - Individuals, families		
				Indigenous communities		
	Non-PFE			Public - State/federal (incl. concessions) - Municipalities (incl. concessions) - Other public		
				Private - Firms, associations - Individuals, families		
Indigenous communities						
<ul style="list-style-type: none"> Specify tenure and ownership situation according to the country's laws. 						
<p>Economic framework</p> <p>One of the most important requirements for sustainable forest management to succeed is the availability of financial resources, as well as the provision of incentives and appropriate economic instruments that promote and support sustainable forest management.</p>						
1.3	Amount of funding in forest management, administration, research and human resource development	✓	✓			
	Table 3: Amount of funding for the latest available year					
	<i>Source</i>			<i>Year</i>	<i>Funding (US\$ '000)</i>	<i>Comments</i>
	Government sources - National government - Sub-national government					
	International development partners - Grant - Loan					
	Private sources - Domestic - Foreign					
	<ul style="list-style-type: none"> Provide the exchange rate if reported in national currency. Indicate if funding is annual or multi-year budget. 					

¹ Annex 5 provides further details of land ownership categories.

Indicators		National level	FMU level																												
1.4	Existence and implementation of economic instruments and other incentives to encourage sustainable forest management <ul style="list-style-type: none"> • Are economic instruments and other incentives being implemented to encourage sustainable forest management? • If yes, give the name of each economic instrument/incentive, a short description and explanation of how it is used, and the main institution(s) responsible for its implementation. 	✓	✓																												
<p><i>Institutional framework</i></p> <p>Besides the availability of financial resources, there must be adequate institutions and personnel to undertake sustainable forest management. These include effective implementing agencies, research institutions and appropriately trained personnel to ensure that management is in accordance with scientific and technical knowledge.</p>																															
1.5	Structure and staffing of institutions responsible for sustainable forest management	✓	✗																												
Table 4: Institutions responsible for sustainable forest management																															
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Name</th> <th style="width: 25%;">Nature of responsibilities</th> <th style="width: 25%;">Staff (number)</th> <th style="width: 25%;">Contact (website/email)</th> </tr> </thead> <tbody> <tr> <td>Primary ministry in charge</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other institutions</td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Name	Nature of responsibilities	Staff (number)	Contact (website/email)	Primary ministry in charge				Other institutions																					
Name	Nature of responsibilities	Staff (number)	Contact (website/email)																												
Primary ministry in charge																															
Other institutions																															
1.6	Number of professional and technical personnel at all levels to perform and support forest management	✓	✓																												
Table 5: Personnel implementing and supporting forest management																															
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 40%;">Category of personnel</th> <th colspan="2" style="text-align: center;">Number</th> </tr> <tr> <th style="width: 30%;">Governmental</th> <th style="width: 30%;">Non-governmental</th> </tr> </thead> <tbody> <tr> <td>Professionals (university or technical qualification)</td> <td></td> <td></td> </tr> <tr> <td>Trained forest workers, full- and part-time</td> <td></td> <td></td> </tr> <tr> <td>Others</td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td></td> <td></td> </tr> </tbody> </table>	Category of personnel	Number		Governmental	Non-governmental	Professionals (university or technical qualification)			Trained forest workers, full- and part-time			Others			Total															
Category of personnel	Number																														
	Governmental	Non-governmental																													
Professionals (university or technical qualification)																															
Trained forest workers, full- and part-time																															
Others																															
Total																															
1.7	Existence of communication strategies and feedback mechanisms to increase awareness of sustainable forest management	✓	✓																												

Indicators		National level	FMU level			
1.8	Existence of, and ability to apply, appropriate technology to practise sustainable forest management and the efficient utilization and marketing of forest products	✓	✓			
	<ul style="list-style-type: none"> Describe any technology (especially forest engineering and harvesting technology) used to enhance sustainable forest management and the effects of using such technology. Describe any recent changes in the technology used. Are any improvements proposed? Are there any constraints to introducing improvements? 					
Planning framework Adequate planning, the use of proper technologies and effective monitoring and control are essential for achieving sustainable forest management.						
1.9	Capacity and mechanisms for planning sustainable forest management and for periodic monitoring, evaluation and feedback on progress	✓	✓			
	<ul style="list-style-type: none"> Describe the mechanisms used for planning sustainable forest management (including periodic monitoring, evaluation and feedback on progress). Describe the capacity available and institutions responsible for these purposes. List the major constraints encountered in planning. 					
1.10	Public participation in forest management planning, decision-making, data collection, monitoring and assessment	✓	✓			
	<ul style="list-style-type: none"> List the institutions responsible for these processes. Describe the processes of public participation, indicating the parties involved and their level of involvement. Are any improvements proposed and are there constraints for their introduction? 					
1.11	Existence of forest management plans	✓	✓			
	Table 6: Forest management plans					
				<i>PFE</i>	<i>Non-PFE</i>	<i>Total</i>
	Production forests - Number of management plans - Area (ha)					
	Protected forests - Number of management plans - Area (ha)					
	<ul style="list-style-type: none"> Describe the effectiveness of implementation of forest management plans. Are any improvements proposed, and are there constraints to their introduction? 					

Criterion 7: Economic, social and cultural aspects

This criterion deals with the economic, social and cultural aspects of forests. A well-managed forest is a self-renewing resource producing a host of benefits, which might include supplying high-quality timber and satisfying the basic needs of people living in and around the forest. It also contributes to the quality of life of the population by providing opportunities for recreation and ecotourism, as well as by generating employment and investment in processing industries. If sustainably managed, the forest therefore has the potential to make an important contribution to the overall sustainable development of the country.

Indicators		National level*	FMU level*																															
<p>Socioeconomic aspects</p> <p>In addition to its ability to provide employment and other social and environmental benefits to society, the very existence of a forest is often dependent on its capacity to generate sufficient financial resources to make it an economically viable land-use.</p>																																		
7.1	<p>Value and percentage contribution of the forestry sector to GDP</p> <p>Table 27: Contribution of the forestry sector to GDP</p> <table border="1"> <thead> <tr> <th></th> <th><i>GDP total (US\$ '000)</i></th> <th><i>% forestry sector</i></th> </tr> </thead> <tbody> <tr> <td>Reference year (specify)</td> <td></td> <td></td> </tr> <tr> <td>Reference year minus five years</td> <td></td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> Indicate/describe the extent to which the informal forestry sector contributes to GDP. Indicate sources used. 		<i>GDP total (US\$ '000)</i>	<i>% forestry sector</i>	Reference year (specify)			Reference year minus five years			✓	✗																						
	<i>GDP total (US\$ '000)</i>	<i>% forestry sector</i>																																
Reference year (specify)																																		
Reference year minus five years																																		
7.2	<p>Value of domestically produced wood, non-wood forest products and environmental services in:</p> <p>(a) domestic markets;</p> <p>(b) export markets; and</p> <p>(c) informal markets including subsistence and illegal activities (estimate)</p> <p>Table 28: Estimated market value of forest products and services</p> <table border="1"> <thead> <tr> <th rowspan="2"><i>Goods and services</i></th> <th colspan="3"><i>Market (US\$ '000)</i></th> </tr> <tr> <th><i>Domestic</i></th> <th><i>Export</i></th> <th><i>Informal</i></th> </tr> </thead> <tbody> <tr> <td>Timber products</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Fuelwood</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Non-wood forest products</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Water</td> <td></td> <td></td> <td>N/A</td> </tr> <tr> <td>Carbon</td> <td></td> <td></td> <td>N/A</td> </tr> <tr> <td>Others (specify)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> Provide the exchange rate if reported in national currency. Indicate reference year. Timber products should be calculated as the sum of primary and secondary products, including wood furniture and other secondary wood products. 	<i>Goods and services</i>	<i>Market (US\$ '000)</i>			<i>Domestic</i>	<i>Export</i>	<i>Informal</i>	Timber products				Fuelwood				Non-wood forest products				Water			N/A	Carbon			N/A	Others (specify)				✓	✓
<i>Goods and services</i>	<i>Market (US\$ '000)</i>																																	
	<i>Domestic</i>	<i>Export</i>	<i>Informal</i>																															
Timber products																																		
Fuelwood																																		
Non-wood forest products																																		
Water			N/A																															
Carbon			N/A																															
Others (specify)																																		

* The level at which an indicator applies is noted with a '✓'; if it does not apply, a '✗' sign is used.

