

Distr.
GENERAL

ECE/TIM/EFC/WP.2/2009/8
20 January 2009

Original: ENGLISH

**ECONOMIC COMMISSION
FOR EUROPE**

Timber Committee

Joint FAO/UNECE Working Party
on Forest Economics and Statistics

Thirty-first session
Geneva, 31 March-1 April 2009
Item 7 of the provisional agenda

**FOOD AND AGRICULTURE
ORGANIZATION**

European Forestry Commission

**GUIDANCE OF WORK AREA 5: ELEMENTS ADDRESSING MONITORING AND
ANALYSIS OF POLICIES AND INSTITUTIONS**

Note by the secretariat

As decided at the last session of the Working Party, and approved by the Timber Committee and European Forest Commission at their joint session in October 2008, the Working Party's mandate has been expanded to provide guidance to UNECE and FAO on aspects linked to the monitoring and analysis of policies and institutions. The purpose of this paper is to inform the Working Party of work in the area of monitoring forest policies and institutions and to request the **Working Party to provide advice to the secretariat on data collection and validation on forest policies and institutions.**

1. At the last session of the Working Party, it endorsed the idea of taking on guidance functions on aspects of work area 5 linked to the collection, validation and dissemination of information on forest policies and institutions, which is increasingly linked to information collection on the forest resource itself. The revised mandate of the Working Party was approved by the UNECE Timber Committee and FAO European Forest Commission at its joint session at the European Forest Week in October 2008. The revised mandate includes “Work Area 5: Policy and cross-sectoral issues: elements addressing monitoring and analysis of policies and institutions.”

2. The legal, policy, and institutional framework is a recognized, seventh element of Sustainable Forest Management (SFM) worldwide, acknowledged by the UN Forum on Forests (UNFF) and the FAO Committee on Forestry (COFO). The seven thematic elements are used as a reporting framework in the FAO forest resource assessment. Stable legal, policy and institutional arrangements are a prerequisite to support the other six themes: extent of forest resources, biological diversity, forest health and vitality, productive and protective functions of forest resources, and socio-economic functions. The seventh element includes governance and law enforcement, monitoring and assessment of progress, participatory decision-making and broader societal aspects, including science, research and education as well as public information and communication.

3. For the Forest Resources Assessment (FRA) 2010, for the first time, tables on forest policies and institutions have been included in the overall dataset. Tables T14 – T17 collect information on “Policy and legal framework”, “Institutional framework”, “Education and research” as well as “Public revenue collection and expenditure”. Data collection and validation is currently under way; finalization of the FAO review of country tables is expected in August 2009, before they will be published in 2010.

4. For the pan-European region, the Vienna Ministerial Conference on the Protection of Forests in Europe (MCPFE) approved in 2002 a set of improved pan-European indicators for SFM, which include qualitative indicators on sustainable forest management. These qualitative indicators contain a part on overall policies, institutions and instruments, including national forest programmes, institutional, legal and regulatory frameworks, financial/economic instruments and informational means. They also include a second part on policies, institutions and instruments for each of 12 policy areas: land use and forest area and other wooded land, carbon balance, health and vitality, production and use of woods and non-wood goods and services, provision of recreation, biodiversity, protective services, economic viability, employment, public awareness and participation, research, training and education, and cultural and spiritual values.

5. In 2007, the first enquiry on qualitative indicators for SFM has been conducted, resulting in information on policies, institutions and instruments per policy area from 30 countries. Original country reports are available on the UNECE/FAO website: www.unece.org/timber/fra/mcpfe07qualcountryreport.htm. An analysis of this information is included in the policy and institutions part of the State of Forests in Europe 2007 report.

6. The UNECE/FAO secretariat is currently working, in close collaboration with the FAO policy monitoring and assessment group, on compiling available information on policies and institutions collected through different initiatives, in a comprehensive database. At present, information on policies and institutions is collected through the following processes:

- (a) Global Forest Resources Assessment (FRA) national reports:
 - FRA 2010 policy tables (T14-T17) are in the validation process;
- (b) National Forest Programmes (nfp) updates (www.fao.org/forestry/30514/en/):
 - Nfp update information is updated in different intervals, at the responsibility of country correspondents, edited by FAO. At this stage, limited up-to-date information is available for Europe and central Asia.
- (c) Ministerial Conference on the Protection of Forests in Europe (MCPFE) qualitative indicators:
 - 30 country reports for the pan-European region available.

