

# **Implementing the Proposals for Action of the Intergovernmental Panel on Forests and the Intergovernmental Forum on Forests:**

A tool to assist national-level assessment of progress and priorities for action toward sustainable forest management, developed in support of the United Nations Forum on Forests

**Department of Agriculture, Fisheries and Forestry - Australia (AFFA)  
Program on Forests (PROFOR) at the World Bank**

**May 2003**



## Table of Contents

I.	Introduction .....	1
II.	The IPF/IFF Proposals for Action .....	3
III.	Fostering National Level Assessments and Actions.....	4
IV.	Summary of the IPF/IFF Proposals for Action .....	5
	1. Formulation and Implementation of National Forest Programmes .....	5
	2. Promoting public participation .....	7
	3. Combating deforestation and forest degradation.....	8
	4. Traditional forest-related knowledge .....	9
	5. Forest-related scientific knowledge .....	10
	6. Forest-health and productivity .....	11
	7. Criteria and indicators of sustainable forest management.....	12
	8. Economic, social and cultural aspects of forests.....	13
	9. Forest conservation and protection of unique types of forests and fragile ecosystems.....	15
	10. Monitoring, assessment and reporting; and concepts, terminology and definitions .....	17
	11. Rehabilitation and conservation strategies for low forest cover countries.....	19
	12. Rehabilitation and restoration of degraded lands and the promotion of natural and planted forests .....	20
	13. Maintaining forest cover to meet present and future needs.....	21
	14. Financial resources.....	22
	15. International trade and sustainable forest management.....	24
	16. International cooperation in capacity-building, transfer of and access to environmentally-sound technologies for the support of SFM.....	26
	Annex 1: How countries could approach implementation of the IPF/IFF proposals for action.....	29



## List of Acronyms

AFFA	Department of Agriculture, Fisheries and Forestry, Australia
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification and Drought
COP	Conference of the Parties
CPF	Collaborative Partnership on Forests
COP	Conference of the Parties
ECOSOC	Economic and Social Council
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
IFF	Intergovernmental Forum on Forests
IPF	Intergovernmental Panel on Forests
MAR	Monitoring, assessment and reporting
MYPOW	Multi-Year Programme of Work
nfp	national forest programme
ODA	Official Development Assistance
PoA	Plan of action
PROFOR	Program on Forests
PRSP	Poverty reduction strategy papers
SFM	Sustainable forest management
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UNGASS	United Nations General Assembly Special Session



## **I. Introduction**

Since 1992, the international community has been engaged in a policy dialogue on the actions that are required to promote the management, conservation and sustainable development of all types of forests. The United Nations Commission on Sustainable Development (CSD) facilitated these intergovernmental deliberations by establishing the Intergovernmental Panel on Forests (IPF) in 1995 and the Intergovernmental Forum on Forests (IFF) in 1997. The deliberations of the IPF and IFF culminated in the establishment of the international arrangement on forests, comprised of the UN Forum on Forests (UNFF) and the Collaborative Partnership on Forests (CPF)<sup>1</sup>, in 2000.

Over a five-year period, the IPF and the IFF examined a wide range of forest-related topics and recommended more than 270 proposals for action for implementation at either the international, regional or national and sub-national levels.<sup>2</sup> These proposals for action represent significant progress and consensus at the international level on how to move towards sustainable forest management (SFM).

Implementation of the IPF/IFF proposals for action is the primary function of the UNFF, and the role of the CPF is to enhance cooperation among international organisations and global instruments to this end. The Multi-Year Programme of Work (MYPOW) and the Plan of Action (PoA) of the UNFF and the work programme of the CPF underline the importance of implementation of the proposals for action and recognize the need for monitoring, assessment and reporting (MAR) to gauge progress in attaining this objective.

As agreed by the IFF and reinforced by the UNFF, implementation of the IPF/IFF proposals for action at the national level should begin with a systematic national assessment of the proposals for action and the development of a plan for their implementation. Building on "The Summary of the IPF/IFF Proposals for Action" published by Australia and the revised "Practitioner's Guide to the Implementation of the IPF Proposals for Action" prepared by the Six-Country Initiative, the Food and Agriculture Organisation (FAO) and the United Nations Development Programme (UNDP), this booklet is a joint effort of Australia and the Program on Forests (PROFOR) aimed at facilitating national-level assessment and implementation by presenting a consolidated summary of the IPF/IFF proposals for action that groups related proposals together and communicates them in simplified wording. The summary is organized according to the fifteen programme elements of the PoA of the UNFF in order to facilitate reporting to the UNFF.

---

<sup>1</sup> ECOSOC resolution E/2000/35 established the UNFF and the CPF. The UNFF constitutes a UN body under the Economic and Social Council (ECOSOC) with universal membership. The CPF, chaired by the Food and Agriculture Organisation (FAO), consists of international organizations, institutions and instruments: Center for International Forestry Research (CIFOR), Convention on Biological Diversity (CBD); Convention to Combat Desertification and Drought (CCD); Global Environment Facility (GEF); International Tropical Timber Organisation (ITTO); United Nations Department of Economic and Social Affairs (DESA); United Nations Development Programme (UNDP); the United Nations Environment Programme (UNEP); United Nations Framework Convention on Climate Change (UNFCCC); and the World Bank.

<sup>2</sup> The original text of the proposals for action are contained in the Report of the *Ad Hoc* Intergovernmental Forum on Forests, 1997 (E.CN.17/1997/12) and the Report of the Intergovernmental Forum on Forests, 2000 (E.CN.17/2000/14)

Forest-related issues have also been considered under the Convention on Biological Diversity (CBD), resulting in a number of forest-related decisions and the adoption of an Expanded Programme of Work on Forest Biological Diversity by the Sixth Conference to the Parties to the CBD (COP-6) in 2002.<sup>3</sup> To encourage greater collaboration between the work of the UNFF and the CBD at all levels, this summary includes reference to the CBD's forest biodiversity work programme as well as relevant COP-6 Decisions. These references are also intended to facilitate the assessment of the relationship between the IPF/IFF proposals for action and the CBD forest biodiversity work programme (as called for in the work programme) so as to enable better implementation of common objectives in the context of national forest programmes and national forest biodiversity strategies and action plans.