Indicators		National Level	FMU Level					
7.3	Forest products' industry structure and efficiency	✓	✓					
	Table 29: Forest production capacities							
				<i>Number of companies</i>	<i>Log input (m³)</i>	<i>Conversion efficiency (%)</i>	<i>Installed capacity</i>	<i>Employment</i>
	Timber harvesting							
	Primary transformation							
	Secondary transformation							
	Tertiary transformation							
<ul style="list-style-type: none"> Indicate units and sources. 								
7.4	Existence and implementation of mechanisms for the equitable sharing of the costs and benefits of forest management	✓	✓					
	<ul style="list-style-type: none"> List any mechanisms for the distribution of incentives and the fair and equitable sharing of costs and benefits among the parties involved.⁴ Are they being implemented? Are there obstacles to their implementation? Are improvements proposed? 							
7.5	Existence and implementation of conflict-resolution mechanisms for resolving disputes between forest stakeholders	✓	✓					
	<ul style="list-style-type: none"> List any mechanisms for conflict resolution. Are they being implemented? Are there obstacles to their implementation? Are improvements proposed? 							
7.6	Number of people depending on forests for their livelihoods	✓	✓					
	Table 30: Forest-dependent people							
				<i>Total number</i>	<i>Male</i>	<i>Female</i>	<i>Migrants</i>	
	Employed in forest operations							
	Employed in forest products' industry							
	Other indirect employment							
Subsistence								

⁴ Matters which may be taken into account include:

- the equitable treatment of interested parties in activities related to the use and management of forests;
- the opportunity for interested parties to be employed under comparable conditions to those in other economic sectors;
- the existence of effective mechanisms for communication and the resolution of conflicts between interested parties;
- the possession by the public of an effective voice in decisions relating to forest management;
- the share of the profits received by forest companies to be reasonable in relation to benefits received by other parties; and
- the ability of forest landowners or right-holders (government, private, community, etc) to receive a fair return for the use of their forest lands.

Indicators		National Level	FMU Level																												
7.7	<p>Training, capacity-building and manpower development programs for forest workers</p> <ul style="list-style-type: none"> Indicate the number and main focus of universities, technical institutions, etc, with a formal program on sustainable forest management. List short- and medium-term training programs for forest managers over the last year. List short- and medium-term training programs for concessionaires over the last year. 	✓	✓																												
7.8	<p>Existence and implementation of procedures to ensure the health and safety of forest workers</p> <ul style="list-style-type: none"> What mechanisms are in place to ensure the health and safety of forest workers? Are these mechanisms being implemented? Identify any constraints. Are mechanisms in conformity with International Labour Organization Resolution 169? Indicate the number of serious accidents (death, serious injury) in forest management operations over the past three years. Specify the causes. 	✓	✓																												
7.9	<p>Area of forests upon which people are dependent for subsistence uses and traditional and customary lifestyles</p> <p>Table 31: Forest areas for subsistence and traditional uses</p> <table border="1"> <thead> <tr> <th></th> <th><i>PFE (ha)</i></th> <th><i>Non-PFE (ha)</i></th> <th><i>Total (ha)</i></th> </tr> </thead> <tbody> <tr> <td>Indigenous peoples' reserves</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Community forests</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other reserved areas</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other forested areas</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other (specify)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> Specify the types of forests used for subsistence, traditional and/or customary lifestyles if different from those listed in Table 31. 		<i>PFE (ha)</i>	<i>Non-PFE (ha)</i>	<i>Total (ha)</i>	Indigenous peoples' reserves				Community forests				Other reserved areas				Other forested areas				Other (specify)				Total				✓	✓
	<i>PFE (ha)</i>	<i>Non-PFE (ha)</i>	<i>Total (ha)</i>																												
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Community forests																															
Other reserved areas																															
Other forested areas																															
Other (specify)																															
Total																															
7.10	<p>Number and extent of forest sites available primarily for:</p> <p>(a) research and education; and</p> <p>(b) recreation</p> <p>Table 32: Forest areas for research and recreation</p> <table border="1"> <thead> <tr> <th></th> <th><i>Number of sites</i></th> <th><i>Area (ha)</i></th> <th><i>Average annual number of users (most recent three years)</i></th> </tr> </thead> <tbody> <tr> <td>Research and education</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Recreation</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Number of sites</i>	<i>Area (ha)</i>	<i>Average annual number of users (most recent three years)</i>	Research and education				Recreation				✓	✗																
	<i>Number of sites</i>	<i>Area (ha)</i>	<i>Average annual number of users (most recent three years)</i>																												
Research and education																															
Recreation																															

Indicators		National Level	FMU Level	
<p>Cultural aspects</p> <p>Forests often contain natural, archaeological or cultural features of outstanding or unique value. In many countries, forests also play significant spiritual roles (eg sacred forests).</p>				
7.11	Number of important archaeological, cultural and spiritual sites identified and protected	✓	✓	
	Table 33: Forests with cultural and spiritual value			
	<i>Type</i>	<i>Number of forests</i>	<i>Area (ha)</i>	<i>Protection status</i>
	Archaeological			
	Cultural			
	Sacred forests			
	Others (specify)			
	<ul style="list-style-type: none"> Provide an overall assessment of whether the integrity of such areas is protected and how. 			
<p>Community and indigenous peoples' rights and participation</p> <p>Community participation is vital at all levels of forestry operations to ensure transparency and accountability in forest management, conservation and development and that all interests and concerns are taken into account. This requires openness from forest agencies, forest owners and concessionaires.</p>				
7.12	Extent to which tenure and user rights of communities and indigenous peoples over publicly owned forests are recognized and practised	✓	✓	
	<ul style="list-style-type: none"> Are such tenure and user rights recognized and practised? If so, how? Describe any constraints and proposals for improvements. 			
7.13	Extent to which indigenous knowledge is used in forest management planning and implementation	✓	✓	
	<ul style="list-style-type: none"> Is indigenous knowledge used? If so, how? Describe any constraints and proposals for improvements. 			
7.14	Extent of involvement of indigenous peoples, local communities and other forest dwellers in forest management capacity-building, consultation processes, decision-making and implementation	✓	✓	
	<ul style="list-style-type: none"> Describe the extent of involvement in forest management of: <ul style="list-style-type: none"> capacity-building; consultation processes; decision-making; and implementation (eg financial and economic aspects of forest utilization). Indicate the legal basis of this involvement. Describe shortcomings and proposals for improvement. 			

Annex 7: Criteria and indicators for Sustainable Forest Management related to the *PLI* frameworks, developed by the joint-effort ATO/ITTO.

ATO/ITTO - National-level Principles, Criteria and Indicators for SFM (related to *PLI* frameworks)

Principle 1 Sustainable forest utilization and maintenance of the multiple functions of forests are a high political priority.

Criterion 1.1 The State has clear objectives for the sustainable utilization of the forest heritage and a realistic action program for their achievement.

- Indicator 1.1.1 At the international level, the State has ratified or accepted the treaties, conventions or recommendations related to the sustainable development of forests.
- Indicator 1.1.3 There is a forest policy and related forestry laws which are recognized by the various stakeholders. This forest policy and its laws prescribe the norms of forest management, resource allocation and resource use in order to achieve sustainable management.
- Indicator 1.1.4 The forest laws and directives and all other national guidelines and norms of forest management are known by all stakeholders.
- Indicator 1.1.9 There is a functional industrial policy favourable to the sustainable management of the forestry sector.
- Indicator 1.1.10 The legislative texts relating to the use of non-timber forest products, especially the hunting of wildlife and the harvesting of wild produce, respect as well as ensure the sustainable management of these resources.
- Indicator 1.1.11 The State policy for sustainable forest management promotes the development of the local economy and entrepreneurship in the forest zone.
- Indicator 1.1.12 There is a policy for the protection and conservation of forest ecosystems and of sites of archeological interest and cultural value.
- Indicator 1.1.13 National forest policies take into account the potential value of the carbon storage functions of forests.

Criterion 1.2 An institutional framework exists to achieve the objectives of sustainable forest management.

- Indicator 1.2.1 There is an established and functional forestry service/administration to ensure the direct or delegated management of all forests.
- Indicator 1.2.2 There is a research institution to develop the necessary scientific and technical knowledge for sustainable forest management.
- Indicator 1.2.3 Coordination and negotiation mechanisms exist at different stakeholder levels for discussing the objectives of the sustainable forest management policy, the implementation of modalities for conflict resolution, and the formulation of common rules between them.
- Indicator 1.2.4 Mechanisms exist to promote the participation of different stakeholders, particularly rural communities, in the management of forests.

