## National Reporting to Forest-related International Instruments: Mandates, Mechanisms, Overlaps and Potential Synergies

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#### **Abstract**

Ten international conventions and agreements (or instruments) are identified as being most relevant to forests. National reporting requirements to these instruments, including report periodicity and content, both in general and in regard to forests in particular, are reviewed. In most cases, reporting on measures taken to implement commitments under the instrument consists of qualitative information on activities and means of implementation, such as policy, legislative or institutional measures. In a few cases, however, quantitative biophysical and socio-economic data on forest resources or resource use is required. Most instruments have provisions for information collection, analysis and exchange and for monitoring and assessment. In recognition of the need for quantitative data to assess impact of the measures taken, many of the instruments are working to develop impact indicators. Several of the instruments with a strong sustainable development dimension, are using or considering use of criteria and indicators developed under regional or international processes for sustainable forest management. These indicators represent a potential pivot point around which efforts for harmonization of information and data needs on forests can be focused. Efforts that are under way on harmonization of reporting on sustainable development, biological diversity, and forests are reviewed.

## **International conventions and agreements related to forests**

In the absence of a global forest convention, the United Nations Forum on Forests (UNFF) serves as the main forum for international policy deliberations on forests. The work of the UNFF has been defined by the agreements made on forests at the United Nations Conference on Environment and Development (UNCED)<sup>1</sup> and by the proposals for action agreed upon by the Intergovernmental Panel on Forests (IFF) and Intergovernmental Forum on Forests (IFF) between 1995 and 2000. The UNFF is part of a broader process of UNCED follow-up, supported by the Commission on Sustainable Development (CSD). The CSD is a functional commission of the United Nations set up in 1993 to review progress, elaborate policy guidance, promote dialogue and build partnerships to facilitate the implementation of commitments made at UNCED.

<sup>&</sup>lt;sup>1</sup> including Chapter 11 ("Combating deforestation") of Agenda 21 and the "Forest Principles"

In addition to the UNFF, which is a "soft-law" instrument, there are a number of legally binding international instruments that include articles and decisions that address forests or forest resources. They are as follows:

- Convention on the Conservation of Migratory Species of Wild Animals (CMS)
- Convention on Biological Diversity (CBD)
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- Convention on Wetlands of International Importance, Especially as Waterfowl Habitat (Ramsar Convention)
- International Tropical Timber Agreement (ITTA)
- Convention Concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention WHC)
- United Nations Convention to Combat Desertification (UNCCD)
- United Nations Framework Convention on Climate Change (UNFCCC)

The table in Annex 1 provides information on the nine instruments and the CSD, including the year of entry into force/establishment, number of Parties/members, and objectives and relevance to forests of each instrument.

Some distinguishing characteristics of the nine conventions are as follows:

- UNFF and ITTA are the only instruments focused specifically on forests and forest resources. The other instruments address forests in the context of environmental conservation (i.e., conservation of biological diversity, mitigation of climate change and combating desertification).
- CITES, CMS, Ramsar and WHC are concerned primarily with the conservation of biological diversity. CITES and CMS focus on conservation at the species level. Ramsar and WHC address the ecosystem level through the conservation of sites of international importance. The conservation of biological diversity is a major objective of the CBD, but the Convention's other objectives (sustainable use and equitable sharing of the benefits of biological diversity) give CBD a strong sustainable development dimension.
- UNFF, CBD, UNCCD, ITTA, and, to a somewhat lesser extent, UNFCCC, have a sustainable development emphasis. The wider scope of these five instruments give them greater relevance to overall forest policy than the other four instruments.

## National reporting to key forest-related international instruments and to the CSD

Parties or members are committed to report on measures that they have taken to implement their commitments under the instrument and, in some cases, information and data related to progress in achieving them. The instruments' texts provide the mandate for

reporting by Parties/members to the decision-making body of the instrument. Annex 2 provides the reference article mandating reporting under the nine instruments and the CSD, as well information on the periodicity of reporting, reporting guidelines, and more detailed information on the content of national reports. The forest-related content of national reports under the various instruments is summarized below.

#### CITES, CMS, Ramsar and WHC

National reports to CITES and CMS contain information related to the status of, and conservation efforts targeted at, species on their respective Appendices, which list species that are endangered, threatened or have an unfavourable conservation status. National reports to CITES consist of statistical information on trade in those species on the CITES Appendices. The CITES secretariat maintains the Appendices lists and quantitative time-series databases of species trade statistics. CITES Appendices include 15 timber or woody species, some of which are commercially important. National reports to CMS provide information, mostly qualitative, on steps taken to protect species on CMS' Appendices, raise awareness of the role of CMS, provide financing, and implement resolutions of the Conference of the Parties (COP). Forests are relevant in that they are habitat to some of the species listed on the CMS Appendices. At its sixth session, the COP in 1999 approved the launching of an Information Management Plan. This includes the development of a database on listed species (COP 6 Resolution 6.5).

Ramsar and WHC focus on the conservation and management of specific protected areas. Ramsar is concerned with internationally important wetlands, a third of which are forested wetlands (1999 figure). The List of Wetlands on International Importance ("Ramsar sites") is a database of site information, mainly in narrative form. WHC focuses on sites of cultural and natural significance, including many forest sites. The WHC maintains the World Heritage List, compiled from member States inventories. When a country becomes a member State of WHC, it is obliged to submit an inventory of property (location and significance) situated on its territory and suitable for inclusion on the list. National reports to Ramsar provide information on measures taken to promote membership, implement the Ramsar Wise Use Guidelines, increase institutional capacity, promote international cooperation and mobilize financial assistance. Parties to the WHC must report on steps taken related to identify national heritage properties, legislative and administrative provisions and other actions taken for the application of the WHC, and the state of conservation of the World Heritage properties located on its territories.

