

ITTO C&I 2016

Criteria and indicators for the sustainable management of tropical forests

Workshop for Trinidad & Tobago
Port of Spain – Feb 2024

<https://www.itto.int/guidelines/>

C&I: The central element of the set of ITTO's Policy Guidelines



Major C&I processes globally

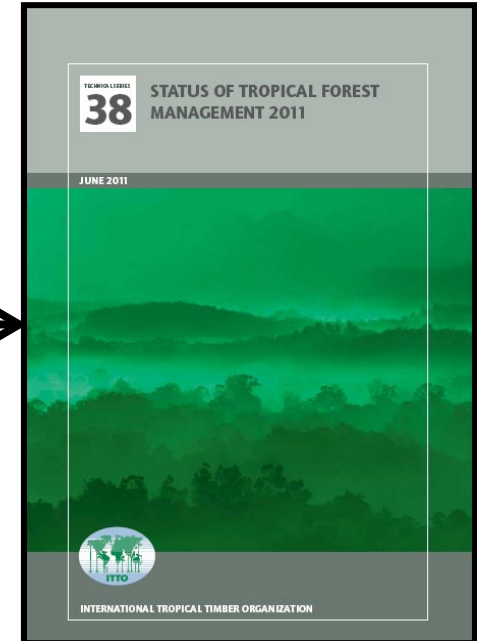
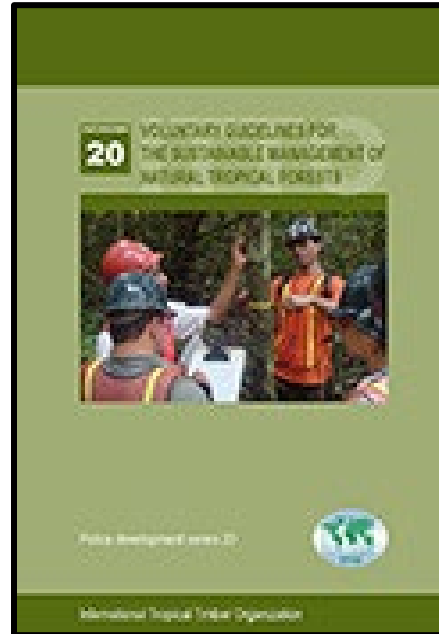
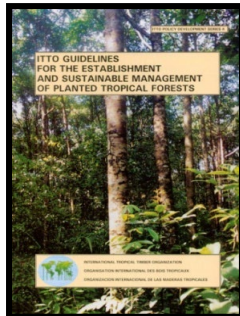


- **ITTO C&I 1991, 1998, 2005, 2016** → National C&I SFM processes in the tropics
- **ATO/ITTO PC&I 1995, C&I Africa 2023** → African natural forest management
- **Tarapoto Process 1995 (C&I Amazon)** → Efforts for harmonization with ITTO C&I
<https://www.fao.org/3/y5841e/y5841e13.pdf>
- **Montreal Process 1999 – 2015** → C&I for temperate and boreal forests
https://montreal-process.org/The_Montreal_Process/Criteria_and_Indicators/index.shtml
- **Pan-European C&I** → **State of Europe's forests 2007, 2011, 2015, 2020**
Pan-European indicators for SFM (Forest Europe)
<https://foresteurope.org/workstreams/sustainable-forest-management/>

Input for further international processes, inter alia

- SDGs [in particular SDG-15] and forest relating reporting; Post-Rio convention processes
- FAO Forest Resources Assessment and State of the World's forest reporting
UN Global Forests goal report 2021
- ITTO Status of Tropical Forest Management 2005 and 2011

ITTO Guidelines, C&I and SFM reporting



Guidelines:
Development of standards
Capacity building
Support for reporting

C&I 2016:
A checklist for
Monitoring, Reporting,
Governmental Verification

Status report:
Information sharing,
Transparency,
Supporting financing

- All ITTO producer members committed to adopting of ITTO C&I
- ITTO was trendsetter in C&I development since 1991 (and continuously with its revisions in 1998, 2005 and 2016)

Objective of ITTO C&I:

- To help to implement and monitor the management of a country's forest estate
 - To report on progress towards SFM
- Applicable at various levels: International, national, landscape and local (forest management unit*) levels

*a clearly defined forest area, managed for a set of explicit objectives and according to a long-term management plan.