Annex 8: Criterion 7 and the corresponding indicators for Sustainable Forest Management adopted by the Dry-Zone Africa Process (CILSS2 and the IGADD countries).

Criterion 7: Adequacy of LEGAL, INSTITUTIONAL AND POLICIES FRAMEWORKS for sustainable forest management.

- Existence of a national forest policy including the integration of forest management in rural land-use planning and development
- Existence of a comprehensive legislative and regulatory framework providing for equitable access to resources, alternative forms of conflict resolution and consideration of land occupancy and cultural rights of local populations
- Institutional, human and financial capacity to implement the national forestry policy, and relevant national and international laws, instruments and regulations
- Research and development capacity
- Existence of incentives for investments in the forestry sector
- Valorisation of local expertise, knowledge and technologies
- Existence of measures to facilitate the transfer and adaptation of appropriate technologies
- Existence of an administrative, policy and legal framework for the effective participation of local communities, NGOs and the private sector in forest policy formulation, implementation and monitoring.

Annex 9: Criteria and indicators for Sustainable Forest Management related to the *PLI* frameworks, developed by the Tarapoto Proposal.

Results of the National Consultations (2001) : selection of 15 indicators “consensual and very applicable”.

CRITERIA AT THE NATIONAL LEVEL

Criterion 1. Policies and Juridical and Institutional Framework for Sustainable Forest Development:

- Indicator 1. Policies and juridical framework for environmental organization through ecological economic zoning.

CRITERIA AT THE MANAGEMENT UNIT LEVEL

Criterion 4. Juridical and institutional framework:

- Indicator 7. Forest management plan approved by the competent authority.
- Indicator 8. Periodicity of evaluation of management plan compliance and average compliance percentage

Annex 10: Criteria and indicators for Sustainable Forest Management related to the *PLI* frameworks, developed by the Lepaterique Process.

1. Regional criteria and indicators for Central America

Criterion 1: Existence of a legal, political, institutional, technical and socio-economic framework which promotes and guarantees sustainable forest management and conservation of the resources

- 1.1 Implementation of well-defined regional policies related to the development, conservation, protection and sustainable management of forests.
- 1.2. Harmonization of legislation at regional level in support of sustainable forest management.
- 1.3. Operationalization of regional institutional support to sustainable forest management activities in Central America.
- 1.4. Regional economic integration recognizes the significant contribution which sustainable forest management can make in the socio-economic development of the region.
- 1.5. Standardized technical guidelines and for sustainable forest management in the region.
- 1.6. Fulfilment of economic and social functions of forest resources, with due concern to the needs of local communities which depend on the forest.
- 1.7. Financial mechanisms which promote the sustainable use of forest resources.

- 1.8. Norms that regulate forest practices in such a way that they will assure implementation of sustainable forest management.
- 1.9. National plans that support research and training in natural resource management.
- 1.10. Overall access to and exchange of technology and information.
- 1.11. Percentage of population with legal land titles.

II. National level criteria and indicators for Central America

Criterion 1: Existence of a legal, political, institutional, technical and socio-economic framework which promotes and guarantees the sustainability of forest management and the conservation of the forest resources

- 1.1. A dynamic and participative forest policy integrated with other sectors; and implemented in support of sustainable forest management.
- 1.2. Forest legislation which facilitates the implementation of national forest policies and of established forest management plans.
- 1.3. Availability of technical and financial resources which permit governmental and non-governmental institutions to implement and supervise adherence to established forest policies.
- 1.4. Updating of curricula in forestry training institutions.
- 1.5. Economic policies which promote the sustainable management of forest resources.
- 1.6. Implementation of a National Forest Research Plan which aims at strengthening the capacity for transfer.
- 1.7. Norms that regulate forestry practices in such a way that they will assure the implementation of sustainable forest management.
- 1.8. A legal framework that guarantees respect for cultural values and for the use of forest resources in property of local dwellers with emphasis on indigenous communities.
- 1.9. Providing means to stakeholders and local governments to strengthen their involvement in, and support to, sustainable forest management.

Criterion 7: Scientific and technological capacities for the development of the forest resource

- 7.3. Investment in forestry research, training and education and in technology transfer.
- 7.4. Implementation of a national forest research and training plan in support of natural resource management.
- 7.5. Mechanisms for horizontal cooperation in forestry.

<p style="text-align: center;">Annex 11: Criteria and indicators for Sustainable Forest Management related to the <i>PLI</i> frameworks, developed by the Asian Dry-Forest Process.</p>
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Member countries: Bangladesh, Bhutan, China, India, Mongolia, Myanmar, Nepal, Sri Lanka, and Thailand

The “Regional Initiative for the Development and Implementation of National Level Criteria and Indicators for the Sustainable Management of Dry Forests in Asia” was initiated on the FAO/UNEP/ITTO/IIFM Experts Meeting held in Bhopal (India) in 1999. It identified 8 national level criteria and 49 indicators for dry forests in Asia.

Criterion 8: Policy, legal and institutional framework

- 8.1 Existence of national forest policy and legal framework
- 8.2 Extent of community, NGO and private sector participation in forestry activities
- 8.3 Investment in forestry research and development
- 8.4 Human resource capacity building mechanisms
- 8.5 Existence of forest resource accounting mechanisms
- 8.6 Monitoring and evaluation mechanisms
- 8.7 Existence of mechanisms for information dissemination
- 8.8 Existence of transfer of technology
- 8.9 Fiscal and monetary incentives for investing in forestry activity
- 8.10 Benefit sharing mechanism for stakeholders engaged in forest management activities
- 8.11 Existence of conflict management mechanisms
- 8.12 Changes in number of forest offence

Annex 12: Criteria and indicators for Sustainable Forest Management related to the *PLI* frameworks, developed by the Near East Process.

Member countries: Afghanistan, Algeria, Azerbaijan, Bahrain, Cyprus, Djibouti, Egypt, Islamic Republic of Iran, Iraq, Jordan, Kuwait, Kyrgyz Republic, Lebanon, Libya, Malta, Mauritania, Morocco, Oman, Pakistan, Qatar, Kingdom of Saudi Arabia, Somalia, Sudan, Syria, Tajikistan, Tunisia, Turkey, Turkmenistan, United Arab Emirates and Yemen

FAO/UNEP Expert Meeting on Criteria and Indicators for Sustainable Forest Management for countries in the region identified 7 criteria and 65 indicators for sustainable forest management at the regional and national levels. The guidelines are intended to assist countries in assessing and measuring the sustainability of forest management activities.

Criterion 7: The legal and institutional frameworks

- 7.1 National forest policy, legislation and regulations
- 7.2 Institutional instruments and tools
- 7.3 Concrete implementation and capacity to monitor
- 7.4 Economic framework and financial instruments
- 7.5 Community consultation and information tools
- 7.6 Research and extension capacity
- 7.7 Valorisation of local expertise, knowledge, and local technologies
- 7.8 Transfer and adaptation of appropriate technologies
- 7.9 Capacity to implement international instruments

Annex 13: UNFF voluntary reports - Reporting Format (2008).

<p><i>NON-LEGALLY BINDING INSTRUMENT ON ALL TYPES OF FORESTS</i></p> <p><i>VOLUNTARY SHARING OF INFORMATION ON PROGRESS</i></p> <p><i>Suggested Format</i></p>	Country:	Date:
	Name of official responsible for reply:	
	Address:	
	Telephone:	Fax:
	E-mail:	

This form provides a simple format for voluntarily sharing of information on progress in 2007-08 in implementing the Non-Legally Binding Instrument on All Types of Forests (NLBI) and the progress towards achieving the four Global Objectives on Forests.

You are kindly requested to provide, where possible, information relating to the following areas:

- Actions or measures taken at the national or international levels to implement the NLBI;
- Success stories and case-studies, if any;
- Major challenges/opportunities encountered in implementation;
- Suggested actions to enhance implementation.

This document is in three parts:

- A) Implementation of the NLBI
- B) Progress towards achieving the Global Objectives on Forests
- C) Conclusion

A. IMPLEMENTATION OF THE NLBI

1. Raising awareness of sustainable management of forests and the NLBI itself is seen as an important component to facilitate implementation. Please provide information on measures taken aimed at introducing the NLBI to professionals and the general public:

- a) Has the NLBI been introduced/recognized through any legal, policy or strategy document? If so, please provide a brief description.
- b) Has there been action taken to introduce the NLBI to the general public in the electronic, printed or any other media?
- c) Has the NLBI been translated into the official language(s) of your country? If so we would be grateful for receiving a translated copy.