#### **CSD**

National reporting to the CSD on implementation of the chapters of Agenda 21 provides a comprehensive picture of progress made in sustainable development since UNCED a decade ago. This provides a wider context for the four forest-related instruments that arose from UNCED: UNFF, CBD, UNCCD and UNFCCC. Countries are asked to provide national reports each year on specific topic areas. They submitted national reports on forests in 2000. Country Profiles, providing an overall picture of progress in sustainable development across all chapters of Agenda 21, are compiled from

the national report. The first Country Profile was prepared in 1997. It was updated in 2002 for the purposes of the World Summit on Sustainable Development (the WSSD or Rio +10), to be held in Johannesburg, South Africa in August/September 2002.

#### CBD

National reports to the CBD provide information on the implementation of commitments under the Convention, as defined in its Articles. The first national report (1997) focused on Article 6 -- conservation and sustainable use of biological diversity. The second National Report (submitted in 2001 for discussion at COP 6 in April 2002) consists of a series of questions based on the Articles of the Convention and related decisions of the COPs addressed to Parties of the CBD. While several of the articles have some relation to forest biological diversity, those with the most direct relevance to sustainable forest management are: Article 8 (*in-situ* conservation); Article 8j (traditional knowledge), Article 9 (*ex-situ* conservation); and Article 10 (sustainable use of biological diversity).

In addition to the national reports, Parties were invited to submit a thematic report on forest ecosystems for consideration at COP 6. The thematic report provides information on the implementation of the three programme elements of the work programme on forest biological diversity, specifically: 1) the application of the ecosystem approach, 2) analysis of human influence on forest biological diversity and assessment of means to minimize negative influences, and 3) elaboration of the implementation of criteria and indicators for forest biological diversity. An expanded programme of work on forest biological diversity was approved at COP 6, and Parties have been invited to report through a voluntary thematic report to COP 7 in 2004 on their implementation of this programme (Decision VI/22).

#### UNCCD

Each Party to the Convention is required to communicate to the COP the measures undertaken to implement the UNCCD. The content of the reports differ slightly depending on into which category(ies) a Party falls:

- Parties affected by desertification and drought, report on their strategies to combat desertification and provide relevant information on implementation of the strategies. Affected parties that have action programmes (National Action Programmes, or NAPs) also describe the programmes and their implementation. Groups of affected country Parties may make a joint communication on measures taken at the subregional and/or regional levels to implement the Convention.
- Developed country Parties report on measures taken to support the preparation and implementation of action programmes at all levels, including information on financial resources.
- Parties that are both affected and developed observe both obligations: to present a national report and a report as a developed country Party.

Information provided in these reports have relevance to sustainable forest management, in particular on measures taken in the NAP to improve natural resource conservation, monitoring and assessment of effects of drought and participatory processes used in NAP.

#### **UNFCCC**

Each Party is to include in its National Communication:

- a) A national inventory of anthropogenic emissions and removal of greenhouse gases (GHGs), and
- b) A general description of steps taken/envisaged by the Parties to implement UNFCCC.

In addition, each developed country Party and each other Party included in Annex I of the Convention should report on:

- a) Policies and measures it has adopted to limit its anthropogenic emissions of GHGs and protect and enhance its GHG sinks and reservoirs.
- b) A specific estimate of the effects that the policies and measures referred to above will have on anthropogenic emissions, with the aim of returning individually or jointly to their 1990 levels.

Each developed country Party in Annex I and developed country Party included in Annex II, report on measures taken related to technology transfer and provision of financial resources.

The methodology for the calculations for the inventory figures is provided by the Guidelines for National Greenhouse Gas Inventories of the Intergovernmental Panel on Climate Change (IPCC). In order to carry out the national inventory, very specific data on forests and forest resources are required, mainly for the calculations of GHGs in the landuse change and forestry section but also for some in the energy section. Data are needed on forest area and biomass stocks, changes in area and biomass, non-forest trees, removal of wood by timber harvesting and for fuelwood consumption, conversion of forest to other uses, CO<sub>2</sub> emissions/removals from soils, as well as GHG emissions from combustion of woody biomass and from the pulp, paper and print industries.

#### **UNFF**

Modalities for national reporting to the UNFF do not yet exist, although the elements constituting the monitoring, assessment and reporting (MAR) function of UNFF have been identified. At the first session of UNFF in 2001 (see E/2001/42/Rev.1), it was agreed that the MAR function would consist of the following:

- Progress in implementation of the IPF/IFF proposals for action;
- Progress towards sustainable management of all types of forests; and

• Review of the effectiveness of the international arrangement on forests.

Furthermore, UNFF 1 invited countries, regions, organizations and processes to report to the UNFF, on a voluntary basis, on their progress in implementation of the IPF/IFF proposals for action. It also stressed the importance of the use of regional and national criteria and indicators for sustainable forest management (SFM) as a basis for reporting on SFM.

Many of the IPF/IPP proposals for action address monitoring, assessment and reporting and related activities, such as a common understanding of forest-related concepts, terminology and definitions; streamlining reporting; and resource assessment and information management.

An ad hoc expert group is expected to be established after the third session of UNFF (May/June 2003) and will develop proposals for UNFF's consideration on the MAR function of UNFF. In the meantime, the UNFF Secretariat will develop a reporting format for the purposes of national reports on implementation of proposals for action related to the agenda of UNFF 3.

#### **ITTA**

Parties to ITTA, 1994 are to provide statistics and information on timber, timber trade and activities aimed at achieving sustainable management of timber producing forests. Members are asked to submit data annually on their national production, trade, supply, stocks, consumption, and prices of tropical timber for the "Annual Review and Assessment of the World Tropical Timber Situation" of the International Tropical Timber Organization (ITTO).