In summary, the booklet is meant to be a helpful tool for national policy makers, practitioners and interested stakeholders to increase the implementation of the international consensus on the actions needed to facilitate the management, conservation and sustainable development of all types of forests. It could also be used for enhanced co-ordination of actions in the framework of national forest programmes and other forest-related policy processes.

---

<sup>3</sup> The Sixth Conference of the Parties to the CBD adopted the Expanded Forest Biodiversity Work Programme as decision IV/22. The decision is contained in UNEP/CBD/COP/6/20.

## **II. The IPF/IFF Proposals for Action**

The IPF/IFF proposals for action focus on country-level action to be undertaken by national and sub-national government and relevant stakeholders from the private sector and civil society in close cooperation with international forest-related organizations, instruments and institutions. The proposals are meant to promote multi-disciplinary and cross-sectoral action and to complement, supplement and elaborate upon the Forest Principles and Chapter 11 of Agenda 21 adopted by the United Nations Conference on Environment and Development (UNCED). With regard to implementation, the proposals are geared at strengthening existing forest-related policy processes like national forest programmes (nfps).

The IPF/IFF proposals for action address SFM through a cross-sectoral approach and therefore constitute a very complex set of recommendations. They contain numerous overlaps and inter-linkages and vary considerably in nature and content from basic principles and guidelines to detailed specific recommendations. To be effective, the proposals must be translated into country-specific actions that address national priorities and complement existing policy processes. Consequently, the UNFF Plan of Action calls for a systematic assessment of the proposals in respective national contexts so as to identify new actions as well as to reinforce and to enhance on-going activities.

### **III. Fostering National Level Assessments and Actions**

Implementation of the IPF/IFF proposals for action should serve as a process to improve countries' strategies for a holistic and cross-sectoral approach to SFM. Based on the guidance given by the Report of the IFF and the UNFF PoA, a national-level assessment of the IPF/IFF proposals for action should be carried out against ongoing policy processes and forest-related programmes and projects to assist countries to reinforce ongoing actions and identify necessary new actions to improve practices in the forest sector.

The assessment process should serve to build consensus among stakeholders of what needs to be done and to clarify priorities and responsibilities, as a common understanding is likely to facilitate implementation of the proposals for action. In this regard, an appropriate coordination mechanism should be developed to foster cooperative partnerships, improve cross-sectoral cooperation, and increase co-ordination between governmental institutions, the private sector and other stakeholders.

The clarification and articulation of national priorities through the assessment process should also serve to enhance coordination of assistance from bilateral donor agencies and development banks. Furthermore, improved collaboration among governmental institutions and stakeholders on the implementation of national forest-related programmes and activities called for by the CBD, the United Nations Convention to Combat Desertification (UNCCD) and the United Nations Framework Convention on Climate Change (UNFCCC) could also greatly improve the effectiveness of ongoing actions.

This summary of the proposals for action is intended to be instrumental in helping stakeholders to develop a common view on priorities for implementation within each country. While recognising that circumstances may differ widely between countries, a possible methodology for conducting national assessments is provided in Annex 1 of this document. Such a national assessment process would assist subsequent activities for the implementation of the IPF/IFF proposals for action.

#### IV. Summary of the IPF/IFF Proposals for Action

*Note: a supporting document containing the complete text of the IPF/IFF proposals for action and the Expanded Programme of Work on Forest Biological Diversity is available on the Internet at <http://www.affa.gov.au/austproforsum> and <http://www.profor.info/austproforsum>*

<b>1. Formulation and Implementation of National Forest Programmes</b>	<b>IPF<sup>4</sup></b>	<b>IFF<sup>5</sup></b>	<b>CBD<sup>6</sup></b>
1 Develop and implement a holistic national forest programme which integrates the conservation and sustainable use of forest resources and values in a way that is consistent with national, sub-national and local policies and strategies.	17a 58b(i)		1.2.6.a 1.4.4.g 2.1.2.a 2.1.2.e 2.1.2.f 2.1.2.g
2 Assess, develop and implement an appropriate institutional and legal framework, including economic instruments and tax policies, for promoting SFM.		56b 115a 115b 115c	1.2.6.c 1.4.1.d 1.4.1.g 1.4.1.h 1.4.2.c 1.4.4.f 2.1.3.a 2.1.3.b 2.1.3.c 2.2.1.a 2.2.1.d 2.2.1.e 2.2.1.f

---

<sup>4</sup> The text in this column refers to the relevant paragraphs in the Report of the Ad Hoc Intergovernmental Forum on Forests, 1997 (E.CN.17/1997/12)

<sup>5</sup> The text in this column refers to the relevant paragraphs in the Report of the Intergovernmental Forum on Forests, 2000 (E.CN.17/2000/14)

<sup>6</sup> The text in this column refers to the CBD expanded programme of work on forest biological diversity. The first number refers to the programme element; the second to the goal; the third to the objective; and the letter refers to the action. The categorization was in part based on information documents submitted to the COP-6 to the CBD regarding potential actors, suggested timeframes and performance measures of proposed activities (UNEP/CBD/COP/6/INF/9 and UNEP/CBD/COP/6/INF/27).