2. To help achieve its purpose the NLBI identified a range of national policies and measures as well as an array of actions related to international cooperation and means of implementation described in detail in paragraphs 6 and 7 of the NLBI. To facilitate reporting progress these have been amalgamated here into 13 thematic clusters – five of which are cross-cutting and the rest topical thematic clusters.

1. Cross-cutting Thematic Clusters		
Ref. Number	Cluster	NLBI Element
1A	A. Strengthening Political Commitment for SFM	6a, 6c, 6d, 6k, 6l, 7a, 7c
1B	B. Financing SFM	6h, 6i, 6m, 7a, 7b, 7c, 7d, 7e
1C	C. Capacity Building and Technology Transfer	6e, 6s, 6v, 7f, 7i, 7j, 7k, 7l, 7m
1D	D. Stakeholder Participation	6h, 6m, 6v, 6w, 6x, 6y, 7k
1E	E. Enhanced International Cooperation	7i, 7n, 7q, 7r, 7s
2. Topical Thematic Clusters		
2A	A. Forest Law Enforcement and Governance	6n, 7h, 7i, 7j
2B	B. International Trade in Forest Products	6j, 6x, 7g, 7h, 7i, 7j,
2C	C. Protection of Forests	6o, 6p, 6q
2D	D. Science and Research	6r, 6s, 7n, 7o, 7p
2E	E. Public Awareness and Education	6t, 6u, 6v, 7j
2F	F. Private Sector and Industry	6e, 6h, 6i, 6m, 6w, 6x, 7a, 7f, 7k, 7m
2G	G. Indigenous and Local Communities	6f, 6h, 6s, 6v, 6y, 7k
2H	H. Monitoring, assessment and reporting	6b, 6g, 8, 9

Details of elements within each cluster are in Appendix 1.

Please provide as much detail as possible of actions taken in 2007-08 in relation to each of these clusters. A suggested format for submitting information on each cluster is provided below. Where possible, an account of challenges and opportunities faced in the implementation, as well as any case studies/success stories, will be very helpful.

CLUSTER:	
Has there been any action taken to implement the tasks identified within this cluster? If the answer is 'yes' please proceed to the next question. If the answer is 'no' please provide reasons.	
Please detail action taken including measures, policies, actions or specific goals established.	
<ul style="list-style-type: none"> Type/source (<i>is it a policy, law, national forest programme, strategy?</i>) 	
<ul style="list-style-type: none"> Short description of each item 	
<ul style="list-style-type: none"> Time frame for implementation 	
<ul style="list-style-type: none"> Experiences with implementation (if any) 	
<ul style="list-style-type: none"> Any other comments, including lessons learnt and options for the future 	

B. PROGRESS TOWARDS ACHIEVING GLOBAL OBJECTIVES ON FORESTS

The four Global Objectives are:

Global Objective 1: *Reverse the loss of forest cover worldwide through sustainable forest management, including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation.*

Global Objective 2: *Enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest dependent people.*

Global Objective 3: *Increase significantly the area of protected forests worldwide and other areas of sustainably managed forests, as well as the proportion of forest products from sustainably managed forests.*

Global Objective 4: *Reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased, new and additional financial resources from all sources for the implementation of sustainable forest management.*

For each of them please provide information on progress, on the basis of the following table.

Global Objective:	
Has there been any action taken to implement this objective? If the answer is 'yes' please proceed to the next question. If the answer is 'no' please provide reasons.	
Action taken to achieve this objective including measures, policies, actions or specific goals established.	
<ul style="list-style-type: none"> Type/source (<i>is it a policy, law, national forest programme, strategy?</i>) 	
<ul style="list-style-type: none"> Short description of each item (<i>general description, provisions relevant to the objective</i>) 	
<ul style="list-style-type: none"> Time frame for implementation 	
<ul style="list-style-type: none"> Experiences with implementation (if any) 	
<ul style="list-style-type: none"> Any other comments, including lessons learnt and options for the future 	

C. CONCLUSION

In this section, you may wish to provide:

- An overall assessment of implementing the NLBI in your country;
- An analysis of lessons learned regarding implementation, highlighting examples of successful and less successful actions taken;
- A summary of future priorities and any problems that need to be addressed for further national-level implementation of the Instrument;
- Suggestions for actions that need to be taken to further enhance implementation of the NLBI.
- Any other comments

ANNEX 1

Questions related to UNFF 8 agenda item 5.c: Forests and Biodiversity Conservation, including Protected Areas

UNFF focal points are invited to provide updated information related to issues on forest biodiversity, in accordance with the Non-Legally Binding Instrument on All Types of Forests (NLBI) and the Global Objectives on Forests (GOFs), and to suggest elements for the Forum to consider in relation to UNFF 8 agenda item 5.c on “Forests and Biodiversity Conservation, including Protected Areas”. These questions are intended to offer the UNFF Focal Points an opportunity to express their views on relevant emerging policy issues affecting and affected by the forest sector. Please bear in mind past reports on related topics submitted to other intergovernmental bodies and consider, as appropriate, to build from those reports.

- Please describe any advances and/or promising developments which may contribute to implementation of the Global Objectives on Forests (GOF 1 and 3) and national and international provisions of the NLBI (6b, 6k, 6o, 6p,6q, 6v, 7d) related to forest biodiversity and protection forests?
- Based on information compiled in the reporting framework for FRA 2010, and the 3rd and 4th National Reports to the Convention on Biological Diversity, what are the most significant (including new and emerging) threats to forest biodiversity, and in particular impacting the implementation of Global Objective 1 and 3 in your country?
- In addressing these threats, do the relevant international instruments, in particular the NLBI and the CBD expanded programme of work on forest biodiversity, provide adequate frameworks? If so, please describe how? If not, please explain what is lacking from those frameworks and how can they be improved.
- Which areas of your work require a stronger link to the international level? How and what elements would you view as necessary for enhanced collaboration between the Secretariats of the CBD and UNFF (as called for in decision IX/5 of the CBD at COP-9, 19-30 May 2008), as well as elements for potential joint activities with other CPF members, including targeted support to celebrate the International Year of Forests?

APPENDIX 1

THEMATIC CLUSTERS OF POLICIES AND MEASURES CONTAINED IN THE NLBI

1. Cross-cutting Thematic Clusters

A. Strengthening Political Commitment for SFM

National policies and measures

6 (a) Develop, implement, publish and, as necessary, update national forest programmes or other strategies for sustainable forest management which identify actions needed and contain measures, policies or specific goals, taking into account the relevant Intergovernmental Panel on Forests and Intergovernmental Forum on Forests proposals for action and resolutions of the United Nations Forum on Forests;

6 (b) Consider the seven thematic elements of sustainable forest management,¹ which are drawn from the criteria identified by existing criteria and indicators processes, as a reference framework for sustainable forest management and, in this context, identify, as appropriate, specific environmental and other forest-related aspects within those elements for consideration as criteria and indicators for sustainable forest management;

6 (d) Develop and implement policies which encourage the sustainable management of forests to provide a wide range of goods and services, and which also contribute to poverty reduction and the development of rural communities;

6 (k) Identify and implement measures to enhance cooperation and cross-sectoral policy and programme coordination among sectors affecting and affected by forest policies and management, with a view to integrating the forest sector into national decision-making processes, and promoting sustainable forest management, including *inter alia* addressing the underlying causes of deforestation, forest degradation and promoting forest conservation;

6 (l) Integrate national forest programmes, or other strategies for sustainable forest management, as referred to in paragraph 6 (a) of this instrument into national strategies for sustainable development, relevant national action plans and poverty reduction strategies;

6 (c) Promote the use of management tools to assess impacts on the environment of projects that may significantly affect forests and promote good environmental practices for such projects;

International cooperation and means of implementation

7 (a) Make concerted efforts to secure sustained high-level political commitment to strengthen the means of implementation for sustainable forest management, including financial resources, to provide support, in particular for developing countries as well as countries with economies in transition, as well as to mobilize and provide significantly increased new and additional financial resources from private, public, domestic and international sources to and within developing countries as well as countries with economies in transition;²

¹ (a) Extent of forest resources, (b) Forest biological diversity, (c) Forest health and vitality, (d) Productive functions of forest resources, (e) Protective functions of forest resources, (f) Socio-economic functions of forests, (g) Legal, policy and institutional framework. Also listed under Monitoring, Assessment and Reporting.