Members are to supply other statistical data and specific indicators, as requested by the International Tropical Timber Council (ITTC), and to report on activities aimed at achieving sustainable forest management and on progress towards ITTO's Year 2000 Objective.<sup>2</sup> At its 24<sup>th</sup> session (May 1998), the ITTC strongly urged member countries to apply the (revised) ITTO Criteria and Indicators for reporting in relation to the Year 2000 Objective (Decision 3 XXIV). At its 30<sup>th</sup> session the ITTC encouraged Member countries (Decision 9 XXX) to submit their first National level report by the end of 2001 using the ITTO reporting format (ITTO, 2001). ITTO will publish the "Status of Tropical Forest Management Report", largely based on the national reports provided.

The reporting format for the national level report is extremely detailed, calling for both qualitative and quantitative information on the ITTO indicators of the following criteria for sustainable forest management (SFM):

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<sup>&</sup>lt;sup>2</sup> ITTO adopted the Year 2000 Objective in 1991 as the strategy by which all its member countries would progress towards achieving trade in tropical timber from sustainably managed forests by the year 2000.

- 1. <u>Enabling conditions for SFM</u> (laws, policies, regulations, institutional capacity, investment, economic instruments, technology, information, participation)
- 2. <u>Forest resource security</u> (resource base area, forest type, resource protection)
- 3. <u>Forest ecosystem health and condition</u> (area/degree of damage from human activities and by natural causes, protection procedures)
- 4. <u>Flow of forest products</u> (resource rights, harvesting levels; existence of management plans, management guidelines and long-term projections; etc.)
- 5. <u>Biological diversity</u> (protected areas, threatened/endangered species, genetic diversity, monitoring and evaluation,
- 6. <u>Soil and water</u> (area managed for and measures taken for soil/water protection
- 7. <u>Economic, social and cultural aspects</u> (contribution to GDP, quantity/value on non-wood forest products, efficiency of use of harvested products, employment, occupational safety, cultural aspects and social uses, participation, indigenous people)

#### Information and indicators in the forest-related instruments

As indicated above, national reporting on implementation of commitments under these nine forest-related instruments is diverse in approach, content and degree of detail. What is apparent is that the information requested is most often descriptive and is focused on measures taken related to policy, legislation, capacity building, financing, or other "means of implementation." Only a few instruments require Parties to provide, on a regular basis, quantitative information related to forests or forest resources. Those that do are CITES (on species trade), ITTA (on timber trade and indicators of sustainable forest management) and UNFCCC (on GHG emissions and removals from forests and forest resource use).

The information provided by national reports on measures taken to implement the instrument is essential for making an overall assessment of progress in the implementation of the instrument. Several of the instruments have identified implementation indicators for this purpose. This information, however, is not sufficient to assess the impact of the measures taken in achieving the goals of the instrument. For that kind of assessment, quantifiable data, such as on the status and trends in resources, are needed.

Most of the instruments have provisions for information and data collection, analysis and exchange (e.g. Article 4 of CBD, Article 16 of UNCCD, Article 4 of UNFCCC), for, among other purposes, monitoring and assessment. However, what data to be collected and how to fulfill international data needs is in most cases not defined.

In order to provide for global assessments of the state and change of the resource (forest, land affected by desertification, biological diversity) and to assess the impact of a

convention or agreement, commonly agree impact indicators are needed. Several international instruments addressed here are now working to define indicators.

There is a risk that, as work continues under the various instruments to identify indicators for monitoring and assessing impact, that if different indicators are chosen countries' reporting requirements will be compounded and complicated, increasing the burden of complying with them. The important role that sustainable development indicators can play in helping countries make informed decisions and the need for harmonization of efforts to develop such indicators was internationally recognized at UNCED and embodied in Chapter 40 of Agenda 21. The United Nations has recently published a set of indicators of sustainable development that can help harmonize efforts to assess progress toward sustainable development goals (UN, 2001).

Many of the forest-related instruments discussed here are working on indicators. The work of the UNCCD and CBD is summarized below.

The UNCCD began working to develop benchmarks and indicators even before it entered into force. It has identified implementation indicators, but work is still underway to identify: a) the type of data needed to assess the status and trends of desertification and b) impact indicators to monitor biophysical, socio-economic and institutional impacts of the NAPs. To date, 14 primary impact indicators have been identified that are relevant in the African context. These were discussed by the Committee on Science and Technology in October 2001 (see report ICCD/COP(5)/CST/7). The CST recommended that these indicators be further defined and also considered by other regions, with a view to developing common sub-regional or regional indicators.

The CBD has been working for several years to develop a set of indicators that can be used to monitor and assess biological diversity. A core set of indicators was considered at the third meeting of the Subsidiary Body for Science, Technology and Technological Advice (SBSTTA) in 1997 (UNEP/CBD/SBSTTA/INF.13). A second set was developed and presented to SBSTTA 7 in November 2001 (UNEP/CBD/SBSTTA/7/12). COP 6 decided that an ad hoc expert group should be convened to refine the indicators further (Decision VI/7). COP advised that regional approaches to indicator development be promoted and that these processes are taken into account in the development of the CBD's indicators. Specifically, the COP 6 decision on forest biological diversity:

Recognizes existing criteria and indicators for sustainable forest management including forest biological diversity at the national and regional levels, and agrees that these should be applied where criteria and indicators are needed for the purposes of the expanded work programme, and recognizes the need for further development and selection of criteria and indicators for the assessment of the status and trends of forest biological diversity at the national and regional levels (Decision VI/22, para. 34)

#### Criteria and indicators for sustainable forest management

Criteria and indicators (C&I) for sustainable forest management (SFM) were developed to provide countries with a framework for defining SFM and assessing progress toward this goal. Criteria and indicators are tools to help identify trends in the forest sector, determine the effects of forest management interventions over time, and facilitate decision making in national forest policy processes.

Criteria define essential elements against which the sustainability of forest management is judged. Each criterion is defined by indicators, which are monitored periodically to provide an indication of whether a country is moving towards or away from sustainability.