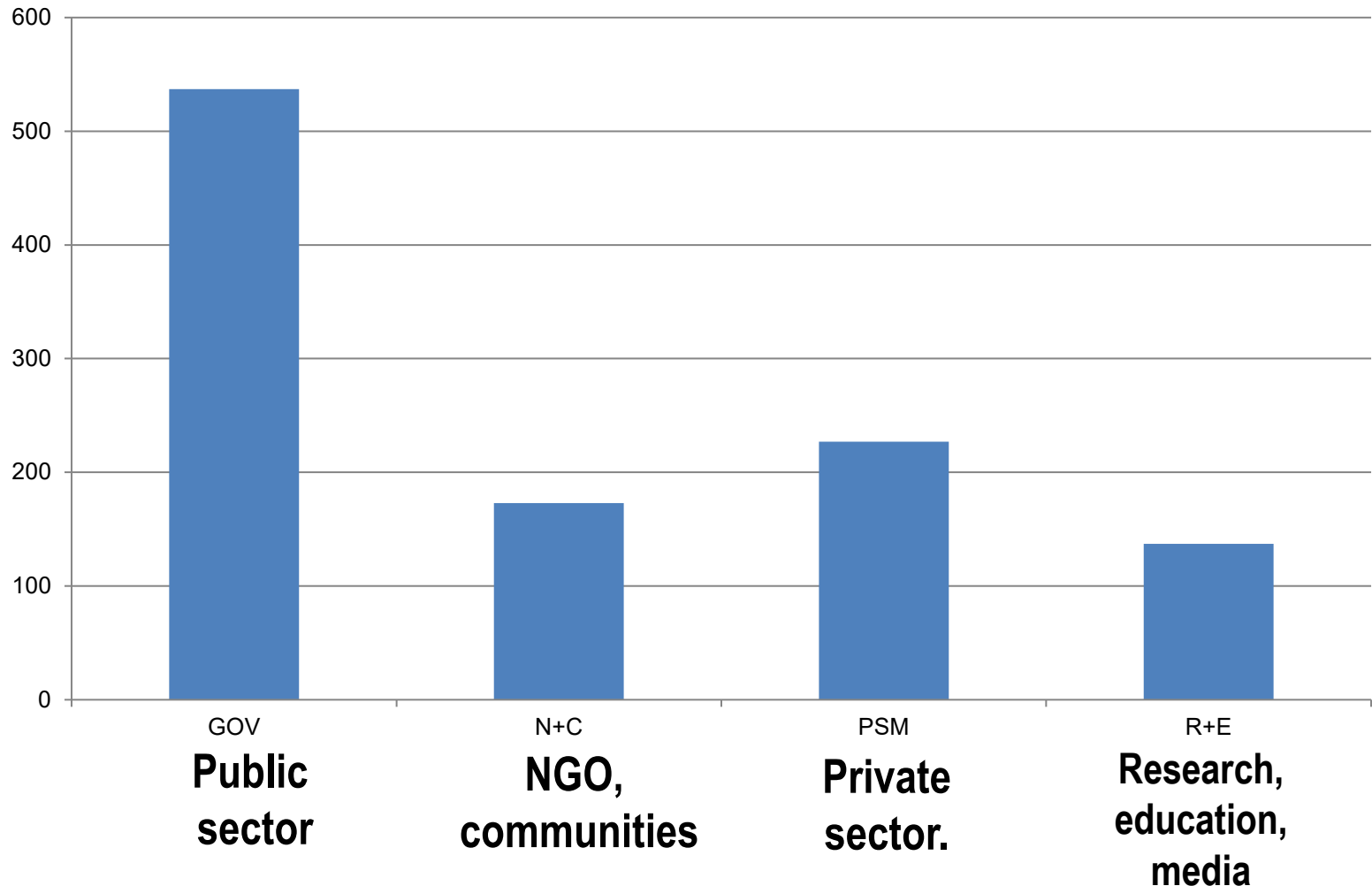
Update ITTO's C&I for tropical forests based on information of country reviews and development in international forestry

- 28 C&I workshops organized (in 28 countries) since 2002
- Evaluation of indicators and reporting format in each country:
 - Is the Item Applicable?
 - Is Information Available?
 - How Might Data Be Obtained?
 - What is lacking?
- Exchange in international processes since 2005, including REDD+, FLEGT, FLR;
- Issues coming from the Status of Tropical Forest Management Report: 2005, 2011
- Preparation of a working draft of reviewed ITTO C&I in early 2015
- Expert panel meeting in Lüderenalp, Switzerland 23-25 June 2015
- Final draft (before editing) for comments by ITTC (Fall 2015)
- Finalization of the reviewed C&I based on ITTC approval process in 2016