² Also listed under Financing SFM.

B. Financing SFM

National policies and measures

6 (h) Create enabling environments to encourage private sector investment, as well as investment by and involvement of local and indigenous communities, other forest users and forest owners and other relevant stakeholders, in sustainable forest management, through a framework of policies, incentives and regulations;¹

6 (i) Develop financial strategies which outline the short, medium and long term financial planning for achieving sustainable forest management taking into account domestic, private sector and foreign funding sources;²

6 (m) Establish or strengthen partnerships, including public-private partnerships, and joint programmes with stakeholders to advance implementation of sustainable forest management;³

International cooperation and means of implementation

7 (a) Make concerted efforts to secure sustained high-level political commitment to strengthen the means of implementation for sustainable forest management, including financial resources, to provide support, in particular for developing countries as well as countries with economies in transition, as well as to mobilize and provide significantly increased new and additional financial resources from private, public, domestic and international sources to and within developing countries as well as countries with economies in transition;⁴

7 (b) Reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased new and additional financial resources from all sources for the implementation of sustainable forest management;

7 (c) Take action to raise the priority of sustainable forest management in national development plans and other plans including poverty reduction strategies in order to facilitate increased allocation of official development assistance and financial resources from other sources for sustainable forest management;

7 (d) Develop and establish positive incentives, in particular for developing countries as well as countries with economies in transition, to reduce the loss of forests, to promote reforestation, afforestation, and rehabilitation of degraded forests, to implement sustainable forest management and to increase the area of protected forests;

7 (e) Support the efforts of countries, in particularly in developing countries as well as countries with economies in transition, to develop and implement economically, socially and environmentally sound measures that act as incentives for the sustainable management of forests;

C. Capacity Building and Technology Transfer

National policies and measures

6 (e) Promote efficient production and processing of forest products, *inter alia* with a view to reducing waste and enhancing recycling;⁵

¹ Also listed under Stakeholder Participation, Private Sector and Industry, and Indigenous and Local Communities.

² Also listed under Private Sector and Industry.

³ Also listed under Stakeholder Participation, and Private Sector and Industry.

⁴ Also listed under Private Sector and Industry.

⁵ Also listed under Private Sector and Industry.

6 (s) Promote the development and application of scientific and technological innovations, including those that can be used by forest owners and local and indigenous communities to advance sustainable forest management;¹

6 (v) Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners, in order to develop resource management approaches that will reduce the pressure on forests, particularly fragile ecosystems;²

International cooperation and means of implementation

7 (f) Strengthen the capacity of countries, in particular developing countries, to significantly increase the production of forest products from sustainably managed forests;³

7 (i) Strengthen, through enhanced bilateral, regional and international cooperation, the capacity of countries to effectively combat illicit international trafficking in forest products, including timber, wildlife and other forest biological resources;⁴

7 (j) Strengthen the capacity of countries to address forest-related illegal practices according to domestic legislation, including wildlife poaching, through enhanced public awareness, education, institutional capacity-building, technological transfer and technical cooperation, law enforcement and information networks;⁵

7 (k) Enhance and facilitate access to, and transfer of, appropriate, environmentally sound and innovative technologies and corresponding know how relevant to sustainable forest management and to efficient value added processing of forest products, in particular to developing countries for the benefit of local and indigenous communities;⁶

7 (l) Strengthen mechanisms that enhance sharing among countries, and use of, best practices in sustainable forest management, including through freeware-based information and communication technologies;

7 (m) Strengthen national and local capacity in keeping with their conditions for the development and adaptation of forest-related technologies, including technologies for the use of fuelwood;⁷

D. Stakeholder Participation

V. National policies and measures

6 (h) Create enabling environments to encourage private sector investment, as well as investment by and involvement of local and indigenous communities, other forest users and forest owners and other relevant stakeholders, in sustainable forest management, through a framework of policies, incentives and regulations;⁸

¹ Also listed under Science and Research, and Indigenous and Local Communities.

² Also listed under Public Awareness and Education, and Indigenous and Local Communities.

³ Also listed under Private Sector and Industry.

⁴ Also listed under Enhanced International Cooperation, Forest Law Enforcement and Governance and International Trade in Forest Products.

⁵ Also listed under Forest Law Enforcement and Governance, International Trade in Forest Products, and Public Awareness and Education.

⁶ Also listed under Stakeholder Participation, Private Sector and Industry, and Indigenous and Local Communities.

⁷ Also listed under Private Sector and Industry.

⁸ Also listed under Financing SFM, Private Sector and Industry, and Indigenous and Local Communities.

6 (m) Establish or strengthen partnerships, including public-private partnerships, and joint programmes with stakeholders to advance implementation of sustainable forest management;¹

6 (w) Promote active and effective participation by major groups, local communities, forest owners and other relevant stakeholders in the development, implementation and assessment of forest-related national policies, measures and programmes;²

6 (x) Encourage the private sector, civil society organizations and forest owners to develop, promote and implement in a transparent manner voluntary instruments, such as voluntary certification systems or other appropriate mechanisms, to develop and promote forest products from sustainably managed forests harvested according to domestic legislation, and to improve market transparency;³

6 (y) Enhance access by households, small scale forest owners, forest dependent local and indigenous communities, living in and outside forest areas, to forest resources and relevant markets in order to support livelihoods and income diversification from forest management, consistent with sustainable forest management;⁴

VI. International cooperation and means of implementation

7 (k) Enhance and facilitate access to, and transfer of, appropriate, environmentally sound and innovative technologies and corresponding know how relevant to sustainable forest management and to efficient value added processing of forest products, in particular to developing countries for the benefit of local and indigenous communities;⁵

E. Enhanced International Cooperation

International cooperation and means of implementation

7 (i) Strengthen, through enhanced bilateral, regional and international cooperation, the capacity of countries to effectively combat illicit international trafficking in forest products, including timber, wildlife and other forest biological resources;⁶

7 (n) Promote international technical and scientific cooperation, including South-South cooperation and triangular cooperation in the field of sustainable forest management, through the appropriate international, regional and national institutions and processes;

7 (q) Strengthen cooperation and partnerships at the regional and subregional levels to promote sustainable forest management;

7 (r) As members of the governing bodies of the organisations that form the Collaborative Partnership on Forests, help ensure that the forest-related priorities and programmes of members of the Collaborative Partnership on Forests are integrated and mutually supportive, consistent with their mandates, taking into account relevant policy recommendations of the United Nations Forum on Forests;

7 (s) Support the efforts of the CPF to develop and implement joint initiatives;

¹ Also listed under Financing SFM, and Private Sector and Industry.

² Also listed under Private sector and Industry.

³ Also listed under International Trade in Forest Products, and Private Sector and Industry.

⁴ Also listed under Indigenous and Local Communities.

⁵ Also listed under Capacity Building and Technology Transfer, Private Sector and Industry, and Indigenous and Local Communities.

⁶ Also listed under Capacity Building and Technology Transfer, Forest Law Enforcement and Governance and International Trade in Forest Products.

2. Topical Thematic Clusters

A. Forest Law Enforcement and Governance

National policies and measures

6 (n) Review, and as needed, improve forest-related legislation, strengthen forest law enforcement, and promote good governance at all levels in order to support sustainable forest management, to create an enabling environment for forest investment and to combat and eradicate illegal practices according to national legislation, in the forest and other related sectors;

International cooperation and means of implementation

7 (h) Enhance bilateral, regional and international cooperation to address illicit international trafficking in forest products through the promotion of forest law enforcement and good governance at all levels;¹

7 (i) Strengthen, through enhanced bilateral, regional and international cooperation, the capacity of countries to effectively combat illicit international trafficking in forest products, including timber, wildlife and other forest biological resources;²

7 (j) Strengthen the capacity of countries to address forest-related illegal practices according to domestic legislation, including wildlife poaching, through enhanced public awareness, education, institutional capacity-building, technological transfer and technical cooperation, law enforcement and information networks;³

B. International Trade in Forest Products

National policies and measures

6 (j) Encourage recognition of the range of values derived from goods and services provided by all types of forests and trees outside forests, as well as ways to reflect such values in the marketplace, consistent with relevant national legislation and policies;

6 (x) Encourage the private sector, civil society organizations and forest owners to develop, promote and implement in a transparent manner voluntary instruments, such as voluntary certification systems or other appropriate mechanisms, to develop and promote forest products from sustainably managed forests harvested according to domestic legislation, and to improve market transparency;⁴

International cooperation and means of implementation

¹ Also listed under International Trade in Forest Products.