ITTO began work on criteria and indicators for sustainable forest management in 1990. Today there are nine major C&I processes, involving approximately 150 countries and covering most of the world's forested area.<sup>3</sup>

The processes are similar in objectives and approach, but differ somewhat in content and structure. They have all developed criteria and indicators for use at the national level. The criteria identified by the processes correspond fairly closely, all incorporating, in some fashion, the following fundamental elements of SFM:

- extent of forest resources and global carbon cycle;
- forest ecosystem health and vitality;
- biological diversity in forest ecosystems
- productive functions of forests
- protective functions of forests
- socio-economic functions and conditions
- political, legal and institutional frameworks

As discussed above, national reporting to ITTO Year 2000 Objective is based on the ITTO Criteria and Indicators. UNFF has recognized criteria and indicators for sustainable forest management as a basis for reporting on SFM. CBD has also recognized criteria and indicators for SFM as useful to its work on forest biological diversity.

There is clearly strong acceptance of criteria and indicators of SFM as the basis for impact indicators related to forests. This convergence offers potential for harmonization of information across the forest-related instruments and improvement of reporting on forests. This was indicated in a proposal for action agreed upon by the IPF in 1997, which "recommended that criteria and indicators be used by FAO and other relevant organizations in order to improve consistency in reporting on forest assessment and sustainable forest management." (E/CN.17/1997/12, paragraph 115(e))

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<sup>&</sup>lt;sup>3</sup> African Timber Organization (1993), Dry Forest Africa (1999), ITTO (1992) Dry Zone Africa (1995), Lepaterique Porcess (Central America)(1997), Montreal Process (1995), Pan-European Forest Process (1993), Tarapoto Proposal (1995), Near East Process (1996).

# Concerns over the reporting burden on countries: efforts to harmonize reporting to international instruments

The burden on countries to fulfil the various international reporting requirements was noted in a Report of the Secretary-General to the fifth session of the CSD in 1997, as follows:

"Concern at the increasing number of national reports that countries are required to submit has been growing and expressed in various forums. Member States have noted that they must prepare reports not only for the Commission but also to comply with the requirements of conventions, agreements reached at major conferences and global programmes of action. For all countries, the requests constitute a burden; but for countries with limited capacity, the burden has become overwhelming. It has also become apparent that some of the information being requested is duplicative and redundant" (E/CN.17/1997/6).

#### Streamlining of reporting on sustainable development

The CSD report made various proposals for the streamlining of requests within the UN context for national reporting on sustainable development issues. The focus was on streamlining the reporting process, rather than on streamlining the content of the reports, which respond to legal commitments or legislative mandates. It was agreed that countries would not need to report separately to the CSD on issues in which they report to Conference of the Parties of international conventions and other intergovernmental bodies. The country need only make these reports available to the CSD secretariat.

Another proposal made to CSD 5 was to have a UN system-wide sustainable development website developed, which would not only provide all national reports to the CSD but would have electronic linkages to reports and databases of related UN conventions. The Secretariat to the CSD is currently working on this site, with hopes to have it available in the near future. As well as linking to national reports to international bodies, it would provide links to national databases on environment and development, where possible.

#### Harmonization of reporting on biological diversity

Over the past few years, some major initiatives have been taken to streamline national reporting on biological diversity, in particular to the five biodiversity conventions: CBD, CITES, CMS, Ramsar and WHC.

In 1998 the secretariats of these five treaties and United Nations Environment Programme (UNEP) commissioned World Conservation Monitoring Centre (WCMC) to undertake a feasibility study to identify opportunities for harmonizing information management between the treaties. In October 2000, UNEP convened a workshop in Cambridge, U.K. to explore ideas for a more harmonized approach to national reporting to international agreements and to develop pilot projects for testing the ideas at national and international levels (WCMC, 2000). Pilot project ideas were proposed for testing

various approaches to information management: modular reporting, consolidated reporting, linking reporting to State of Environment reporting processes, and information management and regional support. The pilot projects are underway in four countries.

Another initiative has been taken by the Environmental Management Group (EMG). The EMG is a forum for UN agencies and secretariats of multilateral environmental agreements as a mechanism for enhancing interagency cooperation in the field of environment and human settlements. The EMG is chaired by UNEP. At its first meeting in January 2001, the EMG identified harmonization of environmental reporting, with a focus on biodiversity-related conventions, as needing additional attention. A background paper was prepared and discussed at the EMG's third meeting in October (UNEP 2001). The results of the analysis have contributed to documentation prepared for the WSSD on enhancing complementarities among international agencies.

At a regional level, the European Environment Agency is working on a project to streamline reporting systems for the 64 environmental agreements to which the European Commission is a party (EEA, 2001).

#### Harmonization of reporting on forests

The concern over reporting burden has also been strongly expressed in the international forest dialogue. A proposal for action (19a) of the IPF encouraged:

"countries, ITFF<sup>4</sup> member organizations and other relevant international and regional organizations to develop harmonized, cost-effective, comprehensive reporting formats for collecting and synthesizing national forest information to meet the diverse demands for reliable and timely data by various forest-related international organizations and instruments. There is a need to incorporate information on relevant criteria and indicators for sustainable forest management, including indicators on environmental, social and economic functions .... into such reporting formats in order to reduce reporting burdens on countries and increase the timeliness and consistency of reporting." (E/CN.17/2000/14)

The UNFF, at its second session (March 2002), invited "the Collaborative Partnership on Forests members to streamline reporting requests and, to the extent possible, to synchronize their reporting cycles so as to reduce reporting burden on countries" (E/CN.18/2002/14).

In April 2002, the CBD, by Decision VI/22, adopted the expanded work programme on forest biological diversity, which includes as one of its activities to "seek ways of streamlining reporting between the different forest-related processes, in order to improve the understanding of forest quality change and improve consistency in reporting on sustainable forest management" (Programme element 2, goal 1, objective 2, activity a).

