

Independent Forest Concession Monitoring System in Central Africa



**A WRI UPDATE PREPARED BY GLOBAL FOREST WATCH
IN COLLABORATION WITH:**

InterAfrican Forest Industries Association

World Conservation Union

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James Beck and Pierre Méthot
Editors

Maggie Powell
Layout

JG Collomb, 2001
Photo Credits

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Leadership in the development of FORCOMS is being provided by WRI-GFW, IFIA, and IUCN. Key partners include among others: CIFOR, CIRAD, WCS, COMIFAC, CEFDHAC, OAB, and WWF.

1.0 EXECUTIVE SUMMARY

The regional Forest Law Enforcement, Governance, and Trade (FLEGT) processes and rise of multiple forest certification schemes (FSC, SFI, PEFC, Keurhout, etc.) respectively reflect the strong international interest in legality of forest product operations and ensuring sustainable forest management (SFM). Furthermore, international timber markets are increasingly demanding evidence that imported forest products are produced legally and sustainably.

While this situation is surfacing in one form or another in all important forested regions of the world, it is of particular interest in Central Africa where significant timber exports continue despite numerous claims of illegality and virtually no certified production forest under an internationally recognized scheme.¹ Specifically, stakeholders concerned about tropical forests currently have a limited ability to access and assess verified information on the practices of logging companies producing timber in Central Africa and other regions. Meanwhile, the international media continue to describe the forest sector as fraught with illegality, poor management, and corruption. There is disagreement between many stakeholders as to the validity of these claims. Nevertheless, due primarily to market demand and the linked surging interest of civil society, there is an urgency to communicate commitments and progress made by forest companies toward legality and SFM.

In response to this situation, the Global Forest Watch (GFW) initiative of the World Resources Institute (WRI) and partners have been seeking ways to appropriately engage and communicate the efforts of leading forest companies in the region. More specifically, WRI-GFW is attempting to form an innovative partnership which unites diverse interests relevant to the forest sector in a given region/area into a functional partnership.² In the Central Africa region, this partnership is promoting the establishment of the **Forest Concession Monitoring System** for Central Africa (FORCOMS).

To initiate the system WRI-GFW, in collaboration with Interafrican Forest Industries Association (IFIA), World Conservation Union (IUCN) and the World Wildlife Fund (WWF), brought together the key forest stakeholders for a two day, multi-stakeholder workshop in Douala, Cameroon in March 2004. The participants discussed the system concept and tentatively agreed on a set of indicators of legality and SFM and the means for their verification. The workshop was a success due to the engagement of a broad cross-section of interests and the support from the German government (BMZ), World Bank, U.S. Forest Service, and USAID-CARPE.

Since the workshop, key stakeholders have contributed to refining the indicators; continued discussions of the possible governance and organizational structures; and sought financing for future large-scale implementation. WRI-GFW and core partners in the coming months will be conducting actual field tests of FORCOMS for three companies in three different countries in Central Africa. The results will be used to refine the indicators and finalize the FORCOMS structure and operational plan for implementation throughout the sub-region. The initial developmental phase of this project is possible due to the support of USAID-CARPE.

This document is the second in a three part series that serves to provide updates of the development of FORCOMS in Central Africa.³ It provides details regarding the evolution of the overall framework in which FORCOMS will operate. Likewise, this document presents the evolution of the FORCOMS indicators and describes broadly the next steps planned to improve and ultimately launch FORCOMS throughout the Central Africa sub-region.

2.0 CONTEXT AND JUSTIFICATION IN CENTRAL AFRICA

Stakeholders concerned about the tropical forests currently have a limited ability to access and assess verified information on the practices of logging companies producing timber in Central Africa. Meanwhile, periodic headlines in the international media continue to speak of a forest sector rife with illegality, poor management, and corruption. Certain advocacy groups claim that the majority of Central Africa's timber is produced illegally.⁴ Logging interests concede that there are problems; however, they claim that these charges are inflammatory, inflated, and otherwise not valid. Many consider that such attacks tarnish not only an industry but likewise an entire region and are therefore counterproductive toward sustainable development. Momentum is building among increasingly sensitive governments and consumer groups to therefore limit or block importation of wood products originating from questionably managed sources. Regardless of the validity of either side's arguments, there is a clear need for an independent and reliable source of verified information on the state of logging and forest management in Central Africa.

Increased transparency and improved communication of what is actually occurring in the forest is of strategic interest to all progressive stakeholders, but none can easily achieve it in isolation. A paucity of logging companies currently operating in Central Africa appear able in the near future to have their concessions certified according to an internationally recognized scheme due primarily to the

technical and financial hurdles. For many others only a broad partnership of organizations, private sector, and governments held together by shared strategic interest and increasing mutual trust can mobilize the necessary financial resources, political credibility and technical expertise to effectively monitor the forests of Central Africa.

WRI-GFW and partners are developing a framework that would guide such partnerships in multiple regions. These Timber Compliance Assessment Partnerships (TCAP) would seek to assess compliance between certain norms, such as the law or a set of criteria of good management, and actual practices in the forest. Further description of the evolving TCAP framework is found in Appendix 1. The remainder of this document elaborates on the developing Central Africa example.

As a first step (Phase one) in Central Africa, on March 1 and 2, 2004, WRI-GFW organized a workshop on the “Voluntary and Independent Monitoring of Forest Concessions in Central Africa” in close collaboration with the IFIA, IUCN, and WWF.⁵ The workshop assembled the key stakeholders (approximately 60 people representing various interests) to discuss and ultimately agree on the core components of the system design, central indicators, and means for their verification. The workshop was possible due to the support of the German government (BMZ), World Bank, U.S. Forest Service, and USAID-CARPE.

