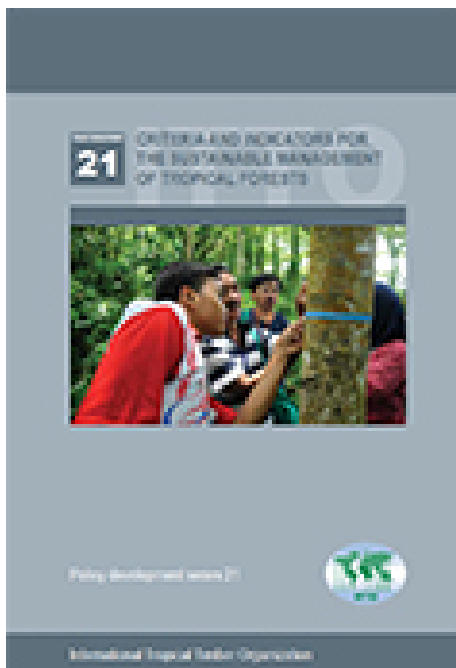




International
Tropical
Timber
Organization



ITTO C&I 2016

**Criteria and indicators for the sustainable management
of tropical forests**

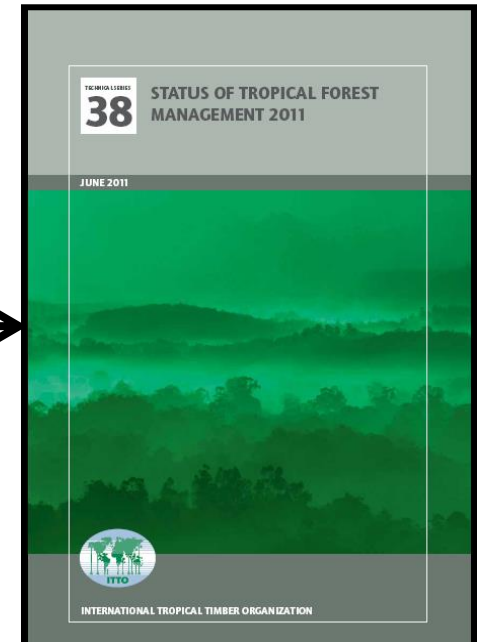
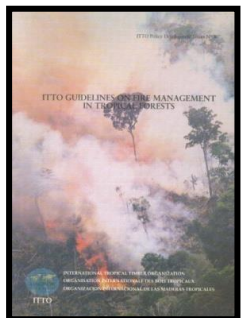
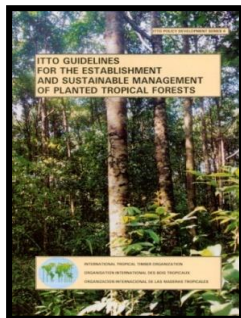
Critères et indicateurs de la Gestion durable des forêts tropicales

Cotonou, Benin, 10 May 2017



- ITTO C&I 1991, 1998, 2005, 2016 → National C&I processes
 - ATO/ITTO PC&I → African natural forest management
 - Tarapoto Process → Efforts for harmonization with ITTO C&I
 - Montreal Process → MP Strategic Action Plan 2009–2015
 - Pan-European C&I → State of Europe's forests 2007, 2011, 2015
 - (1) Pan-European indicators for SFM (Forest Europe);
 - (2) E.U: Standing Forestry Committee ad hoc working group on SFM C&I
- Global indicators relating to key global forest-related policy goals, objectives and targets
(SDGs, Global Objectives on Forests, Rio Conventions)