<sup>&</sup>lt;sup>4</sup> The Interagency Task Force on Forests established in 1995 to support the work of the IPF and subsequently the IFF. The ITFF has been superseded by the Collaborative Partnership on Forests (CPF) – see text later in the paper.

A few preliminary efforts have been taken to date to on the issue of harmonizing reporting on forests, as follows:

- Expert Meeting on Synergies Among the Conventions on Climate Change, Biological Diversity, Desertification and the Forest Principles, held in Sede Boqer, Israel in March 1997 (UNDP, 1997). Among the topics discussed was reporting requirements and recommendations for harmonization.
- Workshop on Finding Synergies between Forest-Related Multilateral Environmental Agreements, convened by Ecologic Institute for International and European Environmental Policy in Berlin on 7-8 December 2000 (Tarasofsky and Oberthuer, 2001)
- International Expert Meeting on Monitoring, Assessment and Reporting on the Progress toward Sustainable Forest Management, hosted by the Japan Forestry Agency and held in Yokohama, Japan, from 5 to 8 November 2001 (Forestry Agency, Japan, 2002).

There is strong potential to build on these efforts and those on harmonization of reporting on sustainable development and on biological diversity. The three efforts should be compatible and complementary.

The Collaborative Partnership on Forests is in the process of establishing a "CPF Task Force on Streamlining Forest-related Reporting Requirements". The CPF was established in 2001 to support the work of the UNFF and to increase cooperation and collaboration on forests among its members. The CPF consists of 13 international organizations, institutions and instruments that have substantial programmes on forests. They are: FAO (Chair), Center for International Forestry Research (CIFOR), ITTO, International Center for Research in Agroforestry, Secretariat of the CBD, Secretariat of the Global Environment Facility, Secretariat of the UNCCD, Secretariat of the UNFCCC, United Nations Department of Economic and Social Affairs, United Nations Development Programme, UNEP, the World Bank and the World Conservation Union (IUCN). The objective of the Task Force is to propose ways to streamline forest-related reporting requests, synchronize reporting cycles and facilitate the provision of information by CPF members in order to reduce the reporting burden on countries.

#### **Conclusions**

The UNFF is the international instrument with exclusive focus on forests and the most comprehensive coverage. Although its predecessors, the IPF and IFF, adopted many proposals for action related to monitoring, assessment and reporting, the modalities for reporting to the UNFF itself have not yet been agreed upon.

National reporting to the other eight instruments and the CSD vary in their nature and content. The forest-related content of CITES, CMS, Ramsar and WHC, while relevant, is limited in scope.

The other five instruments – UNFF, ITTO, CBD, UNCCD and UNFCCC – all have considerable forest content and a strong sustainable development dimension. These five are most relevant to the issue of comprehensive international reporting on forests. National reports to UNFCCC and ITTO are strongly quantitative, whereas the content of national reports to CBD and UNCCD are qualitative, focusing on the means of implementing commitments under these conventions. Perhaps because of the difficulty of assessing the impact of their actions without quantitative measures, both CBD and UNCCD have been working to identify impact indicators, or biophysical and socioeconomic indicators on which quantitative data can be collected.

There seems to be a very promising convergence of acceptance of criteria and indicators of sustainable forest management as the basis for assessing the state and trends in forests, forest resource use and the equitable sharing of the benefits of that use. UNFF, ITTO and CBD have all accepted the criteria and indicators of SFM as the basis for assessing progress in their forest-related work.

Various important efforts are under way on streamlining and harmonizing reporting on sustainable development, biological diversity, and forests. The work to develop proposals for the streamlining of forest reporting anticipated to be undertaken by a CPF Task Force, can build upon similar efforts carried out for sustainable development by the CSD and on biological diversity by the five biodiversity conventions.

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## International conventions and agreements related to forests

Instrument	Date: entry into	Status of	Objectives	Relevance to forests
anou union	force or	participation	Објесите	ACCOUNTED TO TOTAL
	establishment			
Commission on Sustainable Development (CSD)	1993	53 members elected for terms of three years. All UN member States may participate in sessions, but without voting rights.	To review progress in implementation of recommendations and commitments made at UNCED, elaborate policy guidance and options for future activities to follow up UNCED and achieve sustainable development, and to promote dialogue and build partnerships for sustainable development.	Commitments made at UNCED include Chapter 11 ("Combating deforestation" of Agenda 21) and the "Forest Principle" (i.e., the "Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forests".
Convention on the Conservation of Migratory Species of Wild Animals (CMS)	1 November 1983	79 Parties (as of Feb. 2002)	To conserve wild animal species that migrate across or outside national boundaries by developing and implementing cooperative agreements, prohibiting taking of endangered species, conserving habitat, and controlling other adverse factors.	Forests are important habitats to some migratory species listed on the appendices of the CMS (i.e., endangered species and species with an unfavourable conservation status). Range States for these species are to conserve and restore habitats critical for the species' survival.
Convention on Biological Diversity (CBD)	29 December 1993	183 Parties (as of March 2002)	The conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising from the utilization of genetic resources.	<ul> <li>Many of the articles of the convention relate to the conservation and sustainable use of biological resources, including forest resources. Those most relevant to sustainable forest management are:</li> <li>Article 7, which requires Parties to identify and monitor components of biological diversity important for conservation and sustainable use, and to identify processes and activities with adverse impacts on the conservation and sustainable use of biological diversity.</li> <li>Article 8, which address in situ conservation, including within and outside protected areas, rehabilitation and restoration of degraded ecosystems, and actions to minimize negative impacts of alien species</li> <li>Article 8j, which addresses the roles and rights of traditional and local communities related to forests</li> <li>Article 10, which addresses sustainable use of biological diversity.</li> <li>At COP 4 in 1998, a work programme on forest biological diversity was adopted. An expanded programme was adopted at COP 6 in 2002.</li> </ul>
Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)	1 July 1975	158 Parties (as of June 2002)	To prevent the overexploitation, due to international trade, of species listed in the Convention's appendices. Various levels of control or restrictions are placed on the trade of these species.	Some 15 timber or woody species, some of which are commercially important, are included on CITES appendices.
Convention on Wetlands of International	21 December 1975	132 Parties (as of June	Wetland conservation and wise use, recognizing wetlands as ecosystems that	Ramsar promotes the conservation and wise use of wetlands considered internationally important, including mangroves and forested peatlands. As of