<b>1. Formulation and Implementation of National Forest Programmes</b>		<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
3	Develop and implement appropriate policies and mechanisms to secure land tenure, promote benefit sharing, recognize access to and use of forest resources by local and/or indigenous communities in order to support sustainable forest management.	29c	56j 64c 64d 115d	1.4.3.a 1.4.3.b 1.4.4.e 1.5.1.a 2.1.3.a 2.1.3.b 2.1.3.c 2.1.3.d 2.1.3.e 2.3.1.f
4	Develop and implement codes of conduct to encourage private sector activities consistent with SFM.	69a 128c		1.4.1.h 2.1.4.d Decision COP6/22 Para 29 Para 35
5	Conduct a systematic national assessment of the IPF and IFF proposals for action involving all stakeholders and plan for their implementation within a national forest program.		9d	
6	Establish a coordinated, integrated and participatory approach, facilitated by a focal point, for the implementation of the IPF/IFF proposals for action and the forest-related work of other international instruments.	144	9b 9e 9f	
7	Evaluate and review the national forest programme on an ongoing basis, integrating criteria and indicators and implementation experience, and embody intersectoral planning and coordination.	17d	9e	3.2.1.d Decision COP6/22 Para 19c
8	Provide general, cross-sectoral and specific advice to countries on national forest programs, forest policies and the design and administration of economic instruments and tax policies to promote sustainable forest management. (INT <sup>al</sup> . ORG) <sup>7</sup>		115f 140a 142b	

---

<sup>7</sup> Some of the proposals for action are directed toward countries with support from international organizations or directly at international organizations. Reference to international organizations here flags these proposals for action.

<b>2. Promoting public participation</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Establish improved mechanisms to consult stakeholders on the identification of the full range of forest goods and services and to make forest-related information and progress reports widely available to policy makers and relevant stakeholders.	30a 78b 89h	17b 18	1.1.1.e
2 Involve relevant interested parties in the extension, planning, implementation, monitoring and evaluation of forest research.	17e 94d		
3 Enhance Government, community and forest owner financing to facilitate local participation in sustainable forest management.	70c 77f	64f	
4 Increase public awareness of the direct and indirect benefits from forests at the regional and global levels. (INT <sup>al</sup> . ORG)		142a	2.3.1.a 2.3.1.g
5 Improve cooperation, coordination and partnerships in support of sustainable forest management within a national forest program, by involving relevant stakeholders including indigenous people, forest owners, women and local communities in forest decision making.	17b 17f 17h 17i 40e	19b 64b 66	1.4.3.c 2.1.3.d 2.1.3.g
6 Promote effective participation in forest decision making at all levels in low forest cover countries.	58b(vi)		

<b>3. Combating deforestation and forest degradation</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Conduct diagnostic studies to analyse historical and underlying causes of deforestation and forest degradation, including the impacts of transboundary pollution, poverty, fuelwood use, and processes outside the forest sector.	27a 27b 27c 31a	64a 121c 122c	1.1.1.h 1.2.4.g 1.2.6.d 1.4.2.b 2.1.1.a 2.1.1.b 2.1.1.c
2 Assist countries to study the underlying causes of deforestation and forest degradation management and integrate forest issues into poverty alleviation, food security and related development programs. (INT <sup>al</sup> . ORG)	31b	144	1.1.1.i 2.1.2.a 2.1.2.d
3 Develop and implement integrated national policies, strategies, economic instruments and mechanisms for supporting sustainable forest.	29a 29b	115c 115g	1.4.1.b 2.1.3.h Decision COP6/22 Para 28
4 Create awareness of the importance of issues related to deforestation and forest degradation and the multiple values of forests.	30a	64e 142a	2.1.2.b 2.3.1.d

<b>4. Traditional forest-related knowledge</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Collaborate with and enhance the capacity of indigenous people to identify, map and promote the understanding and application of traditional forest-related knowledge at the local, national and international levels.	40a 40g 40j 40n	75	1.4.1.a
2 Develop and implement national legislation and policies, including the application of intellectual property rights, to respect, maintain, protect and apply traditional forest-related knowledge.	40c 40d 40p 40b	74d	1.4.3.f 2.1.3.d Decision COP6/22 Para 13 Annex Chapeau b
3 Develop and implement policies and mechanisms to support traditional resource use systems and ensure equitable sharing of forest-related benefits, including use of forest genetic resources, with local communities, women and indigenous people and document successful approaches.	40f 40h 40l 40r 40c	56j 64c 66 74b	1.3.3.b 1.5.1.b
4 Promote research into and assist networks that promote sharing of traditional forest-related knowledge and include traditional forest-related knowledge in forest management training programs.	40k 40l 40m		1.4.3.e
5 Facilitate work under the Convention on Biological Diversity and other relevant organizations (WIPO, UNCTAD) to compile and implement measures to recognize, respect, protect and maintain traditional forest-related knowledge including the application of intellectual property rights, sui generis or other systems for its protection.	40o 40q	56j 74a 74c 75	2.3.1.c 2.3.1.f Decision COP6/22 Para 31

<b>5. Forest-related scientific knowledge</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Identify and prioritise interdisciplinary forest research needs at the national and eco-regional levels.	94a	96a	1.1.1.g 1.4.4.a 2.1.3.f
2 Strengthen forest research by formulating national policies, programs and strategies and by coordinating the implementation of research programs with country consent.		96a 96d	2.1.2.i
3 Mobilize resources, foster public and private sector joint ventures, build capacity and strengthen research institutions, networks and consortia to extend forest research at the local, national and international levels.	94a 94d	96b 97b 97d	1.3.1.c 1.4.4.c 3.3.1.a 3.3.1.b 3.3.1.d
4 Further develop and enhance widespread access to forest research and information systems making best use of existing mechanisms and networks.	94a	97c	
5 Improve the linkages between forest science and forest policy and planning processes.	17e 58b(vii)	96c	1.1.1.f
6 Improve support for forest-related research programs, strengthen linkages between forest policy and research and explore the possibility of a global forest information service. (INT <sup>al</sup> . ORG)	40k 94c	98a 98b 98c	Decision COP6/22 Para 40
7 Promote research and analysis by forest-related Conventions to address gaps in existing knowledge. (INT <sup>al</sup> . ORG)	94b		1.2.3.a 1.2.3.e Decision COP6/22 Para41 Para42 Para43 Para44
8 Extend research into forest inventory and monitoring techniques, as well as the development of efficient methods for the valuation of all forest goods and services, and for the identification of costs and benefits of sustainable forest management.	89c 104c	107b 107c	2.2.1.b 3.1.1.a 3.1.1.b 3.1.3.a