3.0 FORCOMS DESCRIPTION

3.1 Objective and Thematic Targets

The independent **Forest Concession Monitoring System** (FORCOMS) under development in Central Africa endeavors to provide public access to verified concession-level information on measurable actions and voluntary commitments by timber producers in Central Africa to support *legal* and *sustainable forest management* (as defined through the indicators).⁶

3.2 Basic Functioning Principles

The core principles resulting from many multi-stakeholder discussions on the organization and functioning of FORCOMS as initially put forward can be summarized as follows:

- The forest concession holders agree to be monitored and to voluntarily provide the bulk of data needed for the previously agreed upon indicators to an independent body;

- An independent body gathers the data and where necessary carries out limited spontaneous field verifications and analyses necessary to report findings based on the indicators;
- A Steering Committee, composed of representation from international NGOs, institutions, donors, and the private sector, oversees the process to guide and validate the system;
- The independent body periodically reports findings through a website and hard copy reports to the tropical timber market and broader public.

These principles will be reviewed and refined during Phase two and a final description should ultimately be formally agreed upon by the participating parties.

It is envisioned that FORCOMS will take full advantage of technological advances in communications, database management, and remote sensing. FORCOMS will document practices in vast forest landscapes by benefiting from technologies permitting such an ambitious endeavor to be implemented at comparatively low cost. Operationally this could be achieved if, for example, indicators are kept to a manageable number and are selected to be simple yet significant; data entry will be automated wherever possible with a certain percentage of verification to ensure validity; teleconferencing technology will be utilized for steering committee meetings whenever possible to minimize travel expenses; and any field operations will be sleek, efficient, and effective.

3.3 Assessment: Summary of Indicators

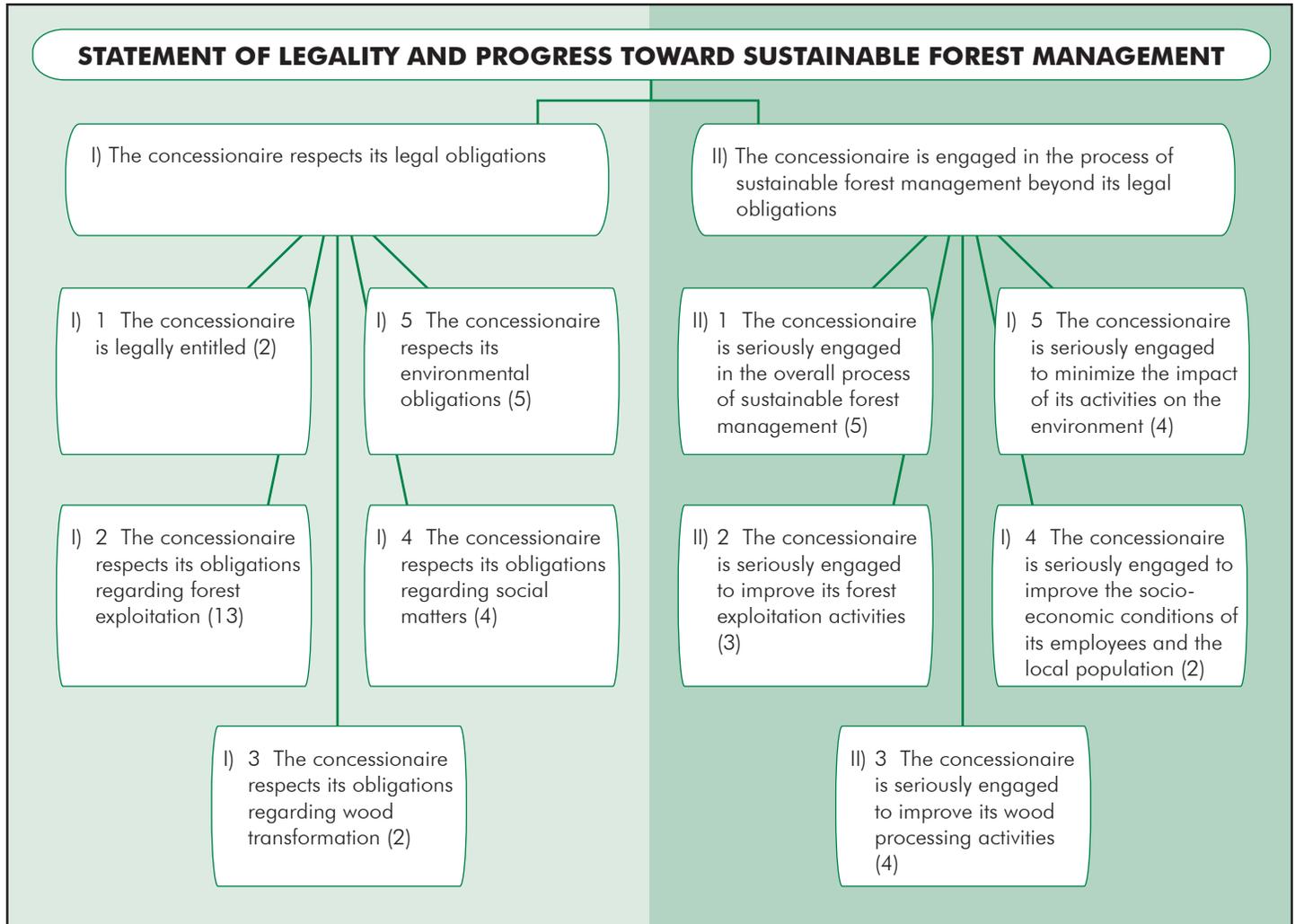
As previously mentioned, this system seeks to provide new and valuable information regarding both the legality of timber production and voluntary progress made towards sustainable forest management (SFM). Therefore the selected indicators have been split under two headings: 1) Legality, and 2) Progress towards and commitments made to SFM. The former are the proxy indicators for “legality” that came out of the workshop and by their nature are *compulsory*. The latter are *voluntary* commitments and actions towards SFM. To define what these two elements mean according to this system, verifiable indicators have been selected. The bimodal nature of this system and its overall architecture is shown in Figure 1. See Appendix 3 for the most recent set of indicators.