7. Additional information on forest policies and institutions is available through other sources, such as:

- (a) FAOLEX (<http://faolex.fao.org/faolex/>) and ECOLEX (www.ecolex.org) databases about forest and environmental national legislation;
- (b) The United Nations Forum on Forests (UNFF) national reports to UNFF4 and UNFF5 (www.un.org/esa/forests/reports.html);
- (c) The UNECE Environmental Performance Reviews (www.unece.org/env/epr/publications.htm);
- (d) Country reports on policies and institutions presented at workshops, e.g. the Krtiny, Czech Republic, 2008 capacity building workshop organized by the FAO Sub-regional office for central and eastern Europe with UNECE, FAO and the Czech Ministry;
- (e) National forest administration official websites.

8. UNECE and FAO have, through the Inter-Secretariat Coordination Group on Monitoring Forest Policies and Institutions, set-up a platform for reviewing information available on policies and institutions, discussing the harmonization of terms and definitions and initiating a process of structuring available information in a global database. This database should become an integral part of the “policy and institutions” section of the FAO Forest Sector countries profiles (<http://www.fao.org/forestry/country/en/>).

9. The proposed repository on policies and institutions contains a global dataset, with information which is available for most countries worldwide, mainly based on the FRA 2010 reports. Regional and national datasets are more elaborate when additional information is available, e.g. for the pan-European region through the MCPFE qualitative indicators, or other sources. The proposed dataset will indicate the different sources from which information is drawn, to allow for verification and reference for additional details.

10. The proposed framework (included in Annex I) is currently being filled by UNECE and FAO with information from selected countries, drawn from the different sources indicated above. A proposal for an improved structure will be presented and discussed at the next coordination meeting on 12-13 February 2009 at FAO Headquarters. Upon agreement on a final structure, UNECE and FAO will complete the structure with information available from the different sources for all countries, to develop a comprehensive, global database with up-to-date and easily accessible information on forest policies and institutions.

11. The attached framework encompasses the following items: national forest programmes

(nfps), forest policy, forest legislation, forest institutions, research and education related to forestry, as well as general characteristics of the economy and finance of the forest sector. Each item consists of a set of thematic tables. The structure has been mainly drawn from the FRA 2010 tables, reports on the MCPFE qualitative indicators and nfp-updates. For each table, on the left side, the data/information which will be drawn from the different sources is indicated. On the right side, the information sources are mentioned.

12. The Working Party is requested to review and comment on the proposed structure for a policy and institutional dataset (see annex), drawing on its experience with data collection and analysis in the field of forest products statistics and resources.

Annex

Forestry country profile

Policies & Institutions

COUNTRY Date

Structure

A. POLICIES AND INSTITUTIONS

1. Nfp
2. Policy
3. Legislation
4. Institutions
5. Research and Education

B. ECONOMY AND FINANCE

Sources of information

	MCPFE qualitative indicators	http://www.unece.org/timber/fra/mcpfe07qualcountryreport.htm
*	FRA 2010 (<i>not yet validated</i>)	http://www.fao.org/forestry/44375/en/
*	nfp updates	http://www.fao.org/forestry/45998/en/
	EPR	http://www.unece.org/env/epr/publications.htm
	Krtiny 2008 country report	http://www.fao.org/regional/seur/events/Krtiny2008/Krtiny2008_en.htm
*	UNFF country report	http://www.un.org/esa/forests/reports.html
*	FAO-LEX	http://faolex.fao.org/faolex/
*	National official website and documents	
	Others	

* Information available at the global level

A. POLICIES AND INSTITUTIONS

1. National Forest Programme (nfp)

Current Status of National Forest Programme (nfp) or similar process*		Sources
Not existing (and currently not planned)	<input type="checkbox"/>	(Proposed for next MCPFE enquiry)
Planned for near future (Please indicate when)	<input type="checkbox"/>	(Proposed for next MCPFE enquiry)
In formulation (design stage)*	<input type="checkbox"/>	FRA 2010, MCPFE: in development
In implementation*	<input type="checkbox"/>	FRA 2010, MCPFE
Under revision*	<input type="checkbox"/>	FRA 2010, MCPFE
Process temporarily suspended*	<input type="checkbox"/>	FRA 2010, NB: not included in MCPFE

