



**INTERNATIONAL TROPICAL  
TIMBER COUNCIL**

**COMMITTEE ON  
REFORESTATION AND FOREST MANAGEMENT**

Distr.  
GENERAL

CRF(XLIV)/9  
5 November 2010

ENGLISH ONLY

FORTY-FOURTH SESSION  
13-18 December 2010  
Yokohama, Japan

## **PROGRESS REPORT**

# **REVIEW AND UPDATE OF THE ITTO GUIDELINES FOR THE SUSTAINABLE MANAGEMENT OF NATURAL TROPICAL FORESTS TO TAKE INTO ACCOUNT RECENT DEVELOPMENTS IN TROPICAL FORESTRY**

**(Activity 48 – BWP 2010 – 2011)**

*Prepared for ITTO  
By Cesar Sabogal and Carmenza Robledo*

The views expressed in this report do not necessarily reflect those of ITTO or its country members. The authors want to express their gratitude to the ITTO Secretariat for their support.

## Introduction

Activity no. 48 of the Biennial Work Program for 2010-2011 (BWP)<sup>1</sup> focuses on the review and update of the ITTO Guidelines for the Sustainable Management of Natural Tropical Forests to take into account recent developments in tropical forestry.

The tasks described in the BWP are:

- a) Preparation of commented draft with proposal changes and additions;
- b) Preparation of an annex on "Incorporating the climate change perspective in forest management plans;
- c) Preparation of a short document to link the ITTO Criteria and Indicators (2004) with the SFM Guidelines;
- d) Expert panel meetings of review abovementioned documents;
- e) Field testing of the Guidelines in the three tropical regions; and
- f) Preparation of final drafts and submission to the Forty-sixth Session of the ITTC

The expected results of this activity are:

- a) Commented draft proposing the updates for the ITTO Guidelines for the Sustainable Management of Natural Tropical Forest (ITTO Policy Development Series 1, Yokohama, 1992)
- b) Annex on "Incorporating Climate change perspective in forest management plans in the tropics"
- c) Annex on "Linking the ITTO Guidelines with the processes of Criteria and Indicators (C&I) in the Tropics"
- d) Proceedings of two expert meetings to (1) debate and (2) review the draft updated guidelines and annexes;
- e) Results of the field testing in Africa, Asia and Latin America; and
- f) Final Draft Guidelines for submission to the 46<sup>th</sup> Session of the ITTC (November 2010)

This report presents the progress done in undertaking the tasks mentioned before and explains the reasons for delay in preparing the expected outputs. At the end of this report a roadmap is presented for finalizing the Activity 48 of the BWP 2010-2011 before the 47<sup>th</sup> meeting of the ITTC.

The following activities have been undertaken in 2010:

- Analysis of the existing guidelines under consideration of emerging topics (climate change, biodiversity conservation, etc)
- Discussion with experts from ITTO country members during an expert meeting (Thun, Switzerland, June 21<sup>st</sup> to 23<sup>rd</sup> 2010)

The following working documents were produced:

- Commented Guidelines 1992 from the Climate Change perspective
- A commented draft (working document) of the 1992 SFM Guidelines (distributed at the ITTO Expert Meeting held in Thun in June 21-23)
- Draft report of the Expert Meeting in Thun

In the next section the progress achieved in each task is presented in detail.

---

<sup>1</sup> ITTC Decision 2/(XLV)

## Progress made in the specific tasks

### a) Preparation of commented draft with proposed changes and additions

The “ITTO Guidelines for the Sustainable Management of Natural Tropical Forests”, published in 1992, was duly revised taking into account recent developments in tropical forestry, including relevant international processes and initiatives. As a result, a number of changes and additions were proposed at this initial stage for later consideration in the first expert panel meeting.