² Also listed under Capacity Building and Technology Transfer, Enhanced International Cooperation and International Trade in Forest Products.

³ Also listed under Capacity Building and Technology Transfer, International Trade in Forest Products, and Public Awareness and Education.

⁴ Also listed under Stakeholder Participation, and Private Sector and Industry.

7 (g) Enhance bilateral, regional and international cooperation, with a view to promoting international trade in forest products from sustainably managed forests harvested according to domestic legislation;

7 (h) Enhance bilateral, regional and international cooperation to address illicit international trafficking in forest products through the promotion of forest law enforcement and good governance at all levels;¹

7 (j) Strengthen the capacity of countries to address forest-related illegal practices according to domestic legislation, including wildlife poaching, through enhanced public awareness, education, institutional capacity-building, technological transfer and technical cooperation, law enforcement and information networks;²

7 (i) Strengthen, through enhanced bilateral, regional and international cooperation, the capacity of countries to effectively combat illicit international trafficking in forest products, including timber, wildlife and other forest biological resources;³

C. Protection of Forests

National policies and measures

6 (o) Analyze the causes of, and address threats to, forest health and vitality from natural disasters and human activities, including threats from fire, pollution, pests, diseases and invasive alien species;

6 (p) Create, develop or expand, and maintain networks of protected forest areas, taking into account the importance of conserving representative forests, through a range of conservation mechanisms, applied within and outside protected forest areas;

6 (q) Assess the conditions and management effectiveness of existing protected forest areas with a view to identifying improvements needed;

D. Science and Research

National policies and measures

6 (r) Strengthen the contribution of science and research in advancing sustainable forest management by incorporating scientific expertise into forest policies and programmes;

6 (s) Promote the development and application of scientific and technological innovations, including those that can be used by forest owners and local and indigenous communities to advance sustainable forest management;⁴

International cooperation and means of implementation

¹ Also listed under Forest Law Enforcement and Governance.

² Also listed under Capacity Building and Technology Transfer, Forest Law Enforcement and Governance, and Public Awareness and Education.

³ Also listed under Capacity Building and Technology Transfer, Enhanced International Cooperation and Forest Law Enforcement and Governance.

⁴ Also listed under Capacity Building and Technology Transfer, and Indigenous and Local Communities.

7 (n) Promote international technical and scientific cooperation, including South-South cooperation and triangular cooperation in the field of sustainable forest management, through the appropriate international, regional and national institutions and processes;

7 (o) Enhance the research and scientific forest-related capacities of developing countries as well as countries with economies in transition, particularly the capacity of research organizations to generate and access forest-related data and information, and promote and support integrated and interdisciplinary research on forest-related issues, and disseminate research results;

7 (p) Strengthen forestry research and development in all regions, particularly in developing countries as well as countries with economies in transition, through relevant organizations, institutions and centres of excellence, as well as through global, regional and subregional networks;

E. Public Awareness and Education

National policies and measures

6 (t) Promote and strengthen public understanding of the importance of and the benefits provided by forests and sustainable forest management, including through public awareness programmes and education;

6 (u) Promote and encourage access to formal and informal education, extension and training programmes on the implementation of sustainable forest management;

6 (v) Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners, in order to develop resource management approaches that will reduce the pressure on forests, particularly fragile ecosystems;¹

International cooperation and means of implementation

7 (j) Strengthen the capacity of countries to address forest-related illegal practices according to domestic legislation, including wildlife poaching, through enhanced public awareness, education, institutional capacity-building, technological transfer and technical cooperation, law enforcement and information networks;²

F. Private Sector and Industry

National policies and measures

6 (e) Promote efficient production and processing of forest products, *inter alia* with a view to reducing waste and enhancing recycling;³

¹ Also listed under Stakeholder Participation, and Indigenous and Local Communities.

² Also listed under Capacity Building and Technology Transfer, Forest Law Enforcement and Governance, and International Trade in Forest Products.

³ Also listed under Capacity Building and Technology Transfer.

6 (h) Create enabling environments to encourage private sector investment, as well as investment by and involvement of local and indigenous communities, other forest users and forest owners and other relevant stakeholders, in sustainable forest management, through a framework of policies, incentives and regulations;¹

6 (i) Develop financial strategies which outline the short, medium and long term financial planning for achieving sustainable forest management taking into account domestic, private sector and foreign funding sources;²

6 (m) Establish or strengthen partnerships, including public-private partnerships, and joint programmes with stakeholders to advance implementation of sustainable forest management;³

6 (w) Promote active and effective participation by major groups, local communities, forest owners and other relevant stakeholders in the development, implementation and assessment of forest-related national policies, measures and programmes;⁴

6 (x) Encourage the private sector, civil society organizations and forest owners to develop, promote and implement in a transparent manner voluntary instruments, such as voluntary certification systems or other appropriate mechanisms, to develop and promote forest products from sustainably managed forests harvested according to domestic legislation, and to improve market transparency;⁵

International cooperation and means of implementation

7 (a) Make concerted efforts to secure sustained high-level political commitment to strengthen the means of implementation for sustainable forest management, including financial resources, to provide support, in particular for developing countries as well as countries with economies in transition, as well as to mobilize and provide significantly increased new and additional financial resources from private, public, domestic and international sources to and within developing countries as well as countries with economies in transition;⁶

7 (f) Strengthen the capacity of countries, in particular developing countries, to significantly increase the production of forest products from sustainably managed forests;⁷

7 (k) Enhance and facilitate access to, and transfer of, appropriate, environmentally sound and innovative technologies and corresponding know how relevant to sustainable forest management and to efficient value added processing of forest products, in particular to developing countries for the benefit of local and indigenous communities;⁸

¹ Also listed under Financing SFM, Stakeholder Participation, and Indigenous and Local Communities.

² Also listed under Financing SFM.

³ Also listed under Financing SFM and Stakeholder Participation.

⁴ Also listed under Stakeholder Participation.

⁵ Also listed under International Trade in Forest Products, and Stakeholder Participation.

⁶ Also listed under Financing SFM.

⁷ Also listed under Capacity Building and Technology Transfer.

⁸ Also listed under Capacity Building and Technology Transfer, Stakeholder Participation, and Indigenous and Local Communities.

7 (m) Strengthen national and local capacity in keeping with their conditions for the development and adaptation of forest-related technologies, including technologies for the use of fuelwood;¹

G. Indigenous and Local Communities

National policies and measures:

6 (f) Support the protection and use of traditional forest-related knowledge and practices in sustainable forest management with the approval and the involvement of the holders of such knowledge and promote fair and equitable sharing of benefits out of their utilization, according to national legislation and relevant international agreements;

6 (h) Create enabling environments to encourage private sector investment, as well as investment by and involvement of local and indigenous communities, other forest users and forest owners and other relevant stakeholders, in sustainable forest management, through a framework of policies, incentives and regulations;²

6 (s) Promote the development and application of scientific and technological innovations, including those that can be used by forest owners and local and indigenous communities to advance sustainable forest management;³

6 (v) Support education, training and extension programmes involving local and indigenous communities, forest workers and forest owners, in order to develop resource management approaches that will reduce the pressure on forests, particularly fragile ecosystems;⁴

6 (y) Enhance access by households, small scale forest owners, forest dependent local and indigenous communities, living in and outside forests, to forest resources and relevant markets in order to support livelihoods and income diversification from forest management, consistent with sustainable forest management.⁵

International cooperation and means of implementation

7 (k) Enhance and facilitate access to, and transfer of, appropriate, environmentally sound and innovative technologies and corresponding know how relevant to sustainable forest management and to efficient value added processing of forest products, in particular to developing countries for the benefit of local and indigenous communities;⁶

¹ Also listed under Capacity Building and Technology Transfer.

² Also listed under Financing SFM, Stakeholder Participation, and Private Sector and Industry.

³ Also listed under Capacity Building and Technology Transfer, and Science and Research.

⁴ Also listed under Public Awareness and Education, and Stakeholder Participation.

⁵ Also listed under Stakeholder Participation.

⁶ Also listed under Capacity Building and Technology Transfer, Stakeholder Participation, and Private Sector and Industry.