Significant effort has been invested in the development of these indicators to ensure that they are simple, generalized across legislative boundaries, cost-effective, operational,

credible to the outside world, and help answer the most critical questions of the target users of the system. See Appendix 2 for a detailed description of the process utilized to compile and/or create these assessment indicators. These indicators represent a balance among interventions, includ-

ing: 1) document-intensive, 2) field investigations, and 3) remote sensing based.⁸ Nonetheless, based on the results of the testing activities in Phase two, further refinements of the indicators will likely occur, such as categorizations, deletions or sequencings to ensure their ease of implementation.

Figure 1. Architecture of forest concession monitoring system (the number of indicators is in parentheses)⁷



3.4 Communications: Audience and Products Discussion

Audience: responding to needs of diverse stakeholders

This system will directly respond to the expressed needs of the tropical timber market, civil society organizations, donors, and governments in the sub-region.

Responsible logging companies operating in Central Africa agree that forest management and governance needs to

improve so the industry can become more sustainable, remain economically viable, and see their markets remain open. Moreover, the more progressive companies are seeking to demonstrate that they are indeed “good corporate citizens”, contrary to how they are often portrayed in the media. A growing number of timber producers invest increasingly in better forest management. However, these progressive companies suffer under harsh competition of illegal cut-and-run producers and have found it difficult to make their costly efforts known to their clients and critics. Likewise, *tropical timber buyers* currently have only limited ability to access and assess information on timber

originating from Central Africa. FORCOMS seeks to meet these needs by publicly documenting legality and sustainable forest management practices (as defined through the indicators). Furthermore, FORCOMS will offer an opportunity for progressive companies to make their efforts known to markets and thereby potentially benefit from a competitive market advantage over other companies.

Civil society organizations, led by environmental NGOs, have brought to bear their concerns of improper forest practices by certain timber producers in Central Africa and elsewhere. Certain markets are becoming increasingly sensitive to such complaints. For example, *EU member states* in particular are responding by formulating policies demanding that imported timber is of legal origin and that its producers are engaged in sustainable forest management. In light of this public pressure for increased transparency, legality, and ultimate sustainability, this monitoring system will provide a much needed window into the practices of many timber producers.

Ongoing government-level and donor-driven processes clearly indicate a shared set of needs. In particular this system will directly build on the existing efforts of COMIFAC, AFLEG, CEFDHAC, ATO, ITTO, and the bi / multi-lateral funding agencies to promote sustainable forest management and improve legal compliance in the region.

Discussion of Potential Products

Most stakeholders agree that an important function of FORCOMS is to increase forest sector transparency to allow the timber buyers to make more informed decisions on timber sourcing in Central Africa. There is ongoing discussion however over the form and content of the principal products of FORCOMS. Current thinking suggests that once fully operational and depending on results of the test phase there could be two principal products that communicate FORCOMS results: a web-based, user-friendly database of forest companies and their practices, and periodic company-specific documentation (status report / attestation / certificate). What follows is a summary description of both potential products followed by a discussion of various stakeholder concerns.

Website: The FORCOMS website will likely be geo-referenced, searchable, and provide significant access to information on each participating concession by indicator. This could include such details as their “score” by indicator, by sub-heading, and/or through an overall statement of compliance on either or both themes (legality and progress towards SFM). The website could also include a list of participating companies and some background information

describing FORCOMS. In addition, the website will likely include a window through which third party concerns/ claims of misconduct, by indicator, could be registered. The participating companies could then be given the opportunity to periodically respond to the claims. This type of interaction will likely be very important to the credibility of FORCOMS.

Furthermore, as different users will be interested in different levels of detail, the website will be simple and direct while including access to significant searchable information by concession and/or company. The best host of this website is under ongoing research and discussion. The FORAC website could be one possible host for the data gathered and presented through this System.

Documentation: Another important product of FORCOMS could be a document (status report / attestation / certificate) announcing that company X (through data gathered in concessions Y and Z) is sufficiently in compliance with the indicators.⁹ This short report could also potentially include, among other information, links to the website, and a brief summary of FORCOMS. This report could be available on a password protected website that would allow the company to download a dated document for distribution with timber shipments or for sharing with the public. This report could be automatically updated based on bi-annual steering committee decisions and could include whatever approved information is necessary depending on the needs of the company.¹⁰

Discussion: Most stakeholders agree that a website, as previously described, would be a valuable communication tool. However, stakeholders are split as to whether a website and linked informative geo-spatial database would be sufficiently valuable to necessitate its creation and draw enough interest to ensure its longterm financial sustainability.

Stakeholders from the timber industry suggest that in order for FORCOMS to be relevant to the industry, and therefore potentially have any impact on their operations, FORCOMS must respond to the needs from the marketplace – a certificate or attestation that a given shipment of forest products originates from a logging site that is harvested in compliance with the law and progressing toward SFM (as defined by the indicators). Other stakeholders primarily from the governmental and international NGO community have several significant concerns, the two most important follow. First, they are concerned that such a certificate must be backed by internationally recognized auditors that through an extensive field presence can verify on the ground both the timber operations and the forest

products chain of custody. Anything short of this fully validated audit would negate the credibility of such a certificate. Second, there is concern that companies who may otherwise continue to progress towards a “more demanding” forest certification scheme will no longer have any incentive to do so if a FORCOMS “certificate” is accepted by the market and larger public.