#### Recent developments in tropical forestry

Over the past two decades or so major forces at the global, regional and even national levels have been influencing and reshaping (tropical) forestry. Being aware of and having a good understanding of these drivers and trends, but also of recent developments affecting the use of forest lands and resources is of paramount importance for policy and technological decisions targeting the sustainable management of natural tropical forests. In that regard, the updated SFM Guidelines will need to take into account, among others, the increased recognition of:

- the increased societal demands and expectations on forests and environmental and social awareness on tropical forests
- the poverty – forests links
- the devolution of forest access and tenure (customary) rights
- the globalized markets and trade in investment
- the forest ecosystem services and payments or compensations, landscape-level approaches, biodiversity in production forests, multiple-use of forests
- the need for multi-stakeholder dialogue, effective participation, functional partnerships (e.g. community-enterprise agreements) and social control, particularly when communities or local populations are the direct managers
- the importance of global and national forest governance
- the need for multi-stakeholder dialogue, effective participation, functional partnerships (e.g. community-enterprise agreements) and social control, particularly when communities or local populations are the direct managers
- local knowledge, values and management practices
- the experiences with adaptive collaborative management
- the need for increased inter-sectoral dialogue to promote coordination and collaboration
- the role of forests for climate change mitigation and adaptation
- market-based incentives for forest management (e.g. certification, payment of environmental services) and other financial mechanisms (such as REDD+)

There are other important research, training and education, and technological and technical developments that also need to be considered and incorporated.

#### Main elements for change

The existing SFM Guidelines are structured in three main sections, in addition to the Introduction:

- Policy and Legislation,
- Forest Management, and
- Socio-Economic and Financial Aspects.

As stated in the foreword of the publication, each of these sections includes sets of basic principles followed by actions considered appropriate for these principles, and “[because the target group is forest managers and administrators in all three tropical regions where natural forest conditions and management procedures vary considerably, actions are proposed in

*general terms*]. The main focus of the guidelines at that time was timber production and therefore the forest-technical aspects were evidently more emphasized. It is also important to note that the SFM Guidelines were developed by the Organization to be “*international guidelines that constitute a reference standard for sustainable management of natural forests*”. The document clearly separated guidelines at the policy/institutional level and guidelines at an operational level or guidelines applicable at the national level and at the forest management unit (FMU) level. Finally, where available, examples of elements for possible inclusion in national and operational guidelines are given in appendices.

The initial review of the 1992 Guidelines by the consultants concluded that the following main elements for changes could be adopted:

1. The focus should be broader than timber in view of the increased recognition and valorization of the multiple benefits of the forests, i.e. a multiple use approach for forest management;
2. The scope should be on all tropical natural forests, but with focus on production forests<sup>2</sup>;
3. The main target groups or audience should include public policy-makers (such as government agencies), in addition to forest managers (e.g. timber companies, rural communities, landholders) and other relevant stakeholder groups such as development and conservation NGOs, indigenous groups and local communities.
4. The introductory section should provide background information addressing the concept and the framework application of SFM in view of the recent developments in tropical forestry.
5. The other three sections would remain, but with some additions. Section 2 - Policy and Legislation should also refer to institutional capacity; section 3 - Forest Management should include an item for planning in forest landscapes, while section 4 - Socio-economic and financial aspects should include valuation and financing SFM.
6. In addition, it was proposed to eventually add a specific annex that takes into consideration the particularities of integrating production forests in climate change adaptation and mitigation frameworks, particularly in REDD+.

As a result, new principles and guidelines proposed were proposed and several possible actions were also formulated. The first two columns of the table in **Annex 1** of this report highlight proposed sections or sub-sections and principles to be included.

**b) Preparation of an annex on “Incorporating the climate change perspective in the forest management plans”**

Climate change is one of the major current environmental threats. The United Nation Framework Convention (UNFCCC) as well as the Inter-governmental Panel on Climate Change (IPCC) have recognized the importance of forest ecosystems in mitigating and adapting to climate change.

The ITTO has early recognized the importance of considering climate change mitigation and adaptation and its impacts on tropical forests on tropical timber production. Since 2003 the ITTO Secretariat informs the country members on the developments in the UNFCCC negotiations and its potential impacts on the work of the ITTO.

The related reports and discussions have served as basis for undertaking the work on the proposed annex to the SFM Guidelines.

---

<sup>2</sup> Production forests mean that part of the Permanent Forest Estate (PFE) assigned to the production of timber and/or other extractive uses. PFE means land, whether public or private, secured by law and kept under permanent forest cover. This includes land for the production of timber and other forest products, for the protection of soil and water, and for the conservation of biological diversity, as well as land intended to fulfill a combination of these functions.