<b>6. Forest-health and productivity</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Develop national assessment and monitoring methods, extend regional programs for monitoring impacts of air pollution and provide factual information about transboundary air pollution.	50c 50d 27c		1.2.2.a 1.2.2.b 1.2.2.c 1.2.2.d
2 Strengthen international cooperation and action with respect to reducing long-range air pollution.	50b 50e		1.2.2.c
3 Adopt a preventative approach to the reduction of damaging air pollution.	50a		1.2.2.d

<b>7. Criteria and indicators of sustainable forest management</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Further develop, field test and promote the use of criteria and indicators for sustainable forest management, including appropriate criteria and indicators for traditional forest-related knowledge and air pollution, and support efforts to harmonize associated concepts and definitions.	17d 40l 50d 115a 115b 115c 115d	17d	1.5.1.c 2.1.2.c 2.2.1.c 3.2.1.a 3.2.1.b
2 Encourage, within the work of the Convention on Biological Diversity, the development of biodiversity indicators that are complementary to existing forest criteria and indicators. (INT <sup>al</sup> . ORG)	115f		1.1.1.b 1.1.1.c Decision COP6/22 Para34

<b>8. Economic, social and cultural aspects of forests</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Improve the collection and exchange of information on values of all forest values, including environmental and social impacts of from forest use changes, to assist forest policy and investment decisions.	58b(vii) 89h 104a	107a 107c	1.1.1.8 1.2.6.b 2.2.1.b 2.2.1.c
2 Prepare information on methods and data requirements for forest valuation and build capacity for their use. (INT <sup>al</sup> . ORG)	104b	107d	2.3.1.b 2.3.1.e
3 Undertake systematic collection and analysis of forest sector financial flows data to assist informed policy decisions. (INT <sup>al</sup> . ORG)		30d	
4 Undertake reviews of contemporary forest revenue collection systems and the relation of land tenure to deforestation and forest degradation. (INT <sup>al</sup> . ORG)		67 115e	
5 Explore ways to establish full cost internalisation of wood products and non-wood substitutes, as well as externalities, and share information on findings and implementation.	134a 134b		
6 Improve data collection and information dissemination on the supply and demand of wood and non-wood products including the prices of these products and their substitutes.	28a 131a	121a 121c 121d	2.2.1.c
7 Analyse the full life cycle costs and benefits, including environmental impacts, of forest products and their substitutes as a basis for reviewing policies that affect their relative prices and for developing incentives to support sustainable forest management and combat deforestation and forest degradation.	58b(iv)	41c 41d 41e 64h 121d 122f	2.3.1.b

**8. Economic, social and cultural aspects of forests**      **IPF**                      **IFF**                      **CBD**

---

8    Implement policies to secure land tenure and achieve equitable benefit sharing for local communities, forest owners and indigenous people from sustainable forest management.

29c

64c  
122b  
122d

**9. Forest conservation and protection of unique types of forests and fragile ecosystems**

	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1	46c 58b(v)	85a 85b	1.1.1.a 1.1.1.b 1.1.1.i 1.2.1.a 1.2.1.b 1.2.3.b 1.2.4.a 1.2.4.c 1.2.4.d 1.2.4.e 1.2.4.f 1.2.4.g 1.2.4.h 1.2.5.a 1.3.1.a 1.3.2.a 1.3.2.b 1.3.3.a 1.3.3.d 1.4.4.b 1.4.4.h 3.3.1.c Decision COP6/22 Para 19d
2		84 85b 85c 85d	1.4.3.d 2.1.2.f
3		85f 90	1.3.3.a 1.3.3.b 1.3.3.c 1.3.3.d 1.3.3.e 1.3.3.f 3.1.3.a

**9. Forest conservation and protection of unique types of forests and fragile ecosystems**

**IPF**

**IFF**

**CBD**

4	Develop and implement methodologies and criteria to assess the adequacy, consistency, condition and effectiveness of protected areas and their management.	85e 88 89	1.3.3.a
5	Establish joint protected areas and guidelines for collaborative management of ecologically important or unique transboundary forests.	86	Decision COP6/22 Para 19d Para 33
6	Encourage cooperation and coordination of activities concerning forests and trees in environmentally critical areas, including systematic data collection and analysis.	129a	1.4.4.h
7	Give high priority in national forest programs to the rehabilitation and sustainable management of forests and trees in environmentally critical areas.	129b	3.3.1.c