ITTO C&I workshop stakeholders

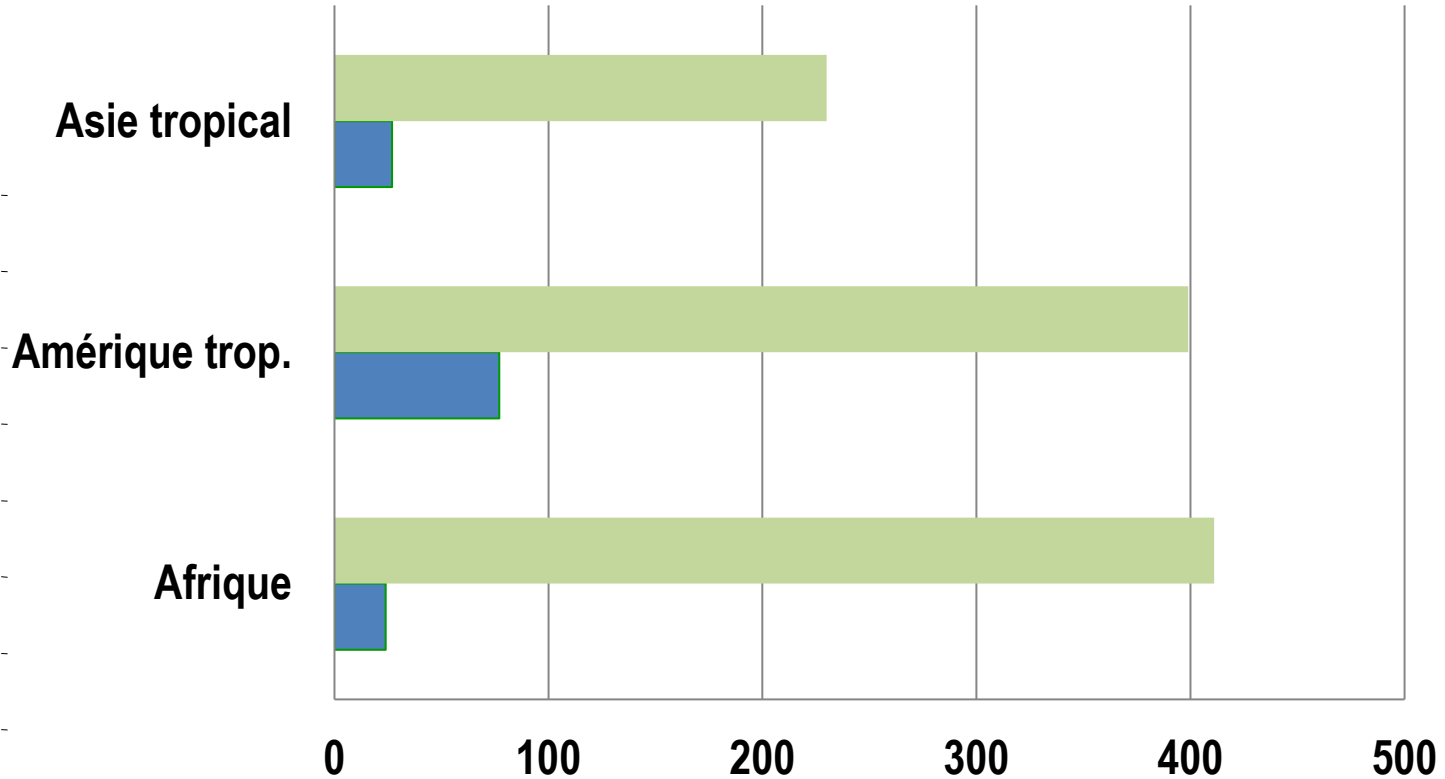
Participants in 28 workshops in ITTO producer countries:
1280 participants (2002-2015)



The graph is based on 25 workshops



ITTO C&I workshop statistics



	Afrique	Amérique trop.	Asie tropical
hommes	411	399	230
femmes	24	77	27

(25 workshops)

Rationale for the current C&I 2016

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- Streamlining aspects at the indicator level at the national, landscape and FMU scales based on the information and recommendation from the 28 national workshops on C&I 2005
- Further elaboration of a set of “new” indicators on *inter alia* forest governance, sustainable woodfuel production, forest restoration, the contribution of forests to the global carbon cycle, and the role of forests in climate-change adaptation
- Exploring connections among the ITTO and other processes using C&I processes and the feasibility and merits of enhanced convergence

Purpose of ITTO C&I

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- Provide a tool for monitoring, assessing and reporting on changes and trends in forest conditions and management systems at the national/subnational and FMU levels
- C&I identify the main elements of SFM at the jurisdictional levels* applicable in a country, thereby providing a means of assessing progress towards SFM
- The ITTO C&I can be used for monitoring, assessing and reporting on the production and protection of goods and environmental services in all types of tropical forests, both natural and planted, and for addressing the needs of specific stakeholder groups in tropical countries.