During the expert meeting in Thun the participants recommended to take the UN definition of SFM as a starting point for the considerations on climate change. Further, the experts agreed that principles regarding climate change should be consistent from the international actions to the actions at the FMU/community level (see figure 1)

The experts recommended to consider 6 major principles that should be included in the new SFM guidelines (see box1). On this basis an annex for implementation of the principles at the different sub-national levels will be elaborated. It can be noted that P2, P3, P5 and P6 are cross-cutting principles for SFM for any purpose.

**Box 1** Principles that were considered relevant for integrating climate change into the new Guidelines (as identified by the Working groups in the Thun Expert Meeting)

***P1 SFM and associated best practices should be applied as the basis for effectively addressing climate change***

***P2 Effective forest governance is essential to successful climate change mitigation and adaptation***

- a. Consistency between climate change policy and forest policy: national and international forest policy and climate change policies should be consistent
- b. Cross sectoral policy / integrated planning: effective inter-sectoral cooperation and coordination and multi-stakeholder processes are essential for decision making related to mitigation and adaptation
- c. Tenure of and access to environmental services and carbon pools must be clear
- d. Institutional arrangements, especially in the forest sector, need to promote strategies, programmes and projects aimed at addressing climate change
- e. Compliance
- f. Social systems

***P3 Principle of adaptive management should guide decision making aimed at adaptation and mitigation***

***P4 Forest monitoring systems should be adjusted to measure impacts and progress in addressing climate change (including changes in forest carbon stocks in all pools as well as factors related to adaptation)***

***P5 Financial incentives/ systems need to be equitable, transparent and participatory***

***P6 Information flows and knowledge management are essential***

**c) Preparation of a short document to link the ITTO Criteria and Indicators (2004) with the SFM Guidelines**

The third column of the table in Annex 1 shows, at the level of each principle of the SFM Guidelines, the applicable ITTO criteria and/or indicators. As it can be appreciated, the existing SFM GL of 1992 contain already all of seven criteria defined by the ITTO member countries for assessing the sustainable management of tropical forests and most of their corresponding indicators (ITTO 2004). Though some of the indicators do not directly apply (as they refer rather to the national level), there are others that are not included or are not well represented / formulated in the SFM GL (for instance, indicators C.1.7, C.1.8, C.1.10, C.4.4, C.4.7, C.7.6 or C.7.7). In general, these are indicators related to socio-economic aspects of SFM. This preliminary comparison provided specific elements to take into account in the revision and updating of the existing SFM GL.

Also in looking for complementarities and for consistency reasons as well, other guidelines produced by the ITTO were revised in order to identify relevant principles or guidelines that would need to be taken into account in updating the SFM GL. Annex 2 includes this for two important and closely relevant ITTO guidelines: the *ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests* (2008) and the *ITTO Guidelines for the restoration, management and rehabilitation of degraded and secondary tropical forests* (2002).

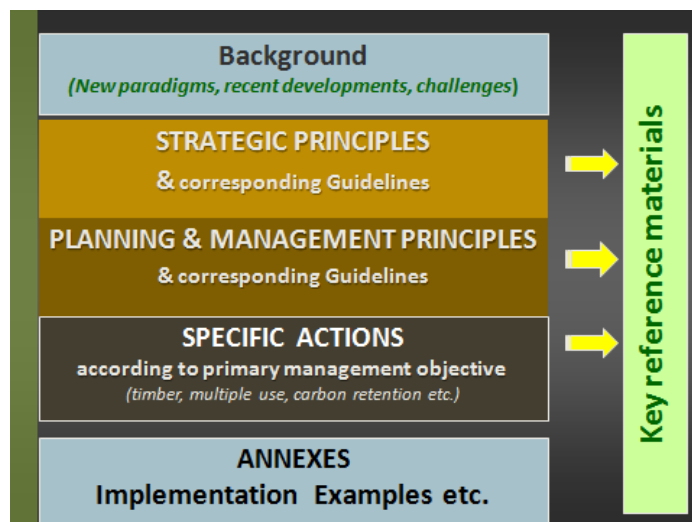
**d) Expert panel meetings to review abovementioned document: Short report on main discussions, conclusions and recommendations from the workshop in Thun**