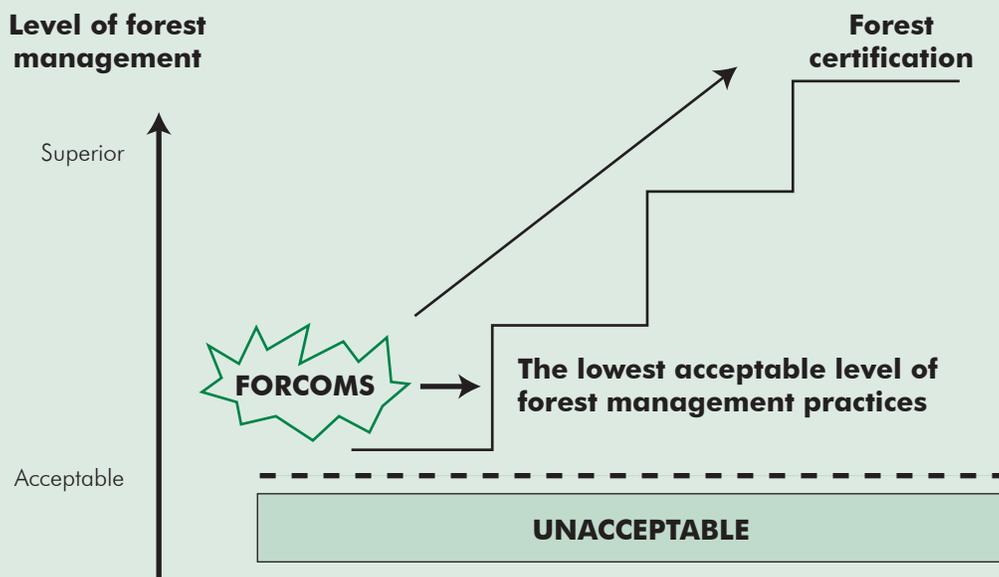
These are valid concerns and WRI-GFW and partners are seeking to answer these and others as a core outcome of the

testing phase (Phase two) of FORCOMS. Nevertheless, concerning the first issue (sufficiency of field presence), WRI-GFW and partners are seeking to use innovative strategies to tackle complex realities. In order to document practices in vast landscapes within a timeframe dictated by the market, FORCOMS should benefit from the latest technological advances to remain operationally sleek and efficient while not losing sight of the need for sufficient field checks. This is attempting to change the culture of the forest sector towards more efficient auto-reporting with a

Box 1. Complementarities of FORCOMS with forest certifications and other relevant processes/initiatives

FORCOMS is not and will not be a new forest certification system, nor will it compete with any certification system or on-going process. Over the last decade there has been significant discussion and endorsement of the “step-wise” or “phased approach” to achieving a forest certification in regions where there exists some form of barrier to widespread and immediate certification. Here lies an important point of complementarity between the assessment aspect of FORCOMS and the internationally recognized forest certification schemes. FORCOMS seeks to provide a base or core set of indicators, upon which all reasonable stakeholders can agree, in order to quickly and credibly assess the legal and sound forestry practices of a significant number of concession holders. Process driven

initiatives, such as the WWF-GFTN or other promoters of certification, which establish timebound agreements with companies towards achieving certification, could therefore utilize the results of FORCOMS as a technical baseline for entry into their programs. Moreover, it has been discussed that the FORCOMS indicators will be periodically reviewed by the Steering Committee and improved effectively “raising the bar” over time to ensure its ongoing contribution to the transparent and improved governance and management of forest resources. The figure below graphically depicts the relative positioning and role of FORCOMS with forest certification schemes.



Internationally recognized certification systems will likely remain the gold standards for the leading companies. As such, efforts of certain companies towards certification will be documented and publicized through this monitoring system. Nevertheless, the information gap remains for the vast expanse of uncertified forests which make up greater than 99% of the region’s production forests (according to Earthtrends data -

<http://earthtrends.wri.org>). Therefore, the communication aspect of FORCOMS could capture a broad swath of information on timber producers in order to meet the aforementioned needs to access verified information regarding legality and progression towards sustainable forest management.

small percentage of verification. Indeed this is an ambitious undertaking and results from the testing phase will undoubtedly improve this approach. Regardless of what the document is called and assuming the Steering Committee decides it can and should be produced, its contents must clearly describe what it is and what it is not. To claim that it certifies that a certain shipment is completely legal and sustainably managed will no doubt overstep the real capacity of this System - or any system for that matter - and will not be acceptable.

Regarding the second concern (undercutting progress toward forest certification), certain stakeholders may mischaracterize FORCOMS as competing with the more demanding forest certification schemes. FORCOMS is complementary to other systems; reports on company commitments and actions toward certification; and may even provide a base for certain “phased-approaches” to forest certification. Box 1 provides additional details as to the interaction between FORCOMS and the internationally recognized forest certification systems. Nevertheless, understanding of this interaction will also be improved through the test phase which is described in further detail in the following section.

4.0 FORCOMS FY2005 WORK PLAN AND NEXT STEPS

4.1 FORCOMS Strategy and Implementation Calendar

The three strategic phases as well as the overall tentative schedule of activities for the implementation of FORCOMS are presented in Figure 2. These activities are based on assured and anticipated funding. Phase one which focused on building consensus on the voluntary monitoring system concept and discussing the core indicators has been successfully completed. Phase two effectively builds on the decisions of Phase one and aims to hone the operational and organizational design of FORCOMS through limited actual field monitoring activities. Phase two also includes an important component permitting critical and immediate communications of both the field tests and other voluntary industry reporting. Finally, Phase three will mark the formal and region-wide launch of FORCOMS.