H. Monitoring, Assessment and Reporting

National policies and measures

6 (b) Consider the seven thematic elements of sustainable forest management,¹ which are drawn from the criteria identified by existing criteria and indicators processes, as a reference framework for sustainable forest management and, in this context, identify, as appropriate, specific environmental and other forest-related aspects within those elements for consideration as criteria and indicators for sustainable forest management;

6 (g) Further develop and implement criteria and indicators for sustainable forest management, consistent with national priorities and conditions;

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

9. Member States should submit, on a voluntary basis, taking into account availability of resources and the requirements and conditions for the preparation of reports for other bodies or instruments, national progress reports as part of their regular reporting to the United Nations Forum on Forests;

¹ (a) Extent of forest resources, (b) Forest biological diversity, (c) Forest health and vitality, (d) Productive functions of forest resources, (e) Protective functions of forest resources, (f) Socio-economic functions of forests, (g) Legal, policy and institutional framework

GUIDELINES FOR DETAILED THEMATIC REPORTS ON FOREST ECOSYSTEMS

The following format for preparation of a thematic report on forest ecosystems is a series of questions based on those elements of decision IV/7 of the Conference of the Parties that are addressed to Contracting Parties. Responses to these questions will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. The wording of questions follows the wording of the decision as closely as possible.

The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes. 1/ Following the questions there is a box for further comments. Contracting Parties are invited to provide a more detailed response to the preceding questions at this point. 2/ This is an opportunity to identify particular successes or constraints. In particular this box could be used to identify cases where the reporting of no action or of a partial fulfillment of the obligation is the result of inadequate resources or a need for assistance, rather than a decision not to take action on a particular obligation.

The information provided by Contracting Parties will not be used to rank performance or to otherwise compare implementation between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in this box is closely related to the preceding questions and is as succinct as possible. There is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to implementation of these provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing the questions, and any further recommendations on how these reporting guidelines could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent approach to its development. A box is provided in which to identify those groups who have been involved.

Contracting Parties are requested to submit their thematic report on forest ecosystems in this format to the Executive Secretary by 15 May 2001. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodiv.org>.

Completed national reports and any comments should be sent to:

1/ If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the box at the end of the set of questions.

2/ Please feel free to append to the report further information on any of the questions.

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

Please provide to following details on the origin of this report

Contracting Party	
National Focal Point	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
Contact officer for national report (if different)	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
Submission	
Signature of officer responsible for submitting national report:	
Date of submission:	

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report

A large, empty rectangular box with a thin black border, intended for the user to provide summary information as requested in the text above. The box is currently blank.

Decision IV/7 on Forest biological Diversity

1. What is the relative priority afforded to implementation of this decision by your country?					
a) High		b) Medium		c) Low	
2. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	
				d) Severely limiting	

3. Has your country assessed the status and trends of its forest biological diversity and identified options for its conservation and sustainable use? (Decision IV/7, paragraph 12)	
a) no	
b) assessment underway (please give details below)	
c) assessment completed (please give details below)	
d) not relevant	

<i>If a developing country Party or a Party with economy in transition -</i>	
4. Has your country requested assistance through the financial mechanism for projects that promote the implementation of the focused work programme on forest biological diversity? (Decision IV/7, paragraph 7)	
a) no	
b) yes (please give details below)	

Programme element 1: Holistic and inter-sectoral ecosystem approaches that integrate the conservation and sustainable use of biological diversity, taking account of social and cultural and economic considerations

5. Has your country identified methodologies for enhancing the integration of forest biological diversity conservation and sustainable use into an holistic approach to sustainable forest management at the national level? (Work Programme, paragraph 13)	
a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	
6. Has your country developed methodologies to advance the integration of traditional forest related knowledge into sustainable forest management, in accordance with Article 8(j)? (Work Programme, paragraph 14)	
a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	
7. Has your country promoted cooperation on the conservation and sustainable use of forest biological resources at all levels in accordance with Articles 5 and 16 of the Convention? (Work Programme, paragraph 15)	

a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	
8. Has your country promoted the sharing of relevant technical and scientific information on networks at all levels of protected forest areas and networking modalities in all types of forest ecosystems? (Work Programme, paragraph 17)	
a) no	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not applicable	

Programme element 2: Comprehensive analysis of the ways in which human activities, in particular forest-management practices, influence biological diversity and assessment of ways to minimize or mitigate negative influences

9. Has your country promoted activities for an enhanced understanding of positive and negative human influences on forest ecosystems by land-use managers, policy makers, scientists and other relevant stakeholders) (Work Programme, paragraph 29)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
10. Has your country promoted activities to assemble management experiences and scientific, indigenous and local information at the national and local levels to provide for the sharing of approaches and tools that lead to improved forest practices with regard to forest biological diversity? (Work Programme, paragraph 30)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
11. Has your country promoted activities with the aim of providing options to minimize or mitigate negative and to promote positive human influences on forest biological diversity? (Work Programme, paragraph 31)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	

12. Has your country promoted activities to minimize the impact of harmful alien species on forest biological diversity? (Work Programme, paragraph 32)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
13. Has your country identified means and mechanisms to improve the identification and prioritisation of research activities related to influences of human activities, in particular forest management practices, on forest biological diversity? (Work Programme, paragraph 33)	
a) minimal activity	
b) yes - limited extent (please give details below)	
c) yes - significant extent (please give details below)	
d) not relevant	
14. Does your country hold research results and syntheses of reports of relevant scientific and traditional knowledge on key forest biological diversity issues and, if so, have these been disseminated as widely as possible? (Work Programme, paragraph 34)	
a) not relevant	
b) some relevant material, but not widely disseminated	
c) significant material that could be more widely disseminated (please give details below)	
d) yes - already widely disseminated (please give details below)	
15. Has your country prepared case-studies on assessing impacts of fires and alien species on forest biological diversity and their influences on the management of forest ecosystems and savannahs? (Work Programme, paragraph 35)	
a) no - please indicate below whether this is due to a lack of available case-studies or for other reasons	
b) yes - please give below any views you may have on the usefulness of the preparation of case-studies for developing a better biological understanding of the problem and/or better management responses.	

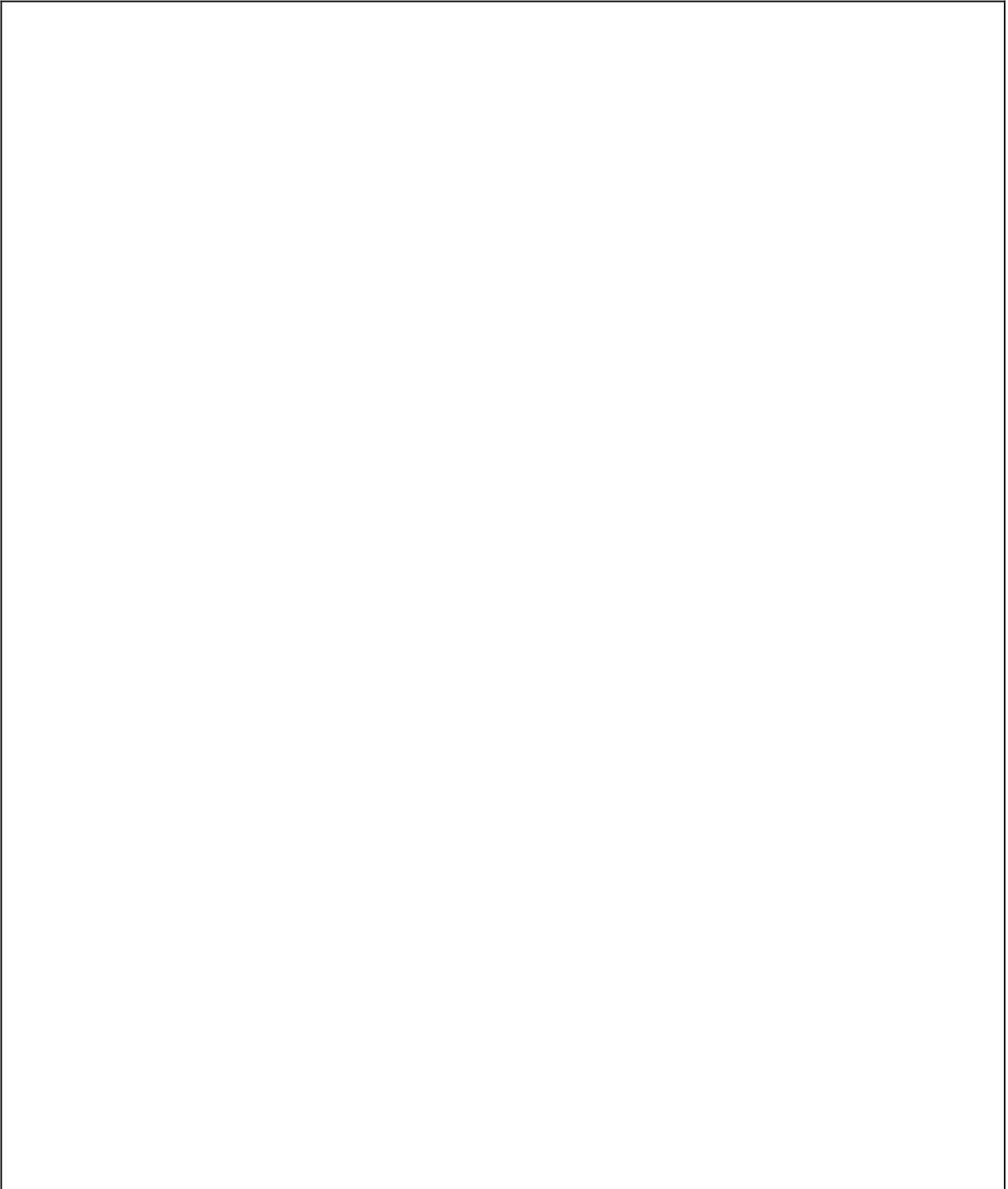
Programme element 3: Methodologies necessary to advance the elaboration and implementation of criteria and indicators for forest biological diversity