**10. Monitoring, assessment and reporting; and concepts, terminology and definitions**

	IPF	IFF	CBD
1 Report on the assessment and implementation of the IPF/IFF proposals for action.		17c	Decision COP6/22 Para 39
2 Contribute national data on timber and non-timber values to the FAO Global Forest Resource Assessments.	89d		Decision COP6/22 Para 22
3 Participate in the international development of global guidelines for consistent national interpretation and implementation of IUCN categories of protected areas.		89	Decision COP6/22 Para 19d
4 Develop harmonized, cost-effective, comprehensive national forest reporting formats and data systems incorporating relevant criteria and indicators for sustainable forest management. (INT <sup>al.</sup> . ORG)	89g 115e	19a 142c	2.1.2.b
5 Consult with countries about forest assessment definitions as well as the collection and analysis of forest information, including the global forest resource assessment, and provide feedback on the results. (INT <sup>al.</sup> . ORG)	89e 89f	18 122a	3.1.1.c 3.1.2.a Decision COP6/22 Para 19a
6 Monitor, evaluate and report widely on implementation progress of a national forest program, incorporating the use of criteria and indicators to assess trends in the state of the forests and progress towards sustainable forest management.	17a 17d 89a 115a	17b 17d 19a	3.1.2.c
7 Prepare national information on sustainable forest management, including forest resource assessments and forest statistics on consumption and ownership of wood and non-wood forest products and services.	89b	17a 121a 121b	3.1.2.b 1.4.4.d

**10. Monitoring, assessment and reporting; and concepts, terminology and definitions**

**IPF**

**IFF**

**CBD**

8 Contribute to a global and regional comprehensive assessment of the current status of protected forest areas, to assist in the establishment of bio-geographically balanced protected area networks.	85g	1.2.3.a 1.3.3.e
--	-----	--------------------

**11. Rehabilitation and conservation strategies for low forest cover countries**

	IPF	IFF	CBD
1 Analyse and take into account the related social, economic and environmental implications, costs and benefits of non-wood substitutes and imports of forest products.	58b(iv)	41h	
2 Establish and manage plantations to enhance production of forest goods and services, taking into account relevant social, cultural, economic and environmental considerations in the selection of species, areas and silviculture systems.	58b(ii)		
3 Promote research into the rehabilitation and extension of dryland forests as well as into traditional forest -related knowledge with the full involvement of indigenous peoples and local communities.	40k 46g		
4 Consider the needs of developing and low forest cover countries, support forest programs and integrate forest-related aspects into poverty, population, food and environmental programs. (INT <sup>al</sup> . ORG)		143 144	
5 Undertake integrated and coordinated actions to address dryland forest issues at the international, national and local levels.	46a 46f		
6 Develop and support partnerships that include indigenous and local communities and management approaches, including those that embody traditional lifestyles, to reduce pressures on dryland forests and promote their sustainable management and regeneration.	46d 46e		

**12. Rehabilitation and restoration of degraded lands and the promotion of natural and planted forests**

	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Enhance the role of plantations as a mechanism for reducing deforestation and forest degradation of natural forests.	28b	64g	1.3.1.b
2 Take positive action towards reforestation, afforestation and conservation, using native species where appropriate, including regeneration of degraded forests, management of plantations and trees outside forests and the expansion of protected areas.	58b(ii) 58b(iii) 58b(v) 58c	30b 122a 129c	1.3.1.a 1.3.1.b
3 Raise awareness and disseminate data on the ecological, social, cultural and economic contributions of planted and natural forests in the rehabilitation and sustainable management of forests in environmentally critical areas.		129d	1.3.1.c
4 Analyse past experiences and monitor trends in dryland forests, including biophysical, social, economic and institutional factors.	46b		1.2.3.c 1.2.4.b 1.2.4.e

**13. Maintaining forest cover to meet present and future needs**      **IPF**                      **IFF**                      **CBD**

1	Implement public and private sector policies and programs to sustainably meet increasing demands for wood and non-wood products and services from natural and planted forests and trees outside forests.	28a	122a 122b 122d	2.2.1.g
2	Incorporate information and strategies, including extension programs for women, on the supply and use of fuel wood and the use of efficient wood energy technologies in the planning of forestry, agriculture and energy programs.		56n 121c 122c	1.4.2.b
3	Implement progressively measures to recognize and respect legitimate property rights, access to and sustainable use of forest resources for local communities and indigenous people.		64d 115d	
4	Implement strategies for the protection of the full range of forest values, with particular regard to continued integrity of biological diversity.		85b	1.1.1.d

<b>14. Financial resources</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Explore and expand innovative financial mechanisms including concessional lending, debt relief initiatives and an investment promotion entity and enhance community financing to support sustainable forest management and national forest programs.	17c 67e 67g 71c 70c	30e 64j	2.1.3.f Decision COP6/17 Para 10&10c
2 Encourage private sector investment and reinvestment of forest revenues into sustainable forest management and environmentally sound technologies, through appropriate policies, legislation, incentives and mechanisms.	69b 69c 69d 69e 70b 77d	30c 56b 115a 115b 122b	
3 Identify and prioritise resource needs for sustainable forest management, including the implementation of the IPF/IFF proposals for action.	67b 67c 30b 133b	17e 30b	Decision COP6/22 Para 19
4 Strengthen transparency of decision making in international financial institutions and ensure their policies and structural adjustment programs support sustainable forest management. (INT <sup>al</sup> . ORG)		65 115g	Decision COP6/22 Para 20
5 Improve information systems to enhance co-ordination and data sharing on ODA programming and the provision of public and private sector financial resources for the implementation of national forest programs.	78a		
6 Create or strengthen partnerships and international cooperation to facilitate the provision of increased financial resources to implement sustainable forest management and the IPF/IFF proposals for action, including forest conservation and protected area management. (INT <sup>al</sup> . ORG)	17c 67a	9a 9c 9g 30a 84 87 97a 129e	2.1.2.h Decision COP6/17 Para 10&10c Decision COP6/22 Para 20 Para 23

<b>14. Financial resources</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
7 Enhance coordination and collaboration between donors, international institutions and instruments related to forests and explore appropriate indicators for monitoring and evaluating donor funded forest programs. (INT <sup>al.</sup> . ORG)	71a 71b		
8 Support coordinated deployment of resources for sustainable forest management through national forest programs to improve efficiency and effectiveness of available funds. (INT <sup>al.</sup> . ORG)	70a 70d 17g	30a	