4.2 FORCOMS Work Plan for 2004–2005 — General

WRI-GFW has already completed a detailed document describing the field intensive activities planned for the 1 October 2004 to 30 September 2005 from USAID/CARPE funds. The previously mentioned document provides details regarding the activities, the calendar, team composition, and budget. Figure 2 graphically illustrates the overall proposed schedule of activities.

The planned activities within Phase two can be divided into two distinct but intimately linked components that will be more or less carried out simultaneously.

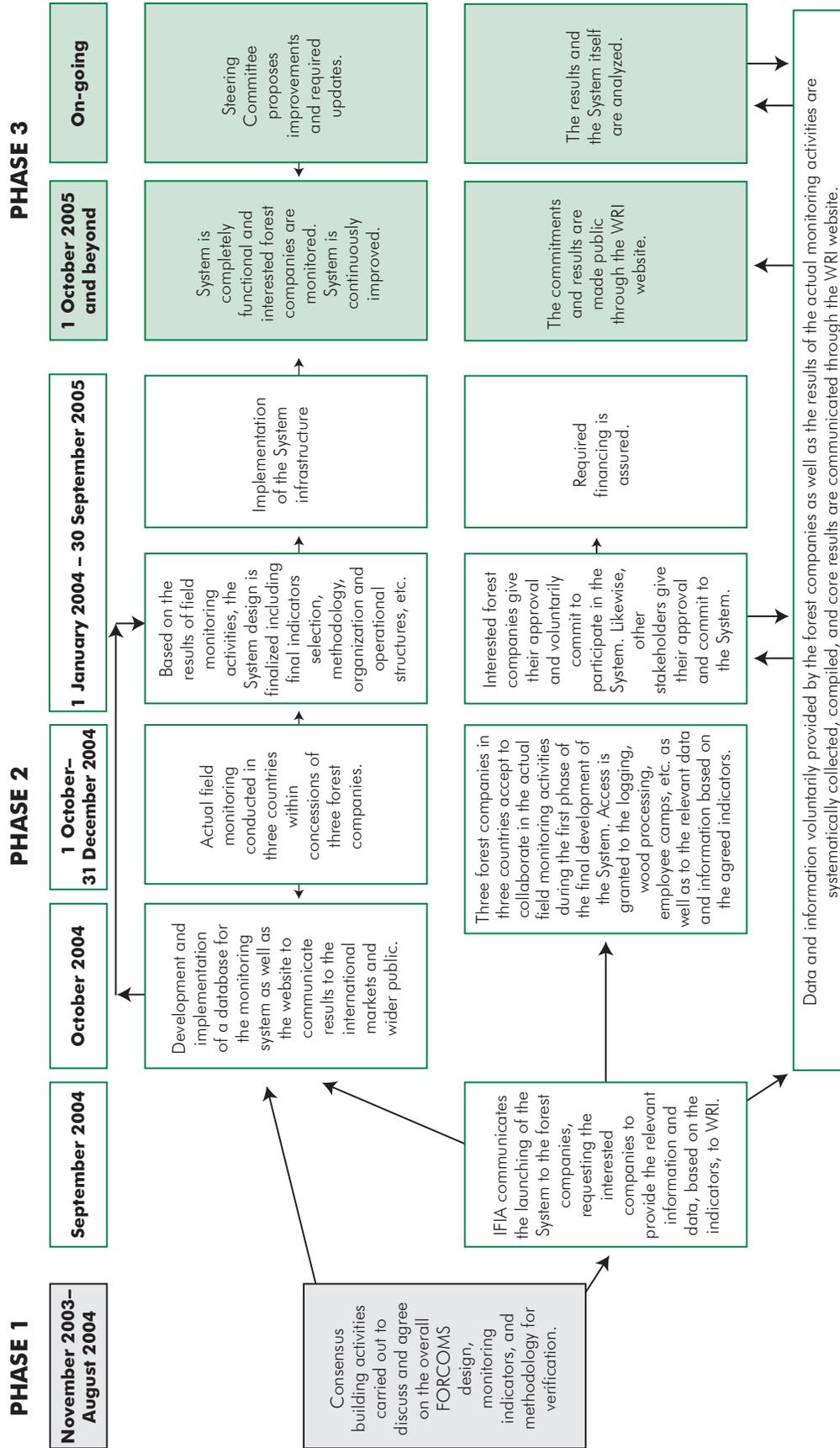
- The first component includes activities for which funds have already been assured through USAID/CARPE. The activities effectively consist of actual field-based tests in three forest companies’ concessions spread over three countries in the sub-region.¹¹ Concomitantly, the organizational, operational, and financial infrastructures required for the effective implementation of the System will be assessed, agreed upon, and available contingent on sufficient funding for Phase three.
- The second component of activities consists of key activities for which funding has yet to be assured. It focuses on beginning the collection, treatment, and web-based communication of information voluntarily provided by forest companies. More precisely the information will concern the forest companies’ engagements and actions related to the overall legality of their operations and their progression toward increasingly sustainable forest management, all to be measured with the selected FORCOMS indicators (see Appendix 3). This second component could also include the actual field monitoring for additional companies not covered in the first component.

Further details concerning these two components of activities follow.

4.3 Component 1: Initial Field Activities and Infrastructure Establishment

The primary goals of this component of Phase two activities are to finalize the design and set-up the organizational and operational infrastructure of the System and initiate actual and formal forest concession monitoring activities by mid 2005.

Figure 2. FORCOMS — Proposed Strategic Calendar



In order to attain those goals, WRI-GFW and partners will work towards the following specific objectives:

- to confirm the validity and operational feasibility of the selected indicators of the System in view of proposing the final set of indicators;
- to design the operational methodologies for the collection of data and the related relationships between the field monitoring team and the private sector, governmental institutions and other stakeholders;
- to scope the nature, intensity, difficulties and costs attached to the field monitoring activities in order to be able to coordinate and manage the services of those institutions that could be asked to perform the field monitoring activities;
- identify the institutions, firms, or individuals that could eventually be called to effectuate the necessary monitoring and verification tasks for the ultimate roll out of the System;
- elaborate and obtain an mutually satisfactory agreement with all of the implicated parties on the organizational and operational structures necessary for the effective functioning of the System in order to ensure international credibility as well as its independence and proper functioning;¹²
- promote the System, in close collaboration with IFIA, to the private sector, local governments, local and international NGOs, and importantly the international tropical timber markets;
- put in place the definitive organizational, operational, and financial structures of the System.

To accomplish these objectives, a field test team is being assembled (two WRI-GFW experts, one international expert, and several national consultants) in order to conduct the actual field monitoring, structured as a testing phase, of the forest concessions of three companies spread over three different countries. The countries are selected to:

- cover the widest range of conditions possible in order to test the universality of the System;
- meet with the broadest cross-section of stakeholders possible in the sub-region;
- take into account the variations among the forest codes and related legislation as well as the forest companies' levels of technical and managerial capacity concerning forest management.

The overall cost of these important tasks both in the field and from WRI-GFW headquarters in Washington DC limits the field test monitoring activities to only three companies from 01 October 2004 to 30 September 2005. This budget is very high as compared to the number of forest companies to be monitored. It must be understood, however, that a significant portion of these funds are linked to the overall development and implementation of the System rather than the actual monitoring costs. This initiative is highly complex and therefore WRI-GFW and partners must cover all of the angles in order to be able to deliver the required products.

Nevertheless, the actual field monitoring does not necessarily have to be limited to just three companies. Indeed, there are feasible possibilities that would permit the monitoring and/or communication of information for a larger number of companies during the course of the aforementioned period (see component 2).

4.4 Component 2: Communication of Voluntarily Reported Information and Expanded Field Monitoring Activities

The forest companies in the region need a concrete and immediate response to the pressures from the international market concerning both legality and progress towards SFM. This is one of the principal reasons for the development and implementation of this new voluntary and independent forest concession monitoring system. However, despite the urgency, WRI-GFW and partners must be careful not to position themselves for needless criticism and risk losing credibility among NGOs (some of which are strictly opposed to any exploitation of tropical timber), international markets, and donors, by engaging in a system of which the reliability, rigor, and independence have yet to be sufficiently evaluated through actual field tests.

It is important to immediately carry out concrete actions in order to sustain the interest of all implicated parties while waiting for the ultimate full operationalization of the System, notably following the planned field tests. Furthermore, with additional financial support to complement the assured CARPE funding (component 1), additional activities, outlined in the next section, could be carried out.

Launching of an initial market information window

An important activity within the communications component is the development of a window/interface through which forest companies can make known to the wider

public and international markets their commitments toward legality and sustainable forest management. More specifically this window can communicate the official engagement of certain forest companies in an independent monitoring process that is conducted under the aegis of WRI-GFW and guidance of a Steering Committee. This web-based communication concerns the dissemination of information regarding the three test companies as well as any other interested companies willing to provide the data necessary to report against the indicators. In the case of the additional untested companies, it will be clearly stated in the relevant communications that there has been no field verification undertaken for those additional companies.

This step could also be beneficial by helping to contribute to the development of new practices/behaviors of the forest companies through both participation in this monitoring process and by voluntarily divulging pertinent data and information on their operations and actions. It could be the evidence of a first step toward the creation of a system of auto-reporting from the forest companies.

Concretely, the necessary actions for this component include:

- IFIA informs the forest companies of the launching of the System and requests those interested in voluntary reporting to send WRI-GFW the relevant information and data for measurement against the indicators;
- WRI-GFW prepares a preliminary database to receive and treat the information received from those forest companies;

- WRI-GFW gathers all other information already available from the forest companies, not only from those selected by also all that will be consulted during the field missions, interested in participating in the System. Moreover, these companies would agree to have reported the results of other monitoring/auditing that have already been adopted and operationalized (such as Chain of Custody-SGS, Eurocertifor, Veritas, etc.);
- WRI-GFW utilizes its current website to announce the process and succinctly communicate the available information and data concerning legality and engagement in sustainable forest management;
- WRI-GFW prepares and posts on the website periodic summaries concerning the status of the test phase and the analysis of data and information made available by the forest companies.

These actions could be initiated as early as November 2004.

Monitoring – Other forest companies

It would be possible to expand the concrete monitoring activities of the forest companies beyond those already included in component 1. The number of additional companies will depend on the financing available and the level of intensity of the field monitoring activities to be conducted.

These additional monitoring activities could begin in February 2005.

APPENDIX 1 – An Evolving Framework for Intervention: Timber Compliance Assessment Partnerships

A Timber Compliance Assessment Partnership (TCAP) is a concept under development that could unite diverse interests relevant to the forest sector in a given region/area into a functional partnership. Compliance, for the purposes of a TCAP, is the relationship between norms and practice. The purpose of a timber compliance assessment partnership is to assess compliance between certain norms, such as the law or a set of criteria of good management, and actual practices in the forest.

The resulting monitoring system of a TCAP is complex and consists of multiple aspects:

- A function of shared or common *values*;
- A function to ensure *legitimacy*;
- *Indicators* that represent norms in a way that can be assessed;
- A function for *data collection* about forest practices;
- A function for *assessment* of results;
- A function for *dissemination / communication* of results.

Values

Institutional behaviors/actions are driven by values. Critical to the success of a partnership is some explicit shared values that all participants agree to uphold.

Legitimacy

A partnership, process, and resulting products must be credible to major stakeholders and markets. This credibility is best accomplished through multi-stakeholder agreement on definitions, methods, quality control, results, and dissemination.

Indicators

The choice of indicators depends on the type of norms to be compliant with and the object of the assessment. They also depend on the scale (resolution) of the assessment. The following table allows a rough classification of timber compliance programs. Each cell in the matrix can be assessed at different scales.

Indicators, to be feasible, must be designed to be unambiguous and lend themselves to cost-effective collection of

	Type of Norms		
Object of assessment	Legality	Sustainability	Other market concerns
Area			
Actor			
Products			

the relevant accurate information. This means that indicators must be designed with the possibilities and constraints of data collection technology in mind.

Data collection

The function for data collection must be designed to provide accurate, timely and cost-effective information that is relevant to the chosen indicators. There are several possibilities to collect data which may be used separately or in combination. These include: Remote sensing with satellite images or aerial-photos, voluntary reporting, official reporting, questionnaires, media surveys, and observations on the ground.

Assessment

There can be several levels of assessment, including: 1) Reporting of edited but otherwise unassessed information, to allow others to follow up and assess; 2) Scoring of indicators according to an agreed scale with a possible compound overall score through weighting; and 3) Licensing, certification, or similar output, based on the score value.

Given the limitations of resources TCAP is unlikely to go beyond level 2 although this is still open to discussion. See Box 1 for additional insights into the potential complementarities between a TCAP and internationally recognized forest certification systems.

Dissemination / Communication

To ensure credibility and a positive influence on forest norms and practices, results should be made transparent and broadly disseminated.

APPENDIX 2 – Post Workshop Indicator Selection Process

The following section details the process through which the indicators have been refined since the completion of the workshop in Douala, Cameroon on 1-2 March, 2004. Refer to the Summary Workshop Report: “Voluntary and Independent Monitoring of Forest Concessions in Central Africa” for details regarding the process for identifying and modifying the indicators prior to and during the workshop.

Modifications in May 2004

The workshop was closed on March 2nd with an approved list of indicators that were the result of significant effort by the participants. However the indicators were not perfect. Generally they varied in scale/level of implementation, level of abstraction, and some could not likely be implemented. In response to these shortcomings, in May a revised version of the indicators was distributed for comment to the provisional Steering Committee members. Changes were made to the architecture or overall organization of the indicators as well as to the indicators themselves.

The new architecture of the indicators is depicted in Figure 1. It was modified to be more logical and respond directly to the needs identified in Douala – forest concession monitoring that is explicitly linked to and descriptive of “legality” AND describes voluntary efforts towards SFM. Therefore the indicators were split under two headings: I) Legality, and II) Progress towards and commitments made to SFM. The former are the proxy indicators for “legality” that came out of the workshop and by their nature are *compulsory*. The later are *voluntary* commitments and actions towards SFM.

Certain indicators were added and two have been removed in order to address the previously cited problems. Moreover, certain indicators were reworded in order to be more realistic and informative, all while maintaining it’s agreed upon intent.

Modifications in September 2004

Over the following months, comments were received from the provisional Steering Committee members. Comments were focused on several minor adjustments to the indicators including some wordsmithing and additions to the data sources required to monitor a given indicator. These comments were assessed and incorporated into the current version of indicators (see Appendix 3).

APPENDIX 3 – Indicators

Selected for the 2005 FORCOMS Initiative

World Resources Institute

Global Forest Watch

Reference ¹	Reference-Previous ²	Indicator	Category	Means of Verification	Nature and sources of data
I)		The concessionaire ³ respects its legal obligations			
I) 1		The concessionaire is legally entitled.			
I) 1.1	1.1	The concessionaire is a legal entity, is approved by the forest profession, and holds a legal forest title.	Legal	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Legal forest title • Business registration • Taxpayer identification • Company officially registered as bona fide logging company (MINEF) • Legal notice of cancellation of company registration as bona fide logging company (MINEF) • Legal notice of abandonment by company, government cancellation or transfer of forest title to a third party. • All other relevant documents <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Same as above <u>Others</u>
I) 1.2	3.2	The concessionaire follows the regulations and is up to date regarding all the various tax obligations (taxes, royalties, and other fiscal matters).	Legal	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Various official receipts <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Official receipts • Official request for payment • Notice of rectifications • Etc. <u>Others</u>
I) 2		The concessionaire respects its obligations regarding forest exploitation			
		Regarding the provisional and final management agreements			
I) 2.1	1.3	The concessionaire has (i) submitted and/or (ii) signed a provisional management agreement or any other equivalent document.	Legal	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> (i) Official confirmation of submission of provisional management agreement (ii) Official confirmation of signature of provisional management agreement <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Same as above <u>Others</u>