* <https://forestsnews.cifor.org/73624/taking-stock-of-jurisdictional-approaches-to-sustainable-forest-management?fnl=en>

Key concept and scale of C&I application

- Two key concepts:

(1) SFM to ensure the **sustainable supply of forest goods and environmental services**; and

(2) Application in areas destined to remain under forest cover “in perpetuity”—that is, as **permanent forest estate (PFE)**

- Various Scales:

- **Global and national/subnational scales** to contribute to the management, conservation and sustainable development of forests and to provide for their multiple and complementary functions and uses. This includes global environmental services provided by forests such as carbon cycle and biodiversity
- At the **landscape scale**, SFM as to cope with tradeoffs between the use of a mix of products, environmental services and values offered by forests and trees in modified landscapes (see also ITTO Guidelines for forest landscape restoration in the tropics)
- **Forest Management Unit level (FMU)**. A clearly defined forest area managed to a set of explicit objectives according to a long-term management plan



Definitions: SFM, permanent forest estate

■ Sustainable forest management

- The process of managing forest to achieve one or more clearly specified objectives of management with regard to the production of a continuous flow of desired forest products and services without undue reduction of its inherent values and future productivity and without undesirable effects on the physical and social environment.

■ Permanent forest estate

- 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 biodiversity, as well as land intended to fulfil a combination of these functions. The main categories of the permanent forest estate are protection and production.

■ ANNEX 2: Definitions, page 71-76



Use of C&I at national level

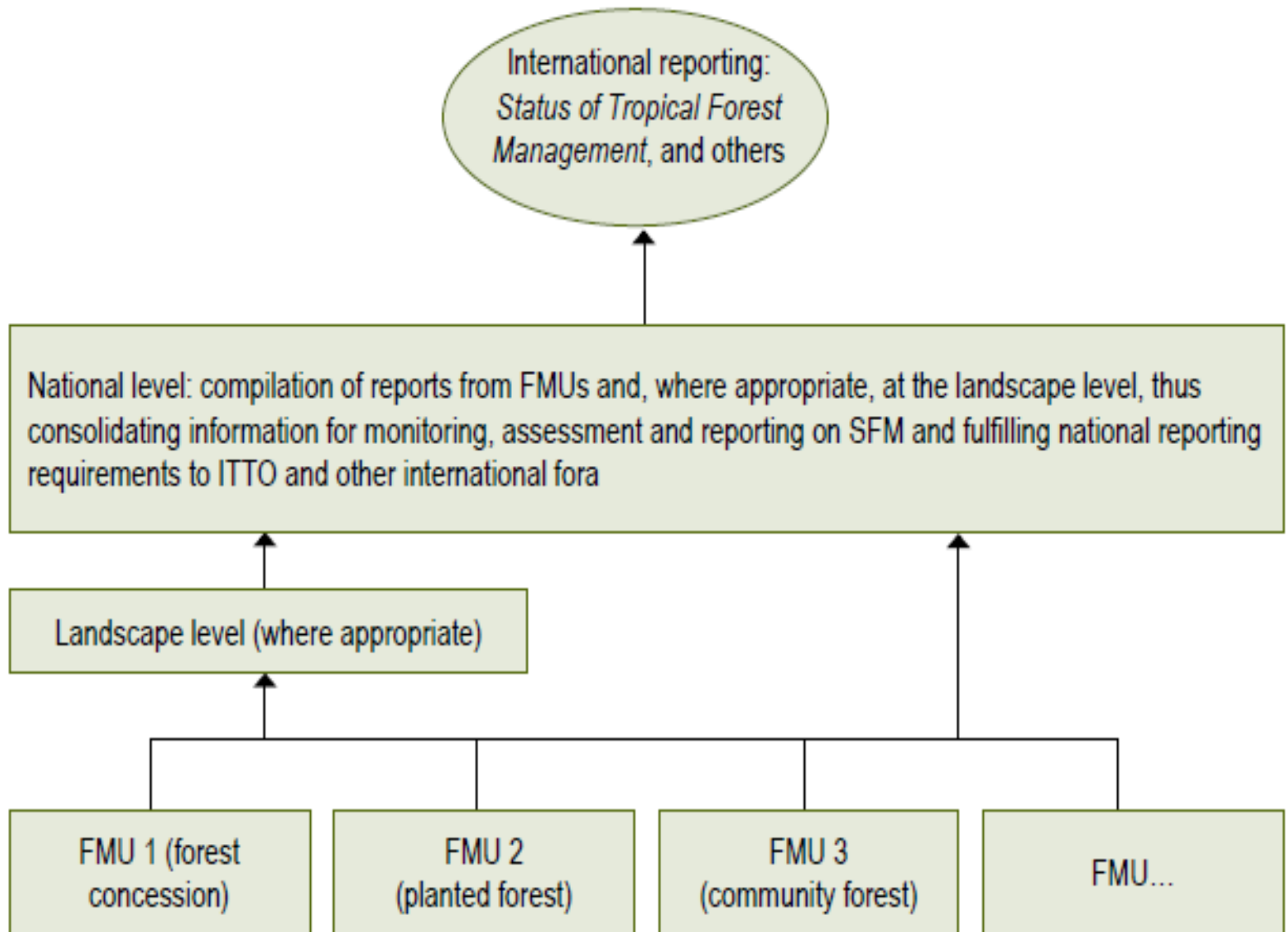
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The criteria and indicators - meaning