The first Expert Panel Meeting was held in Thun, Switzerland from June 21 to 23. Twenty eight participants (including 10 representatives from ITTO producer countries and seven from ITTO consumer countries) attended the meeting, efficiently organized by Intercooperation. The meeting served mainly to provide inputs to the consultants based on a commented draft on the existing SFM Guidelines distributed beforehand to the participants and the oral presentations during the first day of the meeting. The main discussions can be summarized in the following points that need to be taken into account when revising the SFM GL:

- Positioning and scope of the SFM Guidelines (GL)
  - A policy-technical document to serve as an input for policy discussions on SFM key issues and as a background document covering with sufficient depth particular forest management issues that are to be applied at the FMU (stand) level
  - Focus on natural tropical forests, particularly natural production forests
  - Build up on the idea of multi-purpose forest management (that includes *per se* timber management, management of other forest goods and forest services, including forest carbon)
  - Consider different levels of application: international, national and the FMU), making sure there is a good connection between them
  - Take into account the linkage with existing ITTO guidelines and relevant documentation outside ITTO
  - SFM is a holistic concept and this should be highlighted from the beginning
  - Be as broad as possible, considering different forest managers & management/tenure arrangements (State, concessionaires, communities, ...)
  - Make reference in the background section to the four global objectives for forests and the seven thematic elements of NLBA (which also correspond to the functions of the forests described in the FRA 2010 document)
  - Bring in key (cross-cutting) issues for SFM application such as forest governance issues, indigenous people rights etc...
  - In view of the decentralization process in many countries, other sub-national levels should be explicitly mentioned when referring to the national level application of the guidelines
  - Integrate the concept of adaptive forest management, consider a landscape approach and address risk management. Also provide guidance on how to deal with trade-offs in defining management options / objectives
  - Incorporate the climate change perspective highlighting both mitigation and adaptation possibilities through forest management interventions
  - Bring in the old fashioned forestry concepts and applications (such as yield regulation)
  - Keep the GL simple and practical, not too prescriptive; above all be implementable, produce added-value and become a reference document
  - No new definitions to be proposed, but working definitions instead
  - Consider the scale level (i.e. the size of the FMU) when drafting the GL and recommended actions
  - Support the recommendations with proven science
  - Take into account the past use of the SFM GL to think on how to implement them; in this regard, foresee follow up capacity building and monitoring actions. For that, consider more country input and a stakeholder process to make sure there are good links with existing guidelines or on the work
  - Recommended to have a policy brief to address particular issues of the guidelines for negotiators and other key decision makers

- Structure of the GL

The following graph shows the proposed structure for the SFM GL with four main parts: I) Background - referring to new paradigms, recent developments and challenges to be addressed by the GL; II) Strategic Principles - applicable at the national or macro level, and their corresponding GL; III) Planning & Management Principles - applicable at the FMU/stand level, and corresponding GL; and IV) Specific Actions - to provide guidance for managing forests primarily focusing on timber, multiple use, carbon retention or enhancement etc. In addition, an Annex to include implementation examples among other useful material.



It should be mentioned that there were differing views among Panel members on the proposed structure. Some members preferred not to make a division between principles applicable at the national-scale and at the FMU scale, but instead arrange the principles according to what could be considered a logical sequence.

At the level of actions, it was recommended to differentiate their applicability at the macro or national level and/or the FMU level. In addition, boxes with examples could be used to illustrate the application of a principle or guideline.

- Proposed Principles

Participants were divided in groups to facilitate discussions and provide guidance and inputs to the formulation of principles for the updated SFM GL:

- Trends/Drivers/Developments in Tropical Forestry (natural forests) - This group identified a number of drivers and trends in relation to: a) Globalization, b) Governance, c) Research, d) Training and education, and e) Technical and technological advances.
- National, sub-national, landscape and stand level scale principles of SFM - This group proposed six principles for one or more of these levels:
  - P1 - Multiple-use role of forests
  - P2 - International commitments
  - P3 - Forest governance
  - P4 - Security of tenure, access and use rights
  - P5 - Land use and spatial planning
  - P6 - Inclusive decision making
  - P7 - Adaptive management (Information, knowledge and learning)
- Principles at the local/Forest Management Unit level -
  - P1 - Clarity of tenure and access rights
  - P2 - Participatory planning
  - P3 - Resource assessment
  - P4 - Monitoring of physical and social resources
  - P5 - Sustainable management
  - P6 - Protection
  - P7 - Benefits and incentives from FMU operations
  - P8 - Capacity building, information and communication



- SFM and Climate Change (CC)
  - P1 - SFM and associated best practices should be applied as the basis for effectively addressing CC
  - P2 - Effective forest governance is essential to successful CC mitigation and adaptation
  - P3 - The principle of adaptive management should guide decision making aimed at adaptation and mitigation
  - P4 - Forest monitoring systems should be adjusted to measure impacts and progress in addressing CC (including changes in forest carbon stocks in all pools as well as factors related to adaptation)
  - P5 - Financial incentives/ systems need to be equitable, transparent and participatory
  - P6 - Information flows and knowledge management are essential

#### **e) Field testing of the guidelines in the three tropical regions**

Field testing of draft Guidelines should be an important element before finalizing the Guidelines. The 46<sup>th</sup> session of the Council will have to decide upon how such field testing will be conducted and when where is the appropriate time for it. Completing the funding for this Activity will allow for the field testing to be carried out.

#### **f) Preparation of final drafts and submission to the forty-sixth Session of the ITTC**

There has been a delay in the presentation of the final draft of the updated SFM Guidelines. This can be attributed to several causes. The complexity of ensuring coherence and consistency between the SFM GL and the ITTO C&I as well as the other two guidelines mentioned under item 2 c), demanded careful consideration and certainly more time than foreseen. Another consideration are the developments outside ITTO, in particular related to the REDD+ discussions, which need to be taken into account in the updating of the SFM GL. On the other hand, an unexpected situation arose when the two key consultants both got seriously sick and had to be hospitalized during several weeks followed by forced resting periods for recovery.

The final draft of the updated SFM Guidelines will be presented by the consultants to the ITTO Secretariat by the end of February 2011. A second Panel Expert Meeting is proposed for March 2011 at a location to be defined. The final report and recommendations to the Council will then be submitted in October 2011, and their presentation in the 47<sup>th</sup> Council meeting in November 2011.

## The way forward

	<b>Activity</b>	<b>Time frame</b>
1.	Presentation of progress in Yokohama Discussion in a working group requesting inputs for further work	13-18 December 2010
2.	Detailed technical report and commented guidelines, based on the deliberations of the Thun meeting and discussions in Yokohama	End of January 2011
3.	Draft guidelines for consideration of the second Expert Panel meeting	End of February 2011
4.	Second panel/expert meeting	March/April 2011, venue to be determined
5.	Field testing of the guidelines (to be defined when remaining funds of outstanding balance of US\$ 45,300.00 will be made available)	June – September 2011
6.	Final report and recommendations to the Council	October 2011
7.	Presentation of the final draft guidelines in the 47 <sup>th</sup> Council meeting	November 2011

**ANNEX 1** – Structure of the ITTO SFM Guidelines (1992) with proposed sections or sub-sections and principles to be included, and applicable or related criteria and indicators of the ITTO C&I (2004)