ITTO Guidelines, C&I and SFM reporting

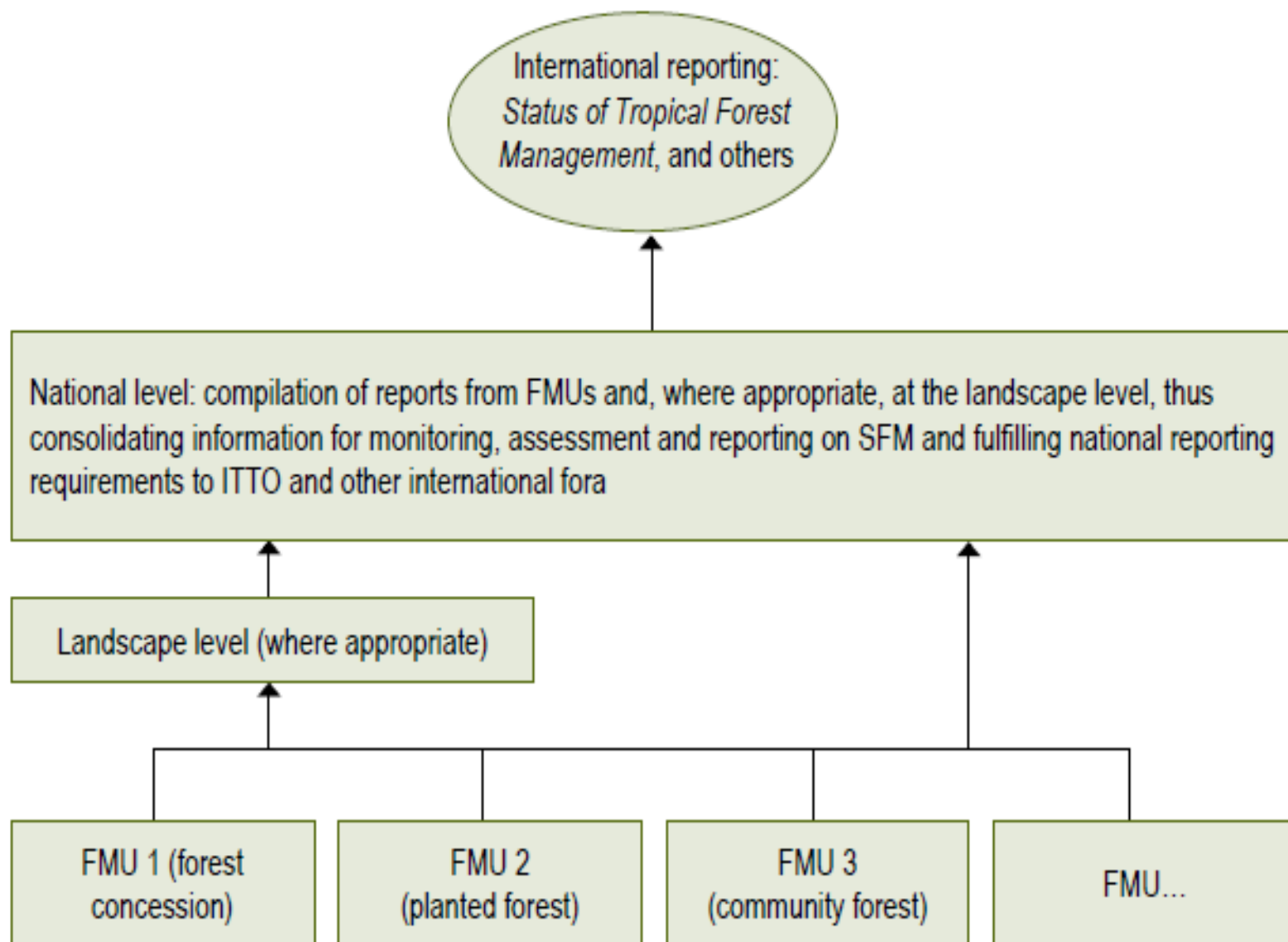


Guidelines:
capacity building
Standard development
support for reporting

C&I 2016:
Control through checklist
Monitoring, Reporting,
Governmental Verification

Status report:
Information sharing,
Transparency,
supporting financing

ITTO Guidelines, C&I and SFM reporting



- All ITTO producer members committed to adopting of ITTO C&I
- ITTO was trendsetter in C&I development since 1991 (and continuously revised in 1998, 2005, 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, 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.



Objective: Update ITTO's C&I for tropical forests based on country reviews and recent developments 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?
- Exchange in international processes since 2005, including REDD+, FLEGT, FLR;
- Status of Tropical Forest Management: 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 (July/Aug. 2015)
- Finalization of the reviewed C&I after the present ITTC (approval process 2016)



Aperçu des développements pertinents au sein de l'OIBT qui ont été pris en compte dans la révision de C&I de l'OIBT

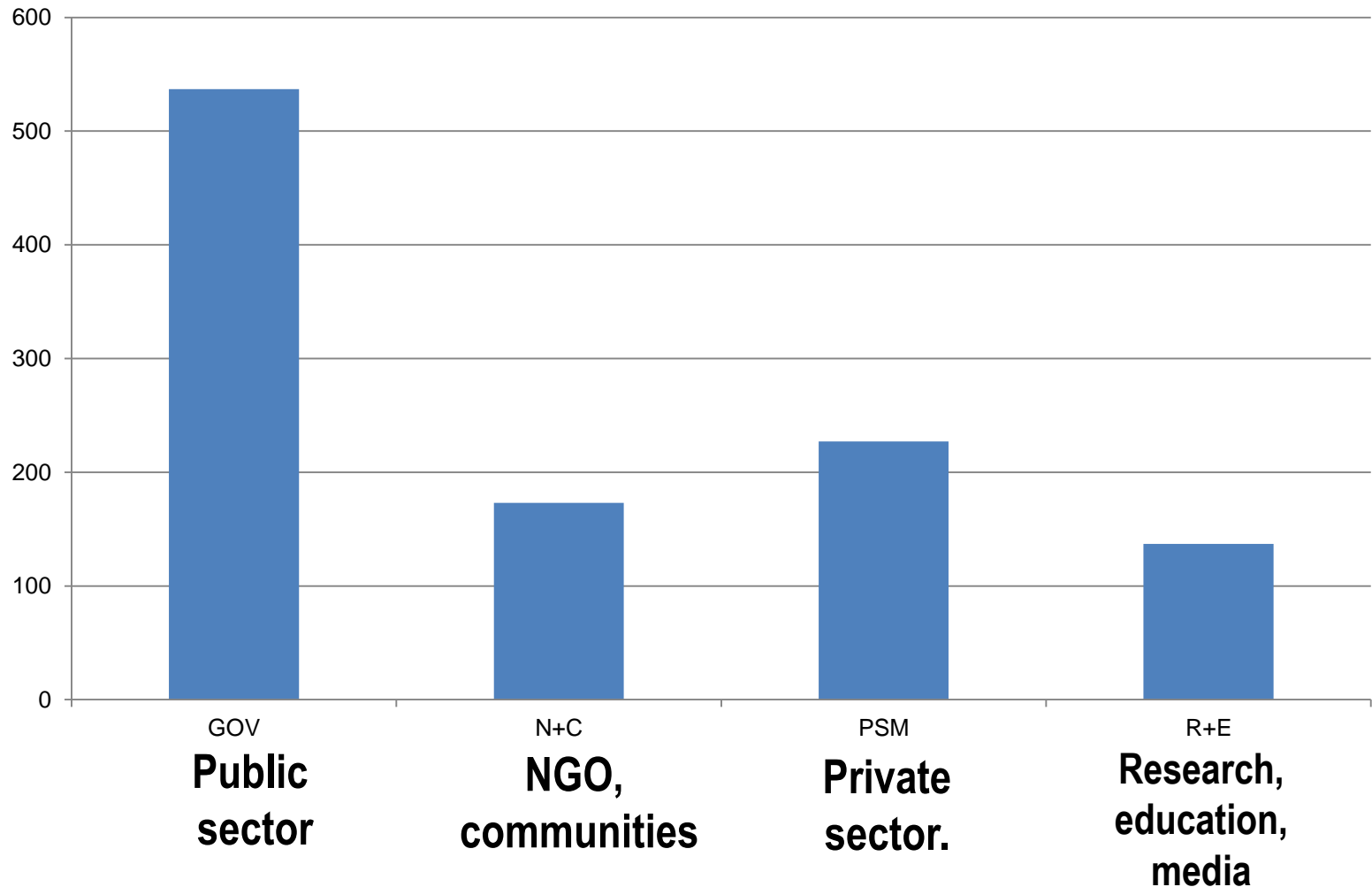
Box 1: Developments on C&I in ITTO since 2002

2002–2014	Convening of 28 national C&I training workshops attended by 1280 participants from 30 countries in the three tropical regions (Africa, Asia and the Pacific, and Latin America and the Caribbean), and the funding of C&I projects
2003–2005	Development and publication of the <i>African Timber Organization/ITTO Principles, Criteria and Indicators for the Sustainable Management of African Natural Tropical Forests</i>
2004–2005	Review and publication of the <i>Revised ITTO Criteria and Indicators for the Sustainable Management of Tropical Forests, including Reporting Format</i>
2006, 2011	Publication of ITTO's flagship report, <i>Status of Tropical Forest Management</i> , based on national C&I reporting
2002, 2009, 2015	Publication of: <ul style="list-style-type: none"> • <i>ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests</i> (2002) • <i>ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Production Forests</i> (2009, a revision of similar guidelines published in 1993) • <i>Voluntary Guidelines for the Sustainable Management of Natural Tropical Forests</i> (2015, a revision of similar guidelines published in 1991)



ITTO C&I workshop stakeholders

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



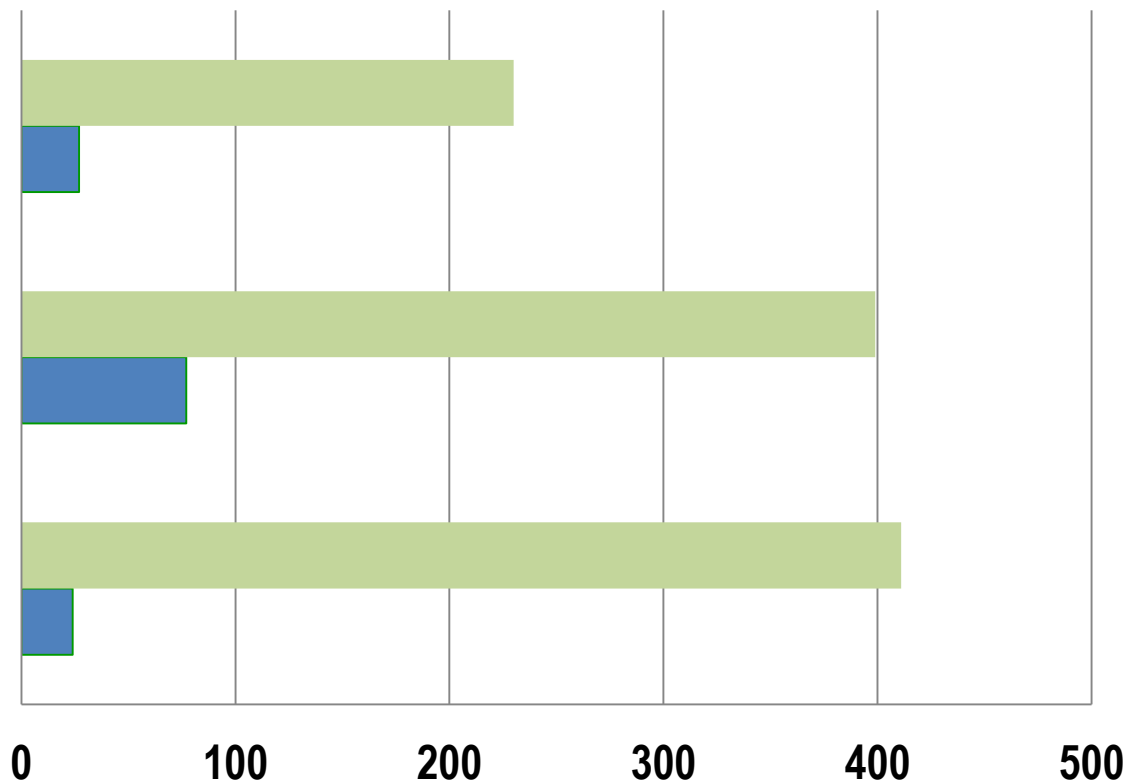
The graph is based on 25 workshops

ITTO C&I workshop statistics

Asie tropical

Amérique trop.

Afrique



(25 workshops)

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



Lüderenalp Expert Panel – 10 years after



**John Parotta
(USA)**

**Thang Hooi Chiew
(Malaysia)***

**Heiko Liedeker
(EU)**

**Olivier Ahimin
(Côte d'Ivoire)**

**Cesar Sabogal
(Peru and FAO)**

**Ichiro
(Japan)**

**Steven Johnson*
(ITTO)**

**Juergen Blaser*
(Switzerland)
Coordination**



Rationale and process for this revision

Logique et processus de la présente révision



- **Streamlining aspects at the indicator level at the national, landscape and FMU scales**
L'intégration des aspects associés aux divers indicateurs aux niveau national, du paysage et de l'UFA
- **Further elaboration of indicators on forest governance, sustainable woodfuel production, the contribution of forests to the global carbon cycle, and the role of forests in climate-change adaptation**
L'élaboration plus approfondie des indicateurs sur la gouvernance, gestion de bois d'énergie, cycle carbone et adaptation au CC.
- **Exploring connections among the ITTO, ATO/ITTO and Tarapoto C&I and the feasibility and merits of enhanced convergence**
Lien entre l'OIBT, les C&I ATO/OIBT et le processus de Tarapoto ainsi que la faisabilité et des mérites d'une convergence valorisée.

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)

Linking SFM Guidelines 2015 to ITTO C&I 2016

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CRITERIA AND INDICATORS FOR
THE SUSTAINABLE MANAGEMENT
OF TROPICAL FORESTS



Policy Development Series 11



International Tropical Timber Organization

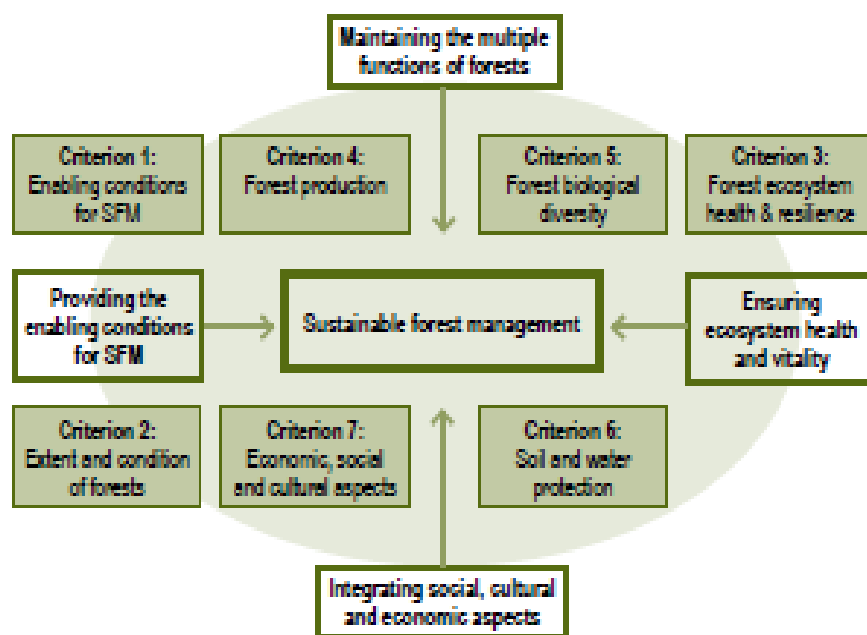


Table 1: The ITTO C&I as they relate to the management of tropical forests

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).

Criteria and Indicator Groups

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



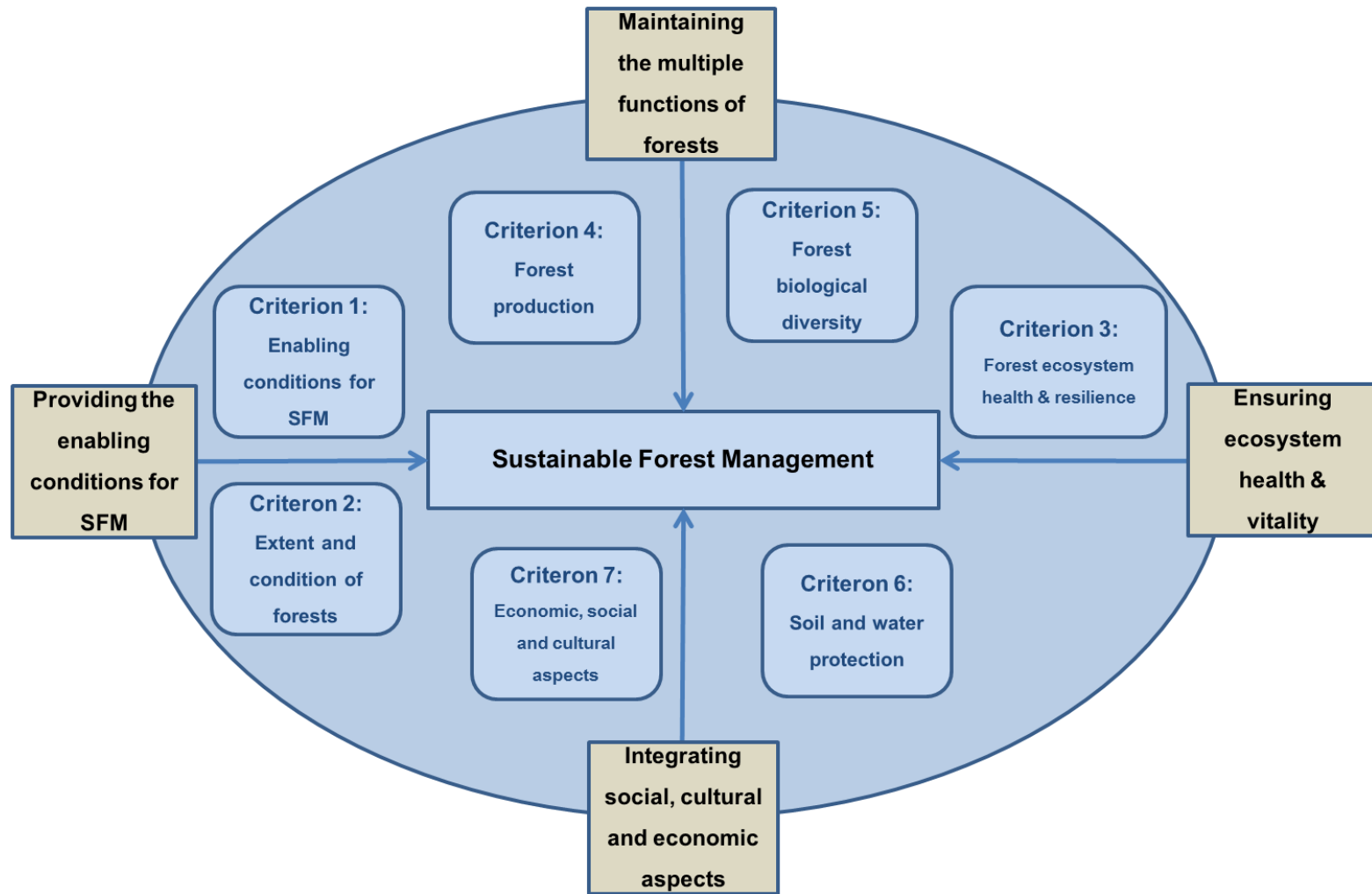
Example reporting format

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

C&I 2016: a harmonized approach





C&I



Once again: the perfect is the enemy of good
Le mieux est l'ennemi du bien
A painful process came to a good result....