Comments:

Link to Nfp UPDATE:	http://www.fao.org/forestry/...
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2. Policy

Forest policy statement with national scope		Sources
Existence	Yes/no	
Name and Reference document(s)		FRA 2010, nfp update
Year of endorsement		FRA 2010, nfp update

Comments:

Main objectives of forest policy* (text or link to nfp UPDATE)	Sources
	nfp update , NB: not available for MCPFE
By policy area?	MCPFE

Comments:

Forest Policy Implementation		Sources
Main Guiding Principles/Instruments* - text or link to nfp UPDATE		nfp update : e.g. community involvement, legal reforms, incentives, improved techniques
By Policy Area		LINK to nfp UPDATE
Land use and forest area		MCPFE
Carbon balance		MCPFE
Health and vitality		MCPFE
Production and use of wood		MCPFE
Production and use of non-wood goods and services		MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	MCPFE
	Species diversity, incl. tree species composition and threatened forest species	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	MCPFE
Protective services		MCPFE
Economic viability		MCPFE
Employment (incl. safety and health)		MCPFE
Public awareness		MCPFE
Research, training and education		MCPFE
Cultural and spiritual values		MCPFE

Comments:

Sub-national forest policy statements*		Sources
Existence	Yes/No	FRA 2010
If yes: Number of regions/states/provinces with forest policy statements*		FRA 2010

Comments:

3. Legislation

Forest-related Law/Act/Code*		Sources
Law (Act or Code) on forest with national scope*	<input type="checkbox"/> Yes, specific forest law exists* <input type="checkbox"/> Yes, but rules on forests are incorporated in other (broader) legislation* <input type="checkbox"/> No, forest issues are not regulated by national legislation*	FRA 2010
Year of enactment*		FRA 2010
Year of latest amendment*		FRA 2010
Reference to document*	LINK to nfp UPDATE or FAO Lex	FRA 2010

Comments:

Sub-national Laws (Acts or Codes) on forest*		Sources
Existence	Yes/No	FRA 2010
If yes: number of regions/states/provinces with Laws on forests*		FRA 2010

Comments:

Main Elements/Characteristics of Legal/Regulatory Framework*		Sources
Further information on the elements of the forest law is available at*:	LINK	nfp: elements of forest law
Further information on the characteristics of the legal/regulatory framework is available at:	LINK	MCPFE: characteristics of legal/regulatory framework

Comments:

Main Priorities and Measures in Forest Related International Commitments	Sources
	MCPFE – CPF?

Comments:

Main legal/or reference document per Policy Area – LINK		Sources
Land use and forest area		MCPFE
Carbon balance		MCPFE
Health and vitality		MCPFE
Production and use of wood		MCPFE
Production and use of non-wood goods and services		MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	MCPFE
	Species diversity, incl. tree species composition and threatened forest species	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	MCPFE
Protective services		MCPFE
Economic viability		MCPFE
Employment (incl. safety and health)		MCPFE
Public awareness		MCPFE

Research, training and education		MCPFE
Cultural and spiritual values		MCPFE

Comments:

4. Institutions

Public Organization(s) Responsible for Forest Policy*		Sources
Ministry responsible for forest policy formulation (full title)*		FRA 2010
Forest administration (institution responsible for forest policy making)*		MCPFE , nfp update
Level of subordination of Head of Forestry within the Ministry*	<input type="checkbox"/> 1 st level subordination to Minister* <input type="checkbox"/> 2 nd level <input type="checkbox"/> 3 rd level <input type="checkbox"/> 4 th or lower level	FRA 2010
Other public forest agencies at the national level (organizations responsible for the management of state forests)*		FRA 2010 , MCPFE
Institution(s) Responsible for Forest Law Enforcement*		FRA 2010

Comments:

Most Relevant Institution(s) per Policy Area		Sources
Land use and forest area		MCPFE
Carbon balance		MCPFE
Health and vitality		MCPFE
Production and use of wood		MCPFE
Production and use of non-wood goods and services		MCPFE
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	MCPFE
	Species diversity, incl. tree species composition and threatened forest species	MCPFE
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	MCPFE
Protective services		MCPFE
Economic viability		MCPFE
Employment (incl. safety and health)		MCPFE
Public awareness		MCPFE
Research, training and education		MCPFE
Cultural and spiritual values		MCPFE