21 CRITERIA AND INDICATORS FOR THE RESPONSIBLE MANAGEMENT OF TROPICAL FORESTS



Policy Document Series 27



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Criteria are the essential elements of SFM, and indicators are ways of measuring them. The development of criteria common to the various C&I processes globally led to the identification of “seven thematic elements of SFM”, which are used in international reporting.

- **Criteria (one single: criterion)**
 - A category of conditions or processes by which sustainable forest management may be assessed.
 - **Indicator**
 - A quantitative, qualitative or descriptive attribute that, when measured or monitored periodically, indicates the direction of change in a criterion.
- **The ITTO C&I 2016 specify seven criteria as essential element of SFM, 18 indicator groups and a total of 58 indicators.**

Criteria and Indicators for SFM Tropics

7 criteria, 18 indicator groups and 58 indicators

1 Enabling conditions for SFM

- Policy, legal and governance framework
- Institutional framework
- Planning and monitoring framework
- Economic framework

2 Extent and condition of forests

3 Forest ecosystem health & resilience

- Addressing threats to, and vulnerabilities, forests
- Restoration of degraded forests and lands

4 Forest production

- Resource assessment
- Harvesting planning and control procedures
- Silviculture in natural and planted forests

5 Forest biological diversity

- Ecosystem diversity
- Species diversity
- Genetic diversity
- Biodiversity conservation in production forests