Importance, Especially as Waterfowl Habitat (Ramsar Convention)		2002)	are extremely important for biodiversity conservation in general and for the well-being of human communities.	November 1999, 306 of the 1028 sites on the Convention's List of Wetlands of International Importance were forested wetlands.
International Tropical Timber Agreement (ITTA)	1 January 1997 for an initial period of four years (Successor agreement to ITTA, 1983).	57 members (as of July 2001)	To provide an effective framework for consultation, international cooperation and policy development among all members with regard to all relevant aspects of the world timber economy, including international trade in tropical timber, and to enhance the capacity of members to implement a strategy for achieving exports of tropical timber from sustainably managed sources.	While primarily a commodity agreement aimed at regulating international trade in tropical timber, the scope of ITTA and the work of the International Tropical Timber Organization (ITTO) also includes forest conservation and management issues. In 1990 the ITTA Council adopted the Year 2000 Objective, which states that exports of tropical timber should be from sustainably managed sources by the year 2000. Much of the work of ITTO relates to policy development and projects.
Convention Concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention - WHC)	17 December 1975	167 Parties (as of May 2002)	To define and conserve the world's cultural and natural heritage, by drawing up a list of sites (the World Heritage List) whose outstanding values should be preserved for all humanity and to ensure their protection through closer collaboration among nations.	Of the 721 sites currently on the World Heritage List, 41 are tropical forests and many are temperate and boreal forests.
United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD)	26 December 1996	179 Parties (as of May 2002)	To combat desertification and mitigate the effects of drought, particularly in Africa, in an integrated approach aimed at contributing to sustainable development in affected areas.	UNCCD addresses biophysical and socio-economic aspects of desertification and the effects of drought. The aspects of the Convention that are particularly relevant to forests include vegetation conservation and traditional knowledge.
United Nations Forum on Forests (UNFF)	18 October 2000	Membership open to all member States of the UN	To promote the management, conservation and sustainable development of all types of forests and to strengthen political commitment to this end.	UNFF is recognized as the foremost forum for discussion of international forest policy. The UNFF is primarily concerned with facilitating the implementation of the IPF/IFF proposals for action, which represent an international forest policy agenda.
United Nations Framework Convention on Climate Change (UNFCCC)	21 March 1994	186 Parties (as of Dec. 2001)	To stabilize greenhouse-gas (GHG) concentration in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, and to achieve this level within a timeframe sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.	Forest play an important role in mitigating climate change through serving as reservoirs, sinks and sources of GHGs, particularly carbon. Forests are addressed directly or indirectly in several provisions of the UNFCCC (Articles 4.2, 4.1(c) and 4.1 (d)) and its Kyoto Protocol (Article 3.4). Parties to the Convention committed themselves to carrying out national inventories of GHG emissions and carbon sinks, including forests. Sustainable forest management, reduction of deforestation, and afforestation and reforestation are all included in UNFCCC as measures to mitigate climate change. The Kyoto Protocol (not yet entered into force) identified quantified emission limitation or reduction commitments by Parties, which can be met by, among other actions, afforestation, reforestation and (avoided) deforestation. Joint implementation and the Clean Development Mechanism offer potential opportunity for financial transfers between Parties wishing to meet some of their commitments through forest-related activities in other countries.

## National Reporting to International Conventions, Agreements and Commission on Sustainable Development

Instrument (and mandate for reporting)	Guidelines for reporting, and national reports and databases, with website addresses	Periodicity / date(s) of issue <sup>5</sup>	Content of national reports
Commission on Sustainable Development (CSD)	Country profiles (based on national reports submitted to CSD) available at: <a href="http://www.un.org/esa/agenda21/natlinfo/">http://www.un.org/esa/agenda21/natlinfo/</a>	Every five years 1997: Prepared for the Earth Summit +5. 2002: Updated for World Summit on Sustainable Development.	A report on each of the chapters of Agenda 21, including information on the status of cross-sectoral issues (decision-making structures, capacity building/technology issues, finance, regional/international cooperation) and statistical data/indicators
	National reports: status of implementation of the Agenda 21 chapters and other issues to be discussed at that year's CSD session  *National reports on forests were provided for CSD 8 (2000)	Annual 2000	Brief statement of current situation of SFM and achievements     Progress in the implementation of IPF/IFF proposals for action     Policy and legal framework     Information: participation in criteria and indicators (C&I) processes; use of C&I for reporting and policy purposes; dissemination of information on SFM
	National assessment reports: self-appraisal of the country's efforts to implement Agenda 21 over the 10-year period since UNCED.	2002	5. Overriding issues (forestry-poverty linkages; consumption and production trends)  Policy measures taken, specific challenges encountered and constraints faced.
Convention on the Conservation of Migratory Species of Wild Animals  (CMS)  (Article VI)	The model format provided by Resolution 4.1 (1994), has been updated for voluntary use on a trial basis for COP 7 (Sept 2002).  See http://www.wcmc.org.uk/cms/	Every three years	New reporting format: Appendix I species: general information on steps taken to protect species; species specific information on population size, trends and distribution, efforts in research, monitoring and habitat protection Appendix II species: CMS agreements Party has undertaken to conserve species Role conservation of migratory species plays in national and regional priorities Use of satellite telemetry Membership – steps taken to encourage non-Parties to join CMS Actions taken to increase national and global awareness of importance of CMS Mobilization of resources Implementation of COP Resolutions

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<sup>&</sup>lt;sup>5</sup> The date indicates the year the report was/is to be submitted. In some cases the date at which the report is considered by the COP is the following year.