Comments:

Human resources within public forest institutions*						FRA 2010
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Total staff*						
...of which with university						

degree or equivalent*						

Comments:

Main Private Organization(s) involved in Forest Policy Formulation (interest groups, associations)* - LINK to nfp UPDATE	Sources
	MCPFE, nfp update: forestry and forest industry associations, civil society organizations

Comments:

Characteristics of Institutional Framework - LINK to MCPFE	Sources
	MCPFE

Comments:

Forest Policy Coordinating Mechanism - LINK to MCPFE or nfp UPDATE	Sources
	MCPFE: incl. major mechanisms of policy coordination between public and between public and private institutions

Comments:

5. Research and education

Most Relevant Institution(s)*			Sources
Research*	Forestry research institution(s)*		MCPFE, nfp update
	Other institutions doing forestry research*		nfp update
Education*	Forestry education institution(s)/centre(s)*		MCPFE; nfp update
	Other institution(s)/ centre(s) doing forestry education *		nfp update

Comments:

Main Instruments – LINK to MCPFE	Sources
	MCPFE: policy instruments used: legal, financial/economic, informational, major measures taken since 2003

Comments:

Main Research & Education Objectives – LINK to MCPFE	Sources
	MCPFE: incl. main issues addressed, significant changes since 2003

Comments:

Graduation of students and number of professionals working in forest research						FRA 2010
Graduation ¹⁾ of students in forest-related education*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Master's degree (MSc) or equivalent						
Bachelor's degree (BSc) or equivalent						
Technician certificate / diploma						
Professionals working in publicly funded forest research centers*						
	2000		2005		2008	
	Number	%Female	Number	%Female	Number	%Female
Doctor's degree (PhD)						
Master's degree (MSc) or equivalent						
Bachelor's degree (BSc) or equivalent						

Comments:

B. ECONOMY AND FINANCE

Financial Instruments/Economic Policy		Sources
Main reference document(s)		MCPFE
Main characteristics of forest-related economic policy: LINK		MCPFE
Main characteristics of financial instruments: LINK		MCPFE

Comments:

Instrument(s) per Policy Area		Sources
Land use and forest area		MCPFE
Carbon balance		MCPFE, SEUR
Health and vitality		MCPFE, SEUR
Production and use of wood		MCPFE, SEUR
Production and use of non-wood goods and services		MCPFE, SEUR
Biodiversity	Ecosystem / habitat / protected areas / landscape patterns	MCPFE, SEUR
	Species diversity, incl. tree species composition and threatened forest species	MCPFE, SEUR
	Genetic diversity, incl. in situ and ex situ gene conservation and seed production	MCPFE, SEUR
Protective services		MCPFE
Economic viability		MCPFE

Employment (incl. safety and health)		MCPFE
Public awareness		MCPFE
Research, training and education		MCPFE, SEUR
Cultural and spiritual values		MCPFE, SEUR

Comments:

Forest Sector Contribution to the Economy*		Sources
Description*		nfp update
Information Source*		nfp update

Comments:

Contribution of the Public Budget to Forestry*		Sources
Description*		nfp update
Information Source*		nfp update

Comments:

Mechanisms used for Financing Forestry Development*		Sources
Description*		nfp update
Information Source*		nfp update

Comments:

Forest revenues* (1000 local currency)		Sources
2000	2005	
		FRA 2010

Comments:

Forest expenditures (1000 local currency)						Sources
	Domestic funding*		External funding*		Total*	
	2000	2005	2000	2005	2000	2005
Operational expenditure						
Transfer payments						
Total public expenditure						
Objectives of transfer payments*: (multiple selection possible)	<input type="checkbox"/> Reforestation <input type="checkbox"/> Afforestation <input type="checkbox"/> Forest inventory and/or planning <input type="checkbox"/> Conservation of forest biodiversity <input type="checkbox"/> Protection of soil and water <input type="checkbox"/> Forest stand improvement <input type="checkbox"/> Establishment or maintenance of protected areas <input type="checkbox"/> Other, specify below					

Comments: