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**INTERIM REPORT**

**Validated set of Criteria and Indicators (C&I) for Sustainable Forest  
Management (SFM) in Africa**

**PP-A/55-336 (BWP18-19/8b)  
“Adapting the 2016 ITTO Criteria and Indicators (C&I) for SFM  
to the African context”**

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## I. Executive summary

### Context

The International Tropical Timber Organization (ITTO) is an intergovernmental organization established in 1986 to promote the sustainable management and conservation of tropical forests and international trade in tropical timber from sustainably managed forests. ITTO member states account for about 90 per cent of international trade in tropical timber and over 80 per cent of the world's tropical forests. To achieve its objectives, ITTO is developing internationally recognized guidelines and standards to promote the sustainable management of tropical forests and trade in tropical timber of sustainable origin. The Organization also assists its Member States in adapting these guidelines and standards to local conditions and implementing them through projects and other field activities. In this sense, ITTO developed its *ITTO Guidelines for the Sustainable Management of Natural Tropical Forests* in 1990, followed by a set of other thematic guidelines (plantations, biodiversity, forest fires, etc.). In 1992, just before the Rio Summit, ITTO's Criteria and Indicators (C&I) for sustainable management of natural tropical forests were published. Subsequently, these C&I were revised in 1998 and 2016 to take account of the experience gained in their use and the developments in the international process of adopting forest policies. In parallel with these internal developments the ITTO and the African Timber Organization (ATO) jointly published the *ATO/ITTO Principles, Criteria and Indicators for the Sustainable Management of African Natural Tropical Forests* in 2003. This is a harmonized document that the member countries of the two organizations are called upon to use as a guide in their actions to promote and implement the sustainable management of their natural forests.

The Biennial Work Program currently being implemented by ITTO includes, among other things, revision of the ATO/ITTO PCIs following the recommendation of the regional workshop on the *Voluntary Guidelines for the Sustainable Management of Natural Tropical Forests* held in Cotonou, Benin, from 8 to 12 May 2017. It was in the context of the implementation of this recommendation that this work was commissioned by the ITTO.

### Study objectives

The overall objective of this work is to adapt the 2016 ITTO set of criteria and indicators to the African context. The adapted document will serve as a basis for further updating of the 2003 ATO-ITTO Principles, Criteria and Indicators.

### Methodological approach

Four main steps were followed in the implementation of this study, the first three of which involved only the consultants recruited by ITTO for this purpose:

- i. A review of the level of application of C&I for sustainable management of tropical forests by ITTO African member countries, including an analysis of the functioning of the working groups set up in successive phases of the PD 124/01 project, was carried out. A status of use of PCIs by member countries was produced including: the preparation of national reports on progress toward SFM, the training of auditors and the conducting of pilot audit missions;
- ii. A review of three of the following ITTO guidelines was carried out: *Environmental and Social Management Guidelines*, *ITTO Guidelines for Forest Landscape Restoration in the Tropics* and *Voluntary Guidelines for the Sustainable Management of Natural Tropical Forests*;
- iii. The development of an initial draft (draft zero) for a new set of ITTO C&Is for the sustainable management of African tropical forests in order to integrate the different aspects covered in the various guidelines discussed in item (ii) above. The development of the draft zero also took into account recent developments, particularly regarding the roles of forests in combating climate change and the United Nations Sustainable Development Goals (SDGs). This draft zero was commented on by experts from the ITTO headquarters prior to the next step and the recorded comments were incorporated into it;
- iv. The holding of a regional technical validation workshop to validate the initial draft (draft zero) proposed by the consultants, which brought together some thirty participants from 10 African ITTO member countries, including: Cameroon, Côte d'Ivoire, the Republic of Congo, the Central African Republic, the Democratic Republic of the Congo, Gabon, Liberia, Mali, Mozambique and

Togo. Three member countries, namely Ghana, Madagascar and Benin, were unable to participate for various logistical reasons.

On the basis of the work done in the first two steps outlined above, adaptation to the African context consisted of removing some indicators from the original version, modifying some others or developing new indicators.

### Adapting ITTO C&I to the African context

The following table shows the number of indicators validated per criterion for the C&I adapted to the African context compared to the number of indicators in the 2016 global generic set of C&I.

Criterion	Number of ITTO generic indicators	Number of indicators in the set adapted for Africa
Criterion 1: Enabling conditions for sustainable forest management	11	17
Criterion 2: Extent and condition of forests	8	9
Criterion 3: Health and resilience of the forest ecosystem	5	13
Criterion 4: Forest production	10	18
Criterion 5: Forest biodiversity	7	10
Criterion 6: Soil and water protection	5	7
Criterion 7: Economic, social and cultural aspects	12	19

## II. Validated criteria and indicators for the sustainable management of tropical forests in Africa

### Criterion 1: Enabling conditions for sustainable forest management

#### Policy, legislation and governance framework

- 1.1 Forest policies, laws and regulations
- 1.2 Policies, laws and regulations governing other terrestrial ecosystems
- 1.3 Policies, legislation and regulations governing land management
- 1.4 Tenure and forest ownership categories
- 1.5 Forest governance
- 1.6 Existence of mechanisms for the participation of stakeholders in forest management decision-making

#### Institutional framework

- 1.7 Institutions in charge of sustainable forest management
- 1.8 Institutions in charge of forest law enforcement
- 1.9 Existence of capable professional and technical personnel dedicated to the implementation of support for sustainable management.
- 1.10 Allocation of an adequate budget to the institutions in charge of forest management

Planning and monitoring framework

- 1.11 Integration of forests into land use planning at national and subnational levels
- 1.12 Capacity and arrangements relating to forest management planning and periodic monitoring of implementation
- 1.13 Projections, strategies and long-term plans for the production Permanent Forest Estate (PFE) and the protection PFE
- 1.14 Existence of mechanisms for stakeholder participation in land-use planning, monitoring and assessment as well as forest management.

Economic framework

- 1.15 Existence of sustainable public and private funding mechanisms for SFM at national and subnational level
- 1.16 International public and private funding of SFM
- 1.17 Incentives to promote SFM

**Criterion 2: Extent and condition of forests**

- 2.1 Extent and percentage of the total area of the territory under general land-use plans
- 2.2 Extent of the area of natural forests used for production and protection
- 2.3 Extent of the area of planted forests per type of use
- 2.4 Extent and percentage of total area of the territory per forest type
- 2.5 Extent and areas of forest per type of ownership
- 2.6 Extent and area of production forests under multi-year management plans
- 2.7 Extent and area of protection forests under multi-year management plans
- 2.8 Forest areas in compliance arrangements. Forest areas in compliance with certification systems
- 2.6 Change in forest areas
- 2.9 Periodic change in forest carbon stock

**Criterion 3: Health and resilience of the forest ecosystem**

Response to threats to forests and their vulnerabilities

- 3.1 Threats to forests directly caused by human activities
- 3.2 Area and percentage of forest land cleared per type of human activity
- 3.3 Area and percentage of degraded lands per type of human activity
- 3.4 Mechanisms to combat deforestation and degradation at national and subnational levels
- 3.5 Vulnerability of forests to natural disturbances. Area of forests disrupted by natural causes
- 3.6 Existence of a multisectoral framework for consultation on climate change including forests
- 3.7 Existence of a national and subnational climate change strategy
- 3.8 Funding and implementation of climate change strategies
- 3.9 Monitoring the effects of climate change on forests

Restoration of degraded forests and land

- 3.10 Existence of forest landscape restoration strategies adapted to local needs
- 3.11 Multi-stakeholder initiatives implemented for the restoration of forest landscapes
- 3.12 Mechanism for the monitoring and development of areas of degraded forest land
- 3.13 Area of previously degraded forest or forest land that has been restored

**Criterion 4: Forest production**

Assessment of resources

- 4.1 Extent and proportion of natural production forests inventoried per product type
- 4.2 Effective harvesting of timber and non-timber products in natural forests according to available potential
- 4.3 Inventories of planted production forests, per product
- 4.4 Effective harvesting of timber and non-timber products in planted forests
- 4.5 Periodic change in forest carbon stock

Forest logging planning and control procedures

- 4.6 Area of concessions in production natural forests
- 4.7 Area of planted production forests
- 4.8 Annual area of planned logging operations in natural production forests
- 4.9 Annual area of planned logging operations in planted production forests
- 4.10 Annual area covered by logging in natural production forests
- 4.11 Annual area covered by logging in planted production forests
- 4.12 Traceability systems for forest products or similar control mechanisms
- 4.13 Traceability systems in compliance with certification systems.
- 4.14 Existence of systems for monitoring and archiving forest management data

Silviculture in natural and planted forests

- 4.15 Adoption and implementation of reduced impact logging principles
- 4.16 Silviculture regimes in natural production forests
- 4.17 Silvicultural management in planted forests
- 4.18 Monitoring of silvicultural regimes in natural and planted forests

**Criterion 5: Forest biodiversity**

Diversity of ecosystems

- 5.1 Number and area of protected land areas per type
- 5.2 Extent of forests in protected areas
- 5.3 Existence of functional mechanisms for the management of buffer zones and connectivity of protected forest areas

Diversity of species

- 5.4 Threatened forest-dependent flora and fauna species
- 5.5 Existence of strategies and conservation of the diversity of plant species in natural tropical forests.
- 5.6 Existence of strategies and conservation of the diversity of wildlife species in natural tropical forests
- 5.7 Conducting of ecological monitoring in protected areas

Genetic diversity

- 5.8 *In situ* conservation of genetic variation in selected forest tree species

Conservation of biodiversity in production

- 5.9 Measures for the conservation of biodiversity in natural production forests
- 5.10 Measures for the conservation of biodiversity in planted forests

**Criterion 6: Soil and water protection**

Scope of protection

- 6.1 Forest area managed with soil and water protection as the primary objective
- 6.2 Implementation of measures to protect watershed values downstream at landscape level
- 6.3 Existence of functional mechanisms for involving land-use actors in soil and water protection

Protective functions of production forests

- 6.4 Mechanisms implemented to prevent soil and water degradation in production forests
- 6.5 Area of the production PFE considered environmentally sensitive and protected
- 6.6 Mechanisms implemented to prevent soil and water degradation outside the PFE
- 6.7 Area outside of the PFE managed to protect soil and water quality.

**Criterion 7: Economic, social and cultural aspects**

Economic aspects

- 7.1 Contribution of the forestry sector to the national economy
- 7.2 Contribution of the forestry sector to employment
- 7.3 Volume of timber production per product type
- 7.4 Volume of forest production other than timber
- 7.5 Value of forest products and environmental services
- 7.6 Rate of timber and non-timber products processing

Social and cultural aspects

- 7.7 Existence of procedures for assessing the social and environmental impacts of activities affecting forests
- 7.8 Implementation of environmental and social management plans
- 7.9 Capacity-building for the workforce in forest management and forest industry
- 7.10 Procedures to ensure the health and safety of forest workers
- 7.11 Mechanisms for equitable sharing of costs and benefits of forest management
- 7.12 Mechanisms for resolving disputes among forest management stakeholders.
- 7.13 Subsistence activities of indigenous peoples and local communities in the PFE forests
- 7.14 Forests assigned to specific cultural, research and educational objectives

Rights and participation of local authorities and indigenous peoples in forest management

- 7.15 Respect for the rights of indigenous peoples and local communities in the PFE forests.
- 7.16 Mechanisms for the involvement of indigenous peoples and local authorities in forest management
- 7.17 Forest area managed by indigenous peoples and/or local communities for timber and non-timber production
- 7.18 Involvement of indigenous peoples and local communities in forest management
- 7.19 Taking into account the knowledge and know-how of local communities and indigenous peoples in forest management.

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