	N. C. D. C. C. D. L. L.	I E	
Convention on Biological	National Report to the Convention on Biological Diversity	Every four years First report: 1997	Contents of first National Report: implementation of Article 6
Diversity	Diversity	Second report: 2001	Contents of second National Report:
Diversity	Guidelines for reporting (second report)Ñ	Third report: 2005	Reporting on the implementation of the articles of the
(CBD)	http://www.biodiv.org/world/nr-guidelines.asp?t=s		Convention and related COP decisions addressed to Contracting Parties, including on the following Articles:
	or UNEP/CBD/COP/5/13/Add.2		5 (Cooperation); 6 (General measures for conservation and
(Article 26)	Access to national reports: http://www.biodiv.org/doc/world/asp  Thematic Reports (on thematic programme areas of the CBD; timetable decided by COP)		sustainable use); 7 (Identification and monitoring); 8 (In-situ conservation); 9 (Ex-situ conservation); 10 (Sustainable use of biological diversity); 11 (Incentive measures); 12 (Research and training); 13 (Public education and awareness); 14 (Impact assessment and minimizing adverse impacts); 15 (Access to genetic resources); 16 (Access to and transfer of technology); 17 (Exchange of information); 18 (Technical and scientific cooperation); 19 (Handling of biotechnology and distribution of its benefits); 20 (Financial resources); 21 (Financial mechanism); 22 (Relationship with other international conventions); 23 (Conference of the Parties); 24 (Secretariat); 25 (Subsidiary Body on Scientific, Technical and Technological Advice); 26 (Reports)
	the CBB, timetable decided by COI)		
	Thematic Report on Forests (considered by COP6, April 2002) Guidelines for reporting: http://www.biodiv.org/world/nrguidelines.asp?t=thm Access to reports: http://www.biodiv.org/world/reports.asp?t=fr  Voluntary thematic national report on the implementation of the expanded programme of work on forest biological diversity	2001	Reporting on implementation of the work programme on forest biological diversity (Decision IV/7): Element 1: Ecosystem approach Element 2: Analysis of the ways human activities influence biological diversity and assessment of ways to minimize or mitigate negative influences Element 3: Elaboration and implementation of criteria and indicators for forest biological diversity
		2003	Decision VI/22 calls for Parties to submit voluntary reports on
			the implementation of the expanded work programme on forest biological diversity to COP 7, including the following information:  1. Priority actions that Parties have identified 2. Successes in implementing the programme 3. Challenge and impediment The report format to be prepared by the CBD secretariat and approved by the Bureau of the COP.

Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)  (Article VIII, para. 7)	CITES Annual Reports  Reporting guidelines: http://www.cites.org/eng/notifs/1999/085a.pdf  Biennial Reports	Annual  Biennial	Reporting on statistics on trade of species included in the CITES Appendices, including the kind and quantity of specimens, country of origin or destination, purpose of trade, source of specimens, and permit or certificate number.  Report on legislative, regulatory and administrative measures taken to enforce the provisions of CITES.
(Article VIII, para. 7)			
Convention on Wetlands of International Importance, Especially as Waterfowl Habitat (Ramsar Convention)	National Reports  Reporting format for national reports to COP8 (2002) <a href="http://www.ramsar.org/cop8">http://www.ramsar.org/cop8</a> nr natl rpt intro e.htm	Every three years	Reporting on measures taken to:  1. Increase Ramsar membership  2. Implement and further develop the Ramsar Wise Use Guidelines  3. Raise awareness of wetland values and functions  4. Reinforce institutional capacity  5. Ensure conservation of all sites on the Ramsar List  6. Increase the number of Ramsar sites, particularly of underrepresented wetlands types  7. Promote international cooperation and mobilize financial assistance  8. Provide the Convention with required institutional mechanisms and resources
International Tropical Timber Agreement (ITTA) (Article 29)	ITTO/UNECE/FAO/EUROSTAT Joint Forest Sector Questionaire (for use in the ITTO Annual Review and Assessment of the World Timber Situation ) http://www.itto.or.jp/inside/joint_forest/index.html  Input to Year 2000 Objective Review Reporting format: http://www.itto.or.jp/Index.html	Annual	<ol> <li>Production and trade of all timber by ITTO Producers and Consumers</li> <li>Direction of trade in volume of primary tropical timber products between major ITTO Producers and Consumers</li> <li>Major tropical species traded</li> <li>Prices of major tropical timber and selected competing softwood products</li> <li>Trade in secondary processed wood products</li> </ol>

	Periodic Reporting on the application of the World	Each State Party reports every 6	Section 1: Application of the WHC by State Party
Convention Concerning the	Heritage Convention	years	1.1. Introduction
Protection of the World		(with rotation by region)	1.2. Identification of cultural and national heritage properties
Cultural and Natural	Reporting Guidelines: <sup>6</sup>		1.3. Protection, conservation and presentation of the cultural
Heritage	Reporting format:	Arab States	and natural heritage
(World Heritage	http://www.unesco.org/whc/reporting/periodic.htm	2000	1.4. International co-operation and fund raising
Convention)	Explanatory notes:	Africa	1.5. Education, information and awareness building
	http://whc.unesco.org/reporting/prexpl.htm	2001	1.6. Conclusions and recommended actions
(WHC)		Asia & Pacific	Section 2: State of conservation of specific World Heritage
	Reports not available on the Web	2002	properties
		Latin Am & Caribbean	II.1. Introduction
(Article 29)		2003	II.2. Statement of significance
		Europe & N. America	II.3. Statement of authenticity/integrity
		2004/2005	II.4. Management
			II.5. Factors affecting property
			II.6. Monitoring
			II.7. Conclusions and recommended action

<sup>6</sup> The World Heritage Committee, at its twenty-second session held in 1998 approved this format and explanatory notes, which have been used since for reporting. The Operational Guidelines of the Convention have been revised, including slight changes in the explanatory notes for reporting, and will be presented to the 26<sup>th</sup> session of the WHC in late June 2002.