6 Soil and water protection

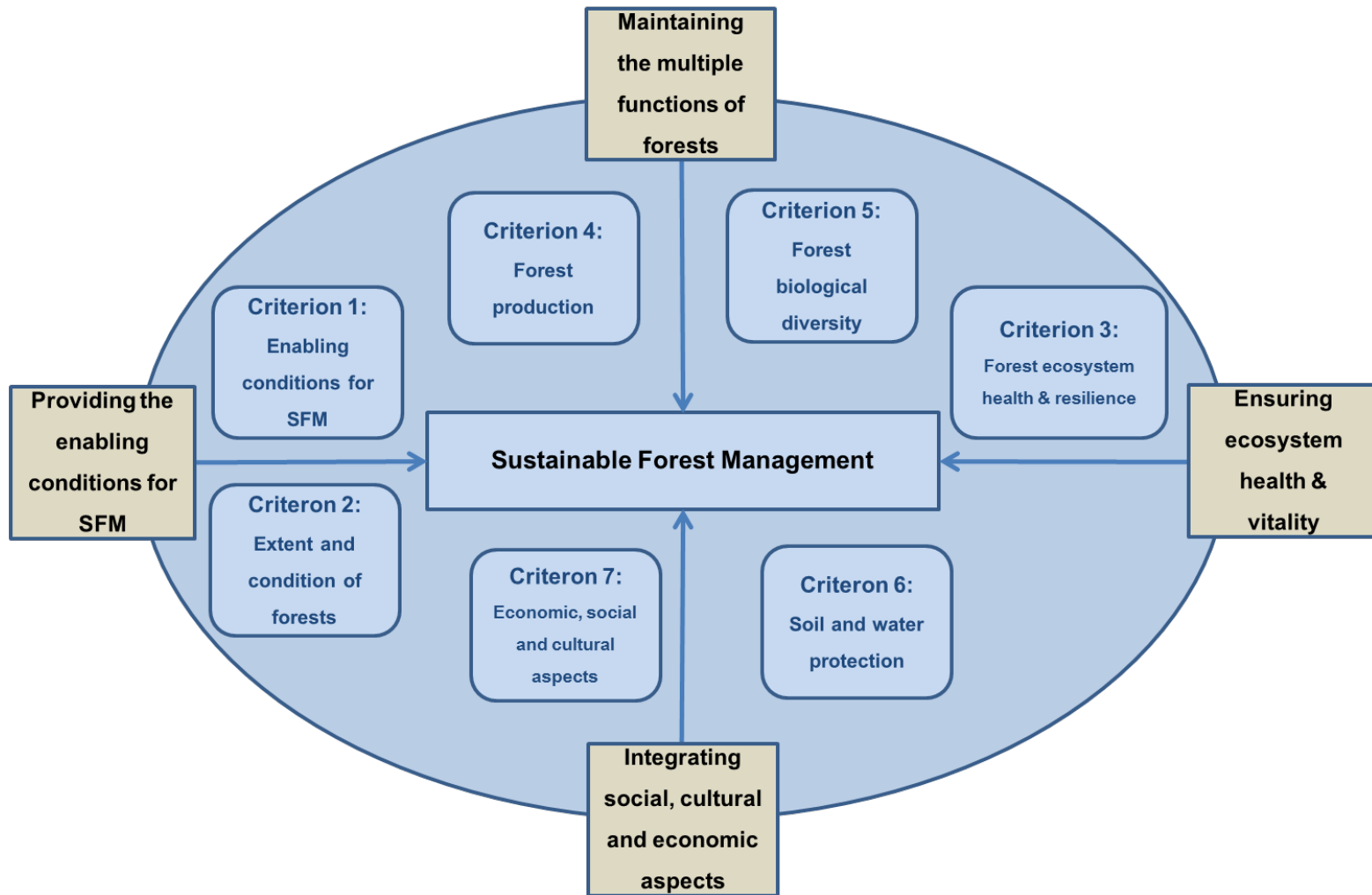
- Extent of protection
- Protective functions in production forests

7 Economic, social and cultural aspects

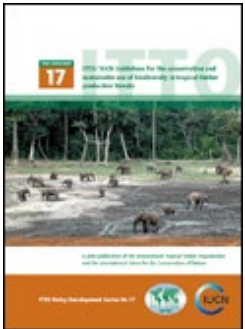
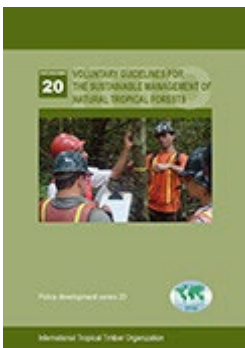
- Economic aspects
- Social and cultural aspects
- Community and indigenous peoples' rights and participation in forest management



C&I 2016: a harmonized approach



A harmonized approach with the SFM objectives as stated in the Voluntary Guidelines for SFM in natural tropical forests





1. Introduction (pages 9-13)
 - History of C&I, lessons learned
 - Evolving concept of C&I
 - Benefits
 - Sustainable forest management and PFE
 - Rationale and process C&I 2016
 2. ITTO criteria and indicators shortly explained (p.14-17)
 3. ITTO C&I for the sustainable management of tropical forests (p. 18-20)
 4. C&I monitoring, assessment and reporting format (p. 21-65)
- References (pages 66-69)
- Annexes, including definitions (pages 70-81)

Example reporting format

Criteria 3: Forest ecosystem health and resilience

Restoration of degraded forests and lands: indicators 3.4 and 3.5

Indicator 3.5	National level	FMU level	Landscape level
Area of formerly degraded forest or forest land restored	✓✓	×	✓✓

Proposed monitoring and reporting format

	<i>Area (ha)</i>	<i>Comment</i>
Total area restored (3-year period) <i>[please indicate applicable years]</i>		
Total area restored through natural regeneration/combination of enrichment (3-year period) <i>[please indicate applicable years]</i>		
Total area restored through plantations, including in agroforestry systems (3-year period) <i>[please indicate applicable years]</i>		

Notes

- Where possible, indicate the area of forest land restored with planted forests and woodlots, the area of forest land restored through (assisted) natural regeneration, the area of degraded forest restored through silvicultural practices, the area of land restored with agroforestry systems, and the area of land restored with improved fallows

Cross-reference

ITTO (2002)





Chapter 4: C&I monitoring, assessment and reporting format (p. 21-65)

See https://www.itto.int/policy_papers/

[User-friendly C&I reporting format](#)

A Word document has been adapted from Chapter 4 of Criteria and Indicators for the Sustainable Management of Tropical Forests

The cells in the tables presented can be filled by placing the cursor in them and typing. If the space in any given cell is insufficient, additional information can be added at the end of the document.

Linking SFM Guidelines 2015 to ITTO C&I 2016

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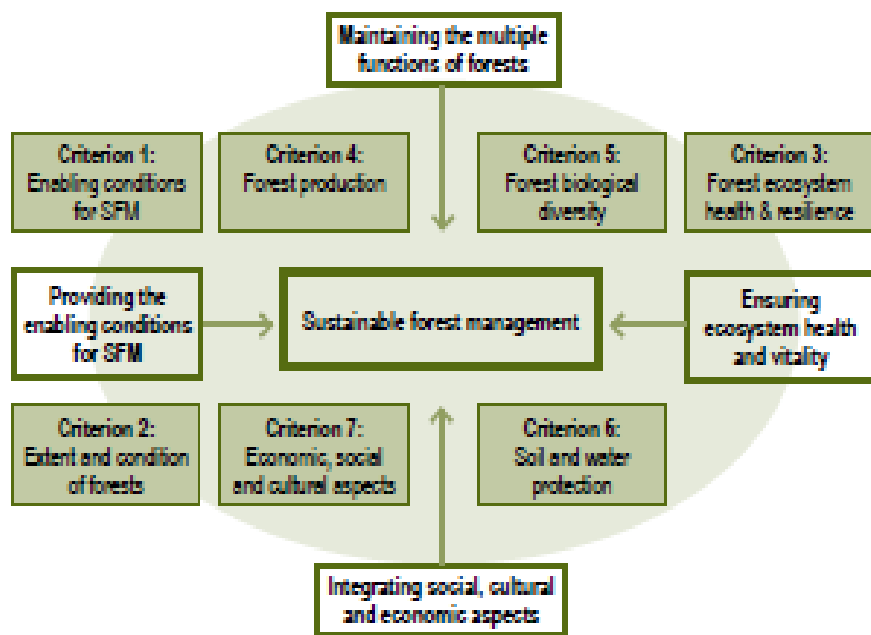


Table 1: The ITTO C&I as they relate to the management of tropical forests

SFM objective	Criterion	Principles for managing tropical forests	
		Principle	Observations
1. Providing the enabling conditions for SFM	Criterion 1: Enabling conditions for SFM	Principle 1: Forest governance and security of tenure	Political commitment, supportive national policies, strong institutions, laws and regulations, appropriate governance, security of forest tenure and clearly defined access and use rights, including customary and traditional rights, are all necessary conditions for SFM
	Criterion 2: Extent and condition of forests	Principle 2: Land-use planning, permanent forest estate and forest management planning	Managing tropical forests sustainably requires that land allocation and spatial planning within and outside forests maintain or enhance the economic, social and environmental values of forests at a landscape scale. This requires the adoption of a forest planning framework at the national, subnational or landscape scale
2. Ensuring forest ecosystem health and vitality	Criterion 3: Forest ecosystem health and resilience	Principle 3: Ecological resilience, ecosystem health and climate-change adaptation	Resilience is a key tenet of SFM in tropical forests; it is essential that it is maintained or enhanced to reduce risks to sustainability. Climate change is likely to affect tropical forests and the people who depend on them. It is essential to identify, prevent, monitor and manage threats to forests and to protect them from destructive agents and stresses. There is a close interrelationship between criteria 3 and 5
3. Maintaining the multiple functions of forests to deliver products and environmental services	Criterion 4: Forest production	Principle 4: Multipurpose forest management	The role of tropical forests as providers of multiple goods and environmental services should be safeguarded by the application of sound planning and management practices that maintain or enhance ecosystem functions and the potential of the forest to yield the full range of benefits to society. In timber production forests, it is essential to have an approved management plan with clearly stated objectives and the silvicultural measures required to help meet those objectives
	Criterion 5: Forest biodiversity	Principle 5: Silvicultural management	
	Criterion 6: Soil and water protection		
4. Integrating social, cultural and economic aspects to implement SFM	Criterion 7: Economic, social and cultural aspects	Principle 6: Social values, community involvement and forest-worker safety and health Principle 7: Investment in forest management and economic instruments	SFM needs to accommodate forest-based production (particularly of timber), environmental protection and local development concerns. Natural tropical forests in particular perform a wide range of socioeconomic and cultural functions, which must be recognized and maintained

Source: Modified from ITTO (2015).

20 VOLUNTARY GUIDELINES FOR THE SUSTAINABLE MANAGEMENT OF NATURAL TROPICAL FORESTS



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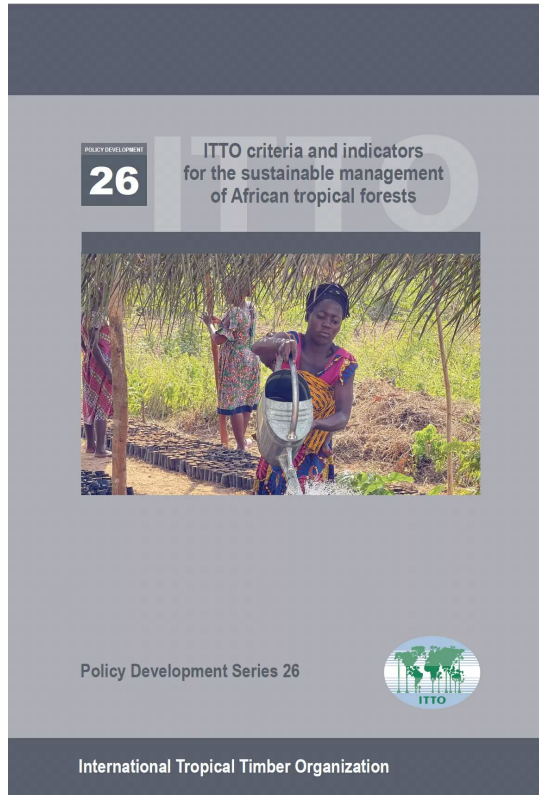


International Tropical Timber Organization

The newest C&I 2023: *ITTO Criteria and indicators for the sustainable management of African forests*

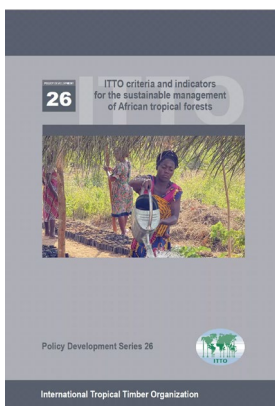
An adaptation of the 2016 C&I
to ensure their relevance to Africa

African member countries, who benefited from an ITTO-funded national and regional C&I capacity-building programme conducted between 2002 and 2017, requested support to develop a set of C&I for Africa, focusing on lessons learned under that programme and the specific needs and characteristics of African forests.



https://www.itto.int/direct/topics/topics_pdf_download/topics_id=7661&no=1&disp=inline

ITTO Criteria and indicators for the sustainable management of African forests

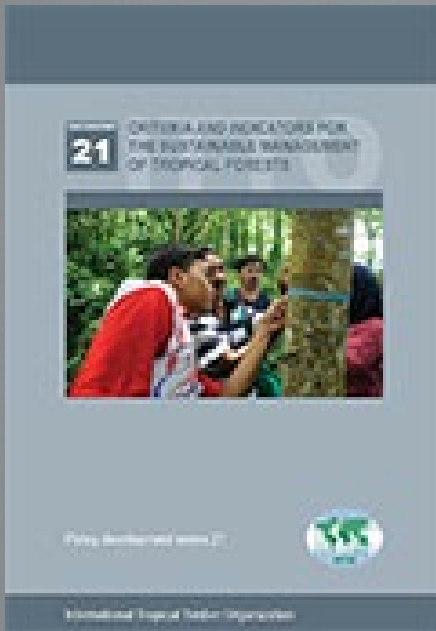


Tailoring ITTO's universal set of C&I for the African context involved significant changes, including an increase in the total number of indicators from 58 to 94.

Changes in the number of indicators for each criterion is as follows:

- Criterion 1: Enabling conditions for sustainable forest management (17 indicators, compared with 11 in ITTO C&I 2016)
- Criterion 2: Extent and condition of forests (10 indicators, compared with 8)
- Criterion 3: Forest ecosystem health and resilience (13 indicators, compared with 5)
- Criterion 4: Forest production (18 indicators, compared with 10)
- Criterion 5: Forest biological diversity (10 indicators, compared with 7)
- Criterion 6: Soil and water protection (7 indicators, compared with 5)
- Criterion 7: Economic, social and cultural aspects (19 indicators, compared with 12).

https://www.itto.int/direct/topics/topics_pdf_download/topics_id=7661&no=1&disp=inline



C&I



Splitting into three working groups:

- **BALATA**
- **CARIMBO**
- **MAROUBA**

the perfect is the enemy of good
→ let's go into the working group sessions