ITTO SFM Guidelines		ITTO C&I
Section / Sub-section <i>(existing and NEW proposed)</i>	Principles <i>(existing and NEW proposed)</i>	<i>Applicable or related criteria (ex. C.1) and indicators (ex. C.1.4)</i>
<b>2. POLICY AND LEGISLATION AND INSTITUTIONAL CAPACITY</b>		
2.1 Forest policy	P1 - Political commitment P2 - A mechanism for regular revision of policy	C.1.3
<b>NEW 2.x Legal framework</b>	P3 - Appropriate legislation <b>NEW P. - Law enforcement and compliance</b>	C.1.1
<b>NEW 2.x Institutional capacity</b>	<b>NEW P. - Institutional framework</b> P.10 - A national forest authority <b>NEW P. - Forest decentralization</b> <b>NEW P. - Good governance</b>	C.1.3, C.1.5, C.1.6, C.1.9 <b>C.1</b>
2.2 National Forest Inventory	P.4 - Importance of all forests P.5 - Flexible provisions	<b>C.2</b>
2.3 Permanent Forest Estate	P.6 - Permanent forest cover P.7 - Categories of land to be kept under permanent forest P.8 - Land destined for conversion to other uses	C.2.2, C.2.4, C.2.6 C.2.1, C.2.3, C.2.6, C.5.7, C.6.1, C.6.5 C.2.1, C.2.5, C.2.6
2.4 Forest ownership	P.9 - Application to all forest lands <b>NEW P. - Security of forest tenure</b>	<b>C.1, C.7</b> C.1.2, C.7.12
<b>3. FOREST MANAGEMENT</b>		
3.1 Planning	P.11 - Multiple use of forests [r] <sup>3</sup> P.12 - Proper planning	<b>C.4, C.7</b> C.1.9, C.1.11, C.4.8, C.5.1, C.5.2, C.5.7, C.7.9, C.7.13
3.1.1 <i>Forest resource assessments [r]</i>	P.13 - Inventory for planning of forest management	C.4.1, C.5.3, C.5.4, C.5.6, C.6.1, C.7.1, C.7.2, C.7.3, C.7.10, C.7.11
<b>NEW 3.1.x Continuous forest inventory</b>	<b>NEW P. - Periodic forest resource assessments</b>	C.4.2, C.4.8
3.1.2 <i>Setting of management objectives</i>	P.14 - Management objectives for each FMU P.15 - Size of the FMU	C.4.8
3.1.3 <i>Choice of silvicultural concept</i>	P.16 - Choice of silvicultural concept	<b>C.3, C.4, C.5, C.6, C.7</b>
3.1.4 <i>Yield regulation, Annual Allowable Cut (AAC)</i>	P.17 - Regulation and control of timber yields	C.4.2, C.4.3
3.15 <i>Management inventory and planning</i>	P.18 - Management inventory	C.4.5, C.5.6
3.1.6 <i>Preparation of working plans</i>	P.19 - Working plans	C.1.11, C.4.5, C.5.6
3.1.7 <i>Environmental</i>	P.20 - Environmental impact assessment	C.5.1, C.5.2, C.5.3,

<sup>3</sup> Reformulated.