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United Nations Comment	UNCCD National Reports	First reporting 1999 – affected African countries	(a) Reports on national action programmes
United Nations Convention to Combat Desertification	http://www.unccd.int/cop/reports/menu.php	2000 – other affected countries	Strategies and priorities of sustainable development plans
to Compat Desertification	http://www.unccd.mi/cop/reports/menu.pnp	1999/2000 – non affected	and/or policies
(UNCCD)		countries	Institutional measures taken to implement UNCCD
(61(662)		Countries	Participatory process used in national action programme
		Second reporting	(NAP)
(Article 26) (also decision 11/COP.1)		2002 – all regions	Consultative process used in NAP and partnerships with developed country Parties
		Reporting will be done for each future ordinary session (2003, 2005, 2007 etc.), with non-affected countries reporting to	Measures taken or planned in NAP, i.a. to improve: economic environment, natural resource conservation, institutional organization, knowledge of desertification; and to monitor and assess drought effects
		every session, and affected countries reporting to every other	National and financial allocations and financial and technical assistance received
		session, alternating between African countries and countries in	Benchmarks and progress indicators
		other regions	(b) Reports on joint, subregional and regional action programmes (SRAPs and RAPs, repectively)
			Areas of cooperation under the programme and measures taken or planned
			Consultative process used in the preparation and implementation of the SRAPs or RAPs and partnership agreements with developed country Parties and other interested entities
			Financial allocations by affected country Parties of the subregion or region in support of implementation and financial assistance and technical cooperation received and needed
			Benchmarks and progress indicators used
			(c) Reports of developed country Parties
			Consultative process and partnership agreements in which they are involved
			<ul> <li>Measures taken to support the preparation and implementation of action programmes at all levels, including information on the financial resources they have provided, or are providing, both bilaterally and multilaterally.</li> </ul>
			(d) Reports of affected developed country Parties not preparing action programmes
			<ul> <li>Strategies and priorities, within the framework of sustainable development plans and/or policies, to combat desertification and mitigate the effects of drought and any relevant information on their implementation.</li> </ul>

	Not yet available	To be determined	No reporting modalities have as yet been decided. UNFF 1:
United Nations Forum on			a) identified the three areas for UNFF's monitoring, assessment
Forests	The UNFF Secretariat to suggest a format for		and reporting function as:
	country reports to UNFF 3 on implementation of the		Progress in implementation of the IPF/IFF proposals for
(UNFF)	IPF/IFF proposals for action. Thereafter, an ad hoc		action;
	expert group shall provide advice to UNFF on		Progress towards sustainable management of all types of
	monitoring, assessment and reporting.		forests; and
(Ecosoc Resolution 2000/35)			Review of the effectiveness of the international
			arrangement on forests.
			b) invited countries, regions, organizations and processes to
			report to the UNFF, on a voluntary basis, on their progress in
			implementation of the IPF/IFF proposals for action,
			c) stressed the importance of the use of regional and national
			criteria and indicators for sustainable forest management (SFM)
			as a basis for reporting on SFM

	National Communication	Each Annex I Party shall make its	Annex I Parties: report of implementation of commitments
<b>United Nations Framework</b>		initial communication within six	under Articles 4.1 and 12, including:
<b>Convention on Climate</b>	Guidelines for Annex 1 Parties:	months of the entry into force of	Greenhouse gas inventory information
Change	http://unfccc.int/resource/docs/cop5/07.pdf	the Convention for that Party.	Policies and measures
9	(under revision: to be addressed at COP 8)	Each other Party shall make its	
(UNFCCC)	,	initial communication within	Projections and the total effect of policies and measures
,	Guidelines for Annex 1I Parties:	three years of the entry into force	Vulnerability assessment, climate change impacts and
	Decision 10/CP.2 (not available on web)	of the Convention for that Party,	adaptation measures
	· ·	or of the availability of financial	Financial resources and technology transfer
(Article 12)	Communications available at:	resources in accordance. Least	Research and systematic observation
	http://unfccc.int/resource/natcom/index.html	developed country Parties make	Education, training and public awareness
		their initial communication at	8
		their discretion.	
	National Inventory		
	INFOCC '11' '1	Annual	Balance of GHG emissions and removals from:
	UNFCCC guidelines provide a common reporting		
	format		in energy section:
	http://unfccc.int/resource/docs/cop5/07.pdf		from woody biomass combustion
	Intergovernmental Panel on Climate Change		• from pulp, paper and print industries
	Guidelines for National GHG Inventories (IPFF		
	Guidelines) provide methodology		in land –use change and forestry
	http://www.ipcc-nggip.iges.or.jp/public/gl/invs1.htm		changes in forest and other woody biomass stocks
	intep.// www.ipee inggip.iges.or.jp/public/gz/invs1.intil		in forests, distinguishing between tropical, temperate, and
			boreal; plantations and other forests; various
			species; and in
			- non-forest trees
			- removed in commercial harvest, traditional fuelwood
			consumption, other wood use
			forest and grassland conversion
			- distinguishing between various types of tropical,
			temperate and boreal forests
			- distinguishing between immediate release by fire and
			delayed release from decay
			abandonment of managed lands
			- areas and rate of regrowth of various types of tropical,
			temperate and boreal forests
			CO <sub>2</sub> emission/removals from soil
			- area of cultivation of different types of soils