<b>15. International trade and sustainable forest management</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1 Study the environmental, social and economic impacts of trade-related measures affecting forest products and services.	128a		Decision COP6/22 Para 19e Para 19f Para 30
2 Undertake measures to improve market access for forest goods and services, including the reduction of tariff and non-tariff barriers to trade, in accordance with existing international obligations and to promote a mutually supportive relationship between environment and trade.	128b	64i	1.4.3.a 2.2.1.h
3 Improve market transparency for trade in forest products and services and consider measures to reduce illegal trade in wood and non-wood forest products.	135a 135b	41e 41f	1.4.2.a 1.4.2.d 2.1.4.a 2.1.4.b 2.1.4.c 2.1.4.e 2.1.4.f
4 Implement policies and actions, <u>including codes of conduct</u> , to facilitate trade in wood and non-wood products from sustainably managed forests, consider community rights, and to minimize negative effects of short term market changes.	128c	41a 41g	1.4.1.b 1.4.2.c 2.1.4.d 2.2.1.i 1.4.1.f
5 Undertake further cooperative work on voluntary certification and labelling schemes, including studying their link with criteria and indicators and their effectiveness in promoting sustainable forest management and exchange information and experience on these schemes.	133a 133b 133d 133e 133g	41b	

**15. International trade and sustainable forest management**

	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>	
6	Support the application of accessibility, credibility, equivalence, cost-effectiveness, transparency and participatory concepts to certification and labelling schemes and ensure they do not lead to unjustified obstacles to market access.	133c 133f	41b	1.4.1.f
7	Intensify efforts and implement policies to promote the sustainable use of all economically viable lesser-used species in domestic and international markets.	132a 132b		

**16. International cooperation in capacity-building, transfer of and access to environmentally-sound technologies for the support of SFM**

	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
1	Support developing countries to expand their forest cover, increase downstream processing and community based processing of non-wood and timber forest products, including utilization of lesser used species.	58c 131b 132c	Decision COP6/22 Para 17
2	Assess, taking into account gender disaggregated data, the technological requirements necessary to achieve sustainable forest management.	77b	56c 56o Decision COP6/22 Para 19g
3	Enhance cooperation and financing to promote access to and transfer of environmentally sound technologies.	77a 77c	56a 56i 56e 56l 56g 56h 77d 129e Decision COP6/22 Para 17 Para 19g
4	Support national forest programs and capacity building to implement sustainable forest management and the IPF/IFF proposals for action, including strengthening and supporting institutions involved in forest, plantation and protected area management, forest research and supporting indigenous people, local forest dependent communities and forest owners.	17g 28a 58b(vi) 70a 70e 77e 77f 89b 115c	17a 19b 56d 64e 64i 87 97b 107d 143 1.4.1.c 1.4.1.e 3.4.1.a 4.1.2.i Decision COP6/22 Para 17 Para 19g
5	Assist with the dissemination and interpretation of information on sustainable forest management to countries and stakeholders.	78b	Decision COP6/22 Para 21 Para 22 Para 19g

<b>16. International cooperation in capacity-building, transfer of and access to environmentally-sound technologies for the support of SFM</b>	<b>IPF</b>	<b>IFF</b>	<b>CBD</b>
6 Promote the dissemination and sharing of environmentally sound technologies to end-users, particularly in local communities, including through efficient use of extension services.	77e	56f 56h	
7 Strengthen education and training for women in community development programs including the growth and use of fuelwood and the use of energy efficient cooking technology and ensure women benefit from the transfer of environmentally sound technologies.		56m 56n	Decision COP6/22 Para 32
8 Support the forest work undertaken by international and regional organizations and under relevant international instruments and encourage them to contribute to forest policy dialogue and to support inter-agency cooperation on the implementation of the outcomes of UNCED and the IPF/IFF processes.	146a 146d 146e	139a 139b 141a	Decision COP6/22 Para 12 Para 15 Para 18
9 Clarify the forest-related roles of international institutions and instruments to improve integration and coordination and eliminate duplication of their efforts.	146b 146c	139c	2.1.2.h
10 Strengthen national arrangements to provide guidance to multilateral forest-related organizations		140b	Decision COP6/22 Para 11 Para 14
11 Continue collaborative work to support the implementation of the IPF/IFF proposals for action, reporting and the provision of information to assist the forest sector. (INT <sup>al</sup> . ORG)	78c 145	17e	Decision COP6/22 Para 19b

**16. International cooperation in capacity-building, transfer of and access to environmentally-sound technologies for the support of SFM**

**IPF**

**IFF**

**CBD**

---

12	Develop institutional synergies with other partners and prepare a comprehensive directory of organizations and instruments engaged in forest-related activities. (INT <sup>al</sup> . ORG)		141b 141c	
----	--	--	--------------	--

## **Annex 1: How countries could approach implementation of the IPF/IFF proposals for action**

Undertaking an assessment process can be instrumental in approaching SFM in a more holistic and comprehensive way and in assessing what has already been achieved at the country level. The proposed methodology is designed to check the progress of national efforts towards SFM against the IPF/IFF proposals for action and to identify actions and improvements in the context of existing nfps or other relevant processes.

The suggested methodology provides guidance on a framework for country-specific assessments. However, it recognizes that approaches to the assessment and implementation of the IPF/IFF proposals for action can and should differ widely according to national contexts.