16. Has your country assessed experiences gained in national and regional processes, identifying common elements and gaps in existing initiatives and improving indicators for forest biological diversity? (Work Programme, paragraph 43)	
a) minimal activity	
b) yes - limited assessment made (please give details below)	
c) yes - significant assessment made (please give details below)	
d) not relevant	

17. Has your country carried out taxonomic studies and inventories at the national level which provide for a basic assessment of forest biological diversity? (Work Programme, paragraph 43)	
a) minimal activity	
b) yes - limited assessment made (please give details below)	
c) yes - significant assessment made (please give details below)	
d) not relevant	

If you have ticked any of the boxes in questions 5 to 17 above which invite you to provide further details, please do so here.

(Information can include descriptions of methodologies and of activities undertaken, reasons for success or failure, outcomes and lessons learned)



Database Contents

Jurisdiction	Category	Date Range	Legal Resources	Public Access
Angola	Law	01/1983 - 06/2008	712	No
Argentina	Law	09/1863 - 03/2009	20,865	No
Argentina	Judicial Decision	08/2000 - 12/2008	119	Yes
Argentina	Legal Literature	03/2005 - 08/2007	35	Yes
Bolivia	Law	05/1954 - 08/2008	2,281	No
Brazil	Law	01/1950 - 01/2009	12,695	Yes
Brazil	Judicial Decision	08/1997 - 05/2007	12	Yes
Cameroon	Law	08/1974 - 04/2007	164	Yes
Canada	Law	05/1998 - 07/2008	375	Yes
Cape Verde	Law	01/1998 - 12/2005	283	Yes
Chile	Law	01/1950 - 08/2008	7,855	No
Chile	Judicial Decision	08/2006 - 03/2007	4	No
Colombia	Law	01/1950 - 12/2007	9,579	No
Colombia	Judicial Decision	07/2006 - 07/2006	3	No
Congo, The Democratic Republic Of The	Law	08/1949 - 10/2008	1,828	Yes
Congo, The Democratic Republic Of The	Judicial Decision	01/1972 - 06/2006	72	Yes
Congo, The Democratic Republic Of The	Legal Literature	06/2005 - 03/2007	4	Yes
Costa Rica	Law	02/1950 - 03/2009	5,941	Yes
Costa Rica	Judicial Decision	10/1999 - 12/2007	9	Yes
Costa Rica	Legislative Record	04/2000 - 10/2005	6	Yes
Costa Rica	Legal Literature	01/2003 - 08/2008	19	Yes
Cuba	Law	01/1950 - 09/2007	4,663	No
Dominican Republic	Law	01/1950 - 12/2007	3,867	No

Ecuador	Law	01/1950 - 12/2008	6,659	No
Egypt	Law	09/1980 - 11/2007	19	No
El Salvador	Law	11/1857 - 10/2008	6,981	Yes
Gabon	Law	06/1967 - 11/2008	268	Yes
Guatemala	Law	03/1908 - 05/2008	4,641	Yes
Guatemala	Judicial Decision	02/1990 - 08/2007	116	Yes
Guatemala	Legal Literature	01/1996 - 05/2007	82	Yes
Haiti	Law	07/1953 - 12/2007	776	No
Honduras	Law	01/1960 - 12/2007	2,755	Yes
Indonesia	Law	03/1999 - 04/2007	4	Yes
Iraq	Law	12/1970 - 09/2008	431	No
Justice Studies Center of the Americas	Legal Literature	01/2001 - 01/2005	49	Yes
Korea, (South) Republic Of	Law	10/1948 - 08/2008	2,957	Yes
Kuwait	Law	12/1954 - 02/2009	1,574	Yes
Mali	Law	04/1998 - 04/2007	249	Yes
Mauritania	Law	01/1963 - 03/2004	212	Yes
Mauritania	Legal Literature	01/2007 - 01/2007	1	Yes
MERCOSUR	Law	09/1996 - 06/2008	1,488	No
MERCOSUR	Judicial Decision	04/1999 - 07/2002	8	No
MERCOSUR	Legal Literature	12/2002 - 09/2003	3	No
Mexico	Law	01/1954 - 03/2009	9,378	No
Mexico	Judicial Decision	04/2006 - 03/2008	92	No
Mexico	Legal Literature	01/1996 - 01/1996	1	No
Morocco	Law	11/2004 - 12/2007	27	No
Mozambique	Law	08/1994 - 11/2007	694	No

Nicaragua	Law	07/1894 - 04/2008	3,195	Yes
Nicaragua	Judicial Decision	02/1997 - 03/2005	1,032	Yes
Nicaragua	Legal Literature	04/2008 - 09/2008	2	Yes
Organization of American States	Law	07/1944 - 03/2007	90	Yes
Pakistan	Law	01/2005 - 07/2007	18	No
Panama	Law	03/1904 - 11/2006	3,483	Yes
Panama	Legal Literature	07/2008 - 07/2008	1	Yes
Paraguay	Law	09/1869 - 12/2008	5,525	Yes
Paraguay	Code	12/1985 - 12/1985	1	
Peru	Law	01/1950 - 09/2008	8,955	Yes
Philippines	Law	05/1997 - 05/2007	172	Yes
Philippines	Judicial Decision	02/2007 - 05/2007	3	Yes
Portugal	Law	06/1995 - 01/2001	1,776	Yes
Portugal	Judicial Decision	05/2000 - 07/2000	5	Yes
Qatar	Law	07/2008 - 09/2008	2	Yes
Romania	Law	04/1864 - 11/2008	4,986	Yes
Romania	Judicial Decision	04/2006 - 04/2006	1	Yes
Romania	Legislative Record	11/2004 - 08/2006	24	Yes
Russia	Law	08/1993 - 05/2007	100	No
Sao Tome and Principe	Law	10/2004 - 08/2005	10	No
Saudi Arabia	Law	09/1422 - 10/2007	112	No
Spain	Law	05/1989 - 10/2008	3,442	Yes
Taiwan	Law	01/1947 - 01/2009	3,147	Yes
Tunisia	Law	06/1959 - 11/2007	148	Yes
United Kingdom	Law	03/1988 - 12/2008	737	Yes

United Kingdom	Legal Literature	11/2000 - 11/2008	180	Yes
United Nations	Legal Literature	01/1987 - 12/2003	428	No
United States	Law	07/1776 - 01/2009	3,015	Yes
United States	Judicial Decision	11/2004 - 03/2009	299	Yes
United States	Legislative Record	02/2001 - 09/2008	778	Yes
United States	Legal Literature	01/1993 - 03/2008	39	Yes
Uruguay	Law	03/1950 - 09/2008	9,257	No
Uruguay	Legal Literature	05/1989 - 03/2008	15	No
USIP/INPROL	Legal Literature	12/1993 - 01/2009	73	Yes
Venezuela	Law	01/1950 - 01/2008	5,969	No
Venezuela	Judicial Decision	05/2002 - 11/2007	49	No
Yemen	Law	01/2006 - 03/2007	74	No
Total			167,999	