ITTO SFM Guidelines		ITTO C&I
Section / Sub-section <i>(existing and NEW proposed)</i>	Principles <i>(existing and NEW proposed)</i>	Applicable or related criteria <i>(ex. C.1) and indicators (ex. C.1.4)</i>
<i>impact assessment</i>		C.5.4, C.5.5, C.6.1, C.6.2, C.6.3, C.6.4, C.6.5
<i>NEW 3.1.x Demarcation and zoning of the FMU</i>	<i>NEW P. - Demarcation and maintenance of boundaries</i>	C.3.1
	<i>NEW P. - Division of the FMU in compartments</i>	C.4.6, C.5.2, C.6.2, C.7.10, C.7.11
	<i>NEW P. - Forest zoning</i>	C.5.1, C.5.2, C.6.2, C.7.10, C.7.11
3.2 Harvesting	P.21 - Harvesting operations	C.4.5, C.4.6, C.4.9, C.4.11, C.5.3, C.5.5, C.5.6, C.6.3, C.6.4, C.7.8
3.2.1 Harvest planning [r]	P.22 - Harvest planning (Pre-harvest prescriptions)	
3.2.2 Roads	P.23 - Road planning and construction	
<i>NEW 3.2.x Pre-felling treatment</i>	<i>NEW P. - Pre-felling treatment</i>	
<i>NEW 3.2.x Directional felling</i>	<i>NEW P. - Directional Felling</i>	
3.2.3 Extraction	P.24 - Controlled extraction [r]	
<i>NEW 3.2.x Landing operations</i>	<i>NEW P. - Landing operations</i>	
<i>NEW 3.2.x Log measurement (scaling)</i>	<i>NEW P. - Log measurement (scaling)</i>	
<i>NEW 3.2.x Transport operations</i>	<i>NEW P. - Transport operations</i>	
3.2.4 Post-harvest assessment [r]	P.26 - Assessment of harvest operations [r]	
<i>NEW 3.x Silviculture</i>	<i>NEW P. - Silvicultural operations</i>	C.4.10, C.5.3, C.5.5, C.5.6, C.7.8
<i>NEW 3.x.x Silvicultural planning</i>	<i>NEW P. - Diagnostic sampling</i>	
<i>NEW 3.x.x Silvicultural interventions</i>	<i>NEW P. - Choice and application of silvicultural treatments</i>	
3.3 Protection of the forest resource [r]	<i>NEW P. - Protection measures</i>	C.3.1, C.3.2, C.5.3, C.5.5, C.5.6, C.6.3, C.6.4, C.7.8, C.7.11
3.3.1 Control of access and illegal activities	P.26 - Protection from incompatible activities	
3.3.2 Fire	P.27 - Measures for fire prevention and control [r]	
3.3.3 Use of chemicals	P.28 - Minimal use of chemicals	
<i>NEW 3.3.x Waste management</i>	<i>NEW P. - Proper disposal of waste</i>	
3.4 Legal arrangements		C.7.9, C.7.12, C.7.13, C.7.14
3.4.1 Concession arrangements	P.29 - Incentives to support long-term SFM in public forests	
3.4.2 Logging permits on private or customarily held land	P.30 - Incentives to support long-term SFM in private or customarily held land	
3.4.3 Salvage permits	P.32 - Utilization of timber from forest land to be converted or from damaged forests	
3.5 Monitoring and research	P.33 - Feedback from monitoring into the planning process and research	C.1.9, C.4.2, C.4.7, C.4.9, C.4.10, C.4.11,

ITTO SFM Guidelines		ITTO C&I
Section / Sub-section (existing and NEW proposed)	Principles (existing and NEW proposed)	Applicable or related criteria (ex. C.1) and indicators (ex. C.1.4)
	NEW P. - Reporting	C.7.10
3.5.1 Yield control and silviculture [r]	NEW P. - Frequent checks on cutting prescriptions	
<b>4. SOCIOECONOMIC AND FINANCIAL ASPECTS</b>		
	P.34 – Equitable distribution of incentives, costs and benefits	C.7.4, C.7.12, C.14
4.1 Relations with local populations	P.35 – Compatibility with interests of local populations	C.7.5, C.7.9, C.7.12, C.7.14
	NEW P. – Role of NTFP	C.7.2, C.7.3,
	P.36 – Timber permits in areas inhabited by indigenous peoples	C.7.9, C.7.12, C.7.13, C.7.14
4.2 Economic incentives and taxation	P.37 – Economic viability of management for timber production	<b>C.1, C.7</b>
	P.38 – Funding to maintain the productive capacity of the forest resource	
	P.39 – Forests fees and taxes directly related to the real cost of forest management	C.1.3
	P.40 – Revision of forest fees and taxes	
	P.41 – Continuity of operations	
NEW 4.3 Valuation and financing	NEW P. – Adequate financing and integral valuation of forests goods and services	C.1.4

**ANNEX 2** – Principles or objectives and guidelines of the *ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests* (2008) and the *ITTO Guidelines for the restoration, management and rehabilitation of degraded and secondary tropical forests* (2002) that are relevant to the ITTO SFM Guidelines (1992)

ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests		ITTO Guidelines for the restoration, management and rehabilitation of degraded and secondary tropical forests	
Relevant Principles	Relevant Guidelines	Relevant Objectives	Relevant Principles
1: Sovereignty and societal choice	1, 2	I: Attain commitment to the management and restoration of degraded and secondary forests	1, 2, 3
2: International commitments	4	II: Formulate and implement supportive policies and appropriate legal frameworks	4, 5, 6, 7
3: Political commitment, policies and laws	6	III: Empower local people and ensure the equitable sharing of costs and benefits	8, 9, 10
4: Land use and spatial planning	7, 8	IV: Employ integrated approaches to resource assessment, planning and management	12, 13
5: Decentralization, forest tenure and natural resource access rights	9	V: Take an adaptive and holistic approach to forest management, emphasizing environmental and social values	14, 17, 18, 21, 22, 23, 24
6: Incentives	11, 13, 14	VI: Promote economic efficiency and financial viability	25, 26, 27
7: Knowledge, learning, technology transfer and capacity building	15, 16, 17, 18, 19	VII: Guarantee participatory monitoring and evaluation as a basis for adaptive management	28, 29, 30, 31
8: Managing tropical production forests at a landscape scale	22, 23	VIII: Utilize appropriate ecological and silvicultural knowledge and efficient management practices	32, 33, 34, 38, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49
9: Biodiversity considerations at the forest management unit level	24, 25, 26, 27, 29, 30, 31, 32, 33, 34, 35, 36, 37		
11: Maintaining functioning forest ecosystems	43, 44, 45, 46		

ANNEX 3 – Participants list



**Expert meeting for discussing progress on the revision of the ITTO SFM - June 2010 in Thun, Switzerland**

**List of participants**

**ITTO PRODUCER MEMBERS**

**Africa**

Richard <b>Eba'a Atyi</b>	Liberia	rebaa@foraf.eu
M. Martial <b>Me Kouamé</b>	Côte d'Ivoire	mekouame@yahoo.fr
Victor <b>Agyeman</b>	Ghana	victoragyeman@hotmail.com / vagyeman@csir-forig.org.gh / agyemanvictor@yahoo.com
Mathieu Bongu <b>Mongolu</b>	R. D. Congo	mongolu2003@yahoo.fr

**Asien and Oceania**

Mohamad Ismail <b>Dato' Shaharuddin</b>	Malaysia	dinshah@pkisc.cc.ukm.my
Yurdy <b>Yasmi</b>	Indonesia	yurdi@recoftc.org
Dr. <b>Kotwal</b>	India	prof.pckotwal@yahoo.com

**Latin America**

Cesar <b>Sabogal Melendez</b>	(ITTO Consultant) Brazil	c.sabogal@cgiar.org
Roberto <b>Kometter</b>	Peru	rkometter@intercooperation.org.pe
Joberto <b>Freitas</b>	Brasil	ifn-br@florestal.gov.br

**ITTO CONSUMER MEMBERS**

**Europe**

Daniel <b>Birchmeier</b>	Switzerland	daniel.birchmeier@seco.admin.ch
Chantal <b>Oltramare</b>	Switzerland	chantal.oltramare@seco.admin.ch
Jürgen <b>Blaser</b>	(ITTO Consultant)	juergen.blaser@intercooperation.ch
Carmenza <b>Robledo</b>	(ITTO Consultant)	carmenza.robledo@intercooperation.ch
Keith <b>Anderson</b>	BAFU, Switzerland	keith.anderson@bafu.admin.ch
Taina <b>Veltheim</b>	Finnland	taina.veltheim@mmm.fi
Ian <b>Thompson</b>	Canada	ian.thompson@nrca.gc.ca

**ORGANIZATIONS**

Manuel <b>Guariguata</b>	<b>CIFOR</b>	M.GUARIGUATA@CGIAR.ORG
Susan <b>Braatz</b>	<b>FAO</b>	Susan.Braatz@fao.org
Jim <b>Carle</b>	<b>FAO</b>	Jim.Carle@fao.org
Chen <b>Hin Keong</b>	CSAG Co-Chair	hkchen@pc.jaring.my
Barney <b>Chan</b>	<b>TAG Coordinator</b>	belachan@aol.com
Eduardo <b>Mansur</b>	<b>ITTO</b>	mansur@itto.int
Koji <b>Hattori</b>	<b>Japan</b>	koji_hattori@nm.maff.go.jp
Steve <b>Johnson</b>	<b>ITTO</b>	johnson@itto.int
Christopher <b>Stewart</b>	<b>HCV network</b>	christopher@hcvnetwork.org
Patrick <b>Hardcastle</b>	<b>consultant</b>	pddhardcastle@googlemail.com
Alastair David <b>Sarre</b>	<b>consultant</b>	adsarre@gmail.com