The first objective of the proposed methodology is to enhance broad cross-sectoral participation by engaging government institutions and civil society in forest policy deliberations. The second objective is to have the implementation of the proposals addressed in the appropriate national institutional and administrative setting. This includes nfps or other sectoral policy processes, including forest sector reviews and/or related sectoral or economic evaluations, as well as overarching forest-related processes like those of Sustainable Development Strategies or Poverty Reduction Strategies. Furthermore, relevant programmes or plans like National Biodiversity Strategies and Action Plans in relation to the CBD or National Action Plans to combat desertification and drought in relation to the UNCCD should be fully considered and cooperation with these initiatives should be established.

### **Basis and Entry Points**

In order to comply with the recommendation of the UNFF that “countries will set their own national priorities, targets, and timetables for the implementation of the IPF/IFF proposals for action and will systematically assess and analyse the proposals in their national context”<sup>8</sup>, points of entry for the assessment within the nfps or other forest-related policy process should be identified. Each country will have its own set of circumstances, existing processes, institutional arrangements and capacity to undertake the national assessment and therefore the entry point could be quite different for each country.

As mentioned above other such forest-related processes could include a general sector review, sector-wide planning and monitoring exercises, or overarching processes such as Poverty Reduction Strategies or Sustainable Development Strategies. Alternatively, more specific processes on issues such as forest certification, forest law enforcement, sustainable land use or conservation of critical areas for biodiversity or water supply could also provide entry points.

Which ever entry point is used, it is important that the full range of IPF/IFF proposals for action be considered in a national assessment in order to ensure that a holistic and comprehensive approach to implementation is achieved. The choice of the appropriate process and entry point is important for achieving the necessary cross-sectoral linkages and increasing the contribution of forest goods and services to sustainable development.

---

<sup>8</sup> Report of UNFF I (E/2001/42 (Part II); E/CN.18/2001/3 (Part II), PoA Decision 1/3 in Annex paragraph 6

### **Phases of the National Assessment**

Taking into account the existing processes and specific entry point chosen, it is proposed here that the national assessment process take a systematic stepwise approach including the following three phases:

- ⇒ Preparation
- ⇒ Assessment of the IPF/IFF proposals for action
- ⇒ Identification of new actions and reinforcement of existing activities

UNEP/CBD/COP/6/INF/9 and UNEP/CBD/COP/6/INF/27 are useful source documents that can provide assistance in preparation, implementation and interpretation of performance and approaches to implementation of actions and IPF/IFF and CBD forest work programs.

### **Phase 1: Preparation**

During this phase, the organisational and informational preconditions for the assessment are created. This includes:

*Information and awareness-raising.* Initial workshops and/or distribution of appropriate information material may be necessary to familiarize the various stakeholders with the contents of the IPF/IFF proposals for action and to inform them of the need for a national assessment process. This could also form part of the awareness raising process of the NFP. If a NFP already exists then follow up awareness strategies will need to be developed. This consolidated summary of the IPF/IFF proposals for action could be used to facilitate a wider understanding of the intent of the IPF and IFF proposals amongst the stakeholders.

*Commitment and endorsement by government and major stakeholders* to ensure participation, transparency and effective cooperation during the assessment process. This commitment and endorsement is a precondition to ensure the relevance and effectiveness of the assessment process and to increase ownership in the results of the process. For example, a nfp process with sufficient political backing could be a sign of such commitment. In this context, the necessary resources for the assessment process also have to be defined and committed.

*Establishment of a focal point* (as agreed upon in IFF and required for the implementation of the UNFF PoA), or national co-ordination mechanism, which may need to be supported by a secretariat. The focal point should be knowledgeable about the international forest policy dialogue and be involved with on-going national-level processes through close collaboration and coordination with focal points of other processes (e.g. CBD and CCD).

*Establishment of a working group/task force comprised of major stakeholders* representing various interest groups relating to forests. The composition of such a group should also take into account sub-national interests (e.g. with regard to decentralization) and concerns related to practical implementation of forest programmes within the country. By linking into on-going processes (entry points), it may be possible to use existing multi-stakeholder structures, including nfp working groups (i.e. on forest policy or thematic issues). Some lobbying may be necessary to generate interest and motivate additional key actors to take part in the assessment process.

*Establishment of a framework/concept/design for the assessment process* which should be shared by all relevant stakeholders to make the process predictable, to agree on responsibilities and timelines, and to improve participation. An agreed process for an nfp could constitute such a framework.

In view of the requirement for national monitoring, assessment and reporting (MAR) to the UNFF, an assessment of the IPF/IFF proposals for action could also include discussion on national-level MAR and criteria and indicators for SFM.

The assessment may not necessarily relate only to a consideration of the priority issues and relevant IPF/IFF proposals. It could be also used to assess the need for revising existing forest-related policies, legislation and processes like nfps. Therefore, the assessment could consider:

- Existing national policy frameworks, policies, priorities and programmes in the forest and forest-related sectors
- Sector reviews or other monitoring exercises
- Urgent national problems or priorities within or beyond the forest sector
- Wider macro-economic frameworks such as structural adjustment, and Poverty Reduction Strategy Processes (PRSPs)
- Other regional and international commitments relevant to the forest sector
- On-going discussion on ODA effectiveness and sector-wide approaches

### **Phase 2: Assessment of the IPF/IFF proposals**

This phase includes the actual consideration of each of the IPF/IFF proposals, checking their relevance in the national context and assessment of the implementation of individual proposals within existing processes as follows:

*Assessment of the relevance of the individual or synthesized proposals* against national policies, strategies and priorities as well as the existing programs and actions being undertaken by all stakeholders, taking into consideration the issues that affect progress towards sustainable forest management in the country and any identified gaps in existing programs. This could be done by deciding whether each proposal is of "low", "medium" or "high" priority for implementation within the country or "not relevant" to the country's circumstances.

Identification of actors, national forest-related processes and strategies and relevant international support mechanism and national processes and strategies, – possibly through a mapping exercise - of the individual or synthesized proposals to identify other sectors relevant to the implementation of the proposals, as well as the inter-linkages with other relevant instruments and their national processes, notably forest-related international agreements and instruments (i.e. CBD, CCD, and UNFCCC).

*Assessment of existing efforts as a status of implementation* by evaluating the progress towards addressing the original or synthesized proposals through existing programs and actions considering cross-sectoral linkages. This should include: identification of the status quo in terms of achievements, current priorities, responsibilities of different government institutions and civil society as well as an assessment of existing action at the national and sub-national levels. This step could also include the identification of emerging issues, constraints and

potential future obstacles within existing programmes. This simple assessment could be done by developing a three or five point implementation progress scale ranging from Not Started at one end of the scale to Completed at the other end of the scale.

Countries could also consider undertaking a more sophisticated assessment of implementation progress by evaluating the efficiency and effectiveness of existing action, in which case the assessment would need to analyse the quantity and quality of existing action with respect to achievement of sustainable forest management.

### **Phase 3: Identification of new actions and reinforcement of current activities**

This step includes the identification of actions and/or the reinforcement of existing actions towards implementation of the proposals, i.e. integration into existing measures and/or initiating new measures within the nfp process or other policy processes:

*Definition of a coordinated national approach or reinforcement of the existing national strategic approach towards SFM.* This would become an integral part of the implementation strategy by strengthening the implementation of existing processes and/or initiation of a nfp process with specific reference to national priorities. The approach may include aspects of capacity building, as well as institutional development and decentralization, policy reform and implementation, monitoring and evaluation, including national criteria and indicators for SFM. By identifying an overall approach to national implementation of the IPF/IFF proposals for action, the framework for new and reinforced actions can be set. It could be helpful in this regard to communicate with other countries on their experiences and identification of new and innovative potentials and to evaluate existing material on lessons learnt.

*Definition of country-specific actions* within the context and framework of the coordinated national approach as well as limitations of national human and financial resources. It should take into account feasibility, timeframes and potential impact of the identified actions as well as capacity building requirements and financing strategies for their implementation (distribution of cost and benefits amongst the beneficiaries of forest goods and services in a cross-sectoral way). The identification of new actions and reinforcement of current activities should not produce an unrealistic list of possible projects and programmes, but should reflect the national circumstances taking into consideration new and innovative financing opportunities.

*Identification of implementation practicalities within existing processes.* This includes planning exercises, distribution of responsibilities and identification of necessary resources for implementation over time and their availability. In some cases, the support required from the international community, including sectoral credits and sectoral structural adjustment credits from the World Bank and regional development banks, may also need to be identified. This step should also include an analysis of the associated opportunities, risks and constraints.

*Definition of follow-up processes,* including feedback to regional forest-related processes and the international forest dialogue in UNFF (with specific reference to MYPOW and PoA, monitoring, assessment and reporting). This could be integrated with monitoring of the nfp or other national process.

## **Conducting the National Assessment**

The national assessment should be undertaken by a multi-stakeholder working group/task force, such as a rfp working group or the working group formed to oversee the assessment process. To support such an assessment, it may be useful to have a group of independent experts and stakeholders also assess the IPF/IFF proposals for action in relation to the national circumstances. Such an assessment could provide a foundation for further discussion. Alternatively, such an exercise could be commissioned to an independent national institution with broad institutional knowledge on the issues and existing programmes affecting SFM, including economic development. Additionally, workshops, specific studies and expert hearings carried out during the nfp process could contribute to the assessment.

It may be useful to prepare a draft assessment of the IPF/IFF proposals and then to circulate this widely among the stakeholders for comment. Normally the working group/task force would analyse the comments and incorporate them into a revised draft of the national assessment. Once the analysis of the comments have been completed a workshop could be held to discuss the issues raised and to finalise the national assessment. Whenever possible, there needs to be a consensus among the stakeholders regarding the final national assessment. The reason for this is that all stakeholders will have responsibilities for implementing the agreed priority programs.

This proposed methodology may be assisted through the use of an assessment matrix. Such a matrix would contain the synthesized IPF/IFF proposals for action along with three columns to list the relevance, implementation status and agreed actions for each synthesized proposal. (See example in Table 1 on the next page).

**Table 1: Example of an Assessment Matrix**

<b>Cluster/group of IPF/IFF Proposals for Action</b>	<b>IPF/IFF Proposals</b>	<b>Reference to CBD work programme</b>	<b>Relevance (phase 1-2)</b>	<b>Level of intervention (phase 2)</b>	<b>Assessment of existing efforts (phase 2)</b>	<b>Implementation strategy and Follow-up action (phase 3)</b>
Synthesised text	Numbers of Proposals for reference purposes	Numbers of individual objectives / activities of the work programme for reference purposes (as of summary table)	<ul style="list-style-type: none"> <li>• Addressees</li> <li>• Actors</li> <li>• Instruments</li> <li>• Cross sectoral linkages</li> </ul> <p>This is to identify the relevant actors and to indicate whether a specific statement is addressing the policy/strategic level or a programme / operational level</p>	<i>This is to identify the levels of intervention.</i>	<ul style="list-style-type: none"> <li>• Ongoing action</li> <li>• Implementation status</li> <li>• Effectiveness and efficiency</li> <li>• Issues and constraints</li> </ul> <p><i>This would be used for the assessment of the progress of existing action and as a basis to define gaps and constraints in relation to the implementation of the specific proposal cluster</i></p>	<ul style="list-style-type: none"> <li>• Approach to implementation</li> <li>• Additional and/or enhanced action</li> <li>• Practicalities of implementation</li> <li>• Follow-up including feedback to regional and international level</li> </ul> <p><i>This is to define a strategy of building the implementation into existing processes or initiating new processes in the context of the nfp according to defined national priorities</i></p>