I) 2.2	1.3.1	The concessionaire has the capacity, either internally, or through a specialized firm, for the development of its forest management plan following the relevant forest regulations.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Employment contract of forest manager • Service contract with a recognized forest management consultant firm <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Interview with forest manager • Company forest management unit office visit
I) 2.3	1.5	The concessionaire has already begun planning or the data-collection and basic studies required for the drafting of the management plan and submits the results for approval with the relevant government agency, all according to a pre-established timeline.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <p>Progress report pertaining to :</p> <ul style="list-style-type: none"> • Sampling Plan (cartography and pre-inventory, including sampling rate) • Management inventory and cartographic report • Socio-economic study • Consultation report on user rights of local population • Wildlife and biodiversity study • Environmental impact study • Technico-economic and industrial development study • Non-timber forest products (NTFP) study <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Land-use plan and maps • Administration's field monitoring reports • Various communications <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
I) 2.4	1.6	The concessionaire has submitted the management plan for approval to the relevant government agency within the prescribed times.	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Forest management plan (FMP) • Official confirmation of submission of the FMP by the Administration in charge of forests. <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Forest management plan (FMP) • Official confirmation of submission of the FMP by the Administration in charge of forests. • Notes on FMP review from the Administration in charge of forests. <p><u>Others</u></p>
I) 2.5	1.6.1	The concessionaire has management plan approved by the relevant government agency	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Official government confirmation of approval of the FMP <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Official government confirmation of approval of FMP <p><u>Others</u></p>
I) 2.6	new	The concessionaire has a final agreement for forest exploitation of a given area from the relevant government agency	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Decree confirming final forest concession agreement <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Decree confirming final forest concession agreement. <p><u>Others</u></p>

		Regarding forest operations in general			
I) 2.7	1.7.2, 1.8	The physical limits of the concession and the annual logging coupes are visible on the ground as required by national standards.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> Provisional or final forest concession agreement Request for annual logging coupes including pre-harvesting forest inventory data and maps. Annual logging coupes certificate with accompanying maps <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> Administration's field monitoring reports Annual logging coupes certificate with accompanying maps <p><u>Others</u></p> <ul style="list-style-type: none"> Field visit
I) 2.8	1.7, 1.8	The concessionaire exploits only within the approved annual allowable cut areas according to the terms defined in the provisional or final management agreements.	Legal	Documents, Remote sensing, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <p>Review of forest concession agreements:</p> <ul style="list-style-type: none"> Annual logging coupes certificate with accompanying maps Monthly production reports Logging records Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> Field visit with GPS control points Remote sensing
I) 2.9	1.7.1, 1.8	The annual harvested volume from the approved allowable cut areas are in accordance with the volumes authorized by the relevant government agency.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> Logging records Forest production reports Annual logging coupes certificate with accompanying maps Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> Field visit
I) 2.10	1.9, 1.8	The concessionaire respects the minimum diameter of exploitation for the timber species authorized in the annual allowable cut certificate according to the stipulations of the approved management plan or forest code.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> Logging records Transport docketts FMP (if required) <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> Third party information Field visit

I) 2.11	new	The concessionaire exploits only the tree species authorized by the approved annual allowable cut certificate.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Third party information • Field visit
I) 2.12	1.10	The concessionaire marks all the harvested logs as well as the stumps in accordance with the regulations.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Transport docketts • Wood processing plant log input records <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Third party information • Field visit
I) 2.13	1.14	The concessionaire justifies the abandonment any harvested logs.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Transport docketts • Forest operations maps <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports • Official report of abandonment • Other official records <p><u>Others</u></p> <ul style="list-style-type: none"> • Third party information • Field visit
I) 3		The concessionaire respects its obligations regarding wood transformation.			
I) 3.1	4.6	The concessionaire respects the national regulations regarding the rate of local transformation of harvested timber.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Export statistics • Production statistics • Logging records • Wood processing plant log input records • Finished product records <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Export statistics • Yield studies • Laws and related regulations <p><u>Others</u></p> <ul style="list-style-type: none"> • Field and wood processing plant visit

I) 3.2	2	The concessionaire verifies and ensures that the logs purchased on the local market to be transformed in its installations are accompanied by all the necessary documentation to attest their legal origin.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the company</u></p> <ul style="list-style-type: none"> • Copy of forest title(s) and certificates of logging coupes for approved suppliers • Transport docketts • Proof of payment of forestry taxes • All other document that could confirm the legitimacy of external wood sources <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Monitoring of suppliers
I) 4		The concessionaire respects its obligations regarding social matters			
I) 4.1	3.2	All employees of the concessionaire are under contract and are paid and treated in conformity with the national regulations (labor code) and the collective agreements.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Internal company rules and policies • Copy of pertinent laws • Employment contracts • Collective agreement <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Reports of government labor inspection bureau • Laws <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Interview with employees
I) 4.2	4.4	The concessionaire makes the necessary efforts to favor the employment and training of the local population (as possible with local capacity).	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Company documents pertaining to hiring polices and initiatives. • Employment statistics and professional training reports • Socio-economic studies (a component of FMP) <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Interview with employees • Third party information • Interview with local populations
I) 4.3	4.5	The concessionaire respects the agreed upon stipulations (<i>cahier des charges</i>) regarding health, education, and socio-economic development, in particular with respect to local communities.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Contractual obligations • Official work completion records <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations

I) 4.4	4.1	The concessionaire takes into account the recognized local community's user rights in planning the management of forest resources.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Socio-economic studies (a component of FMP) <u>Types of documents to be provided by the Administration</u> <p>Others</p> <ul style="list-style-type: none"> Summary report on meetings with local communities Field visit Third party information Interview with local populations
I) 5					
The concessionaire respects its environmental obligations					
Regarding bushmeat					
I) 5.1	5.1	The concessionaire establishes and enforces internal procedures prohibiting the participation of its employees in poaching, commercial hunting, as well as the transport or the trade of bushmeat or hunting equipment.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Internal company rules and policies List of disciplinary actions imposed and other records application of internal regulations. <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> Report and follow-up on sanctions imposed by the government <p>Others</p> <ul style="list-style-type: none"> Summary report of extension activities Field visit Third party information Interview with local populations
I) 5.2	5.1	The concessionaire supports initiatives that make available alternative sources of protein at cost to its employees in order to minimize the consumption of bushmeat, for example through company stores or by supporting animal husbandry (fish culture, small animals or livestock husbandry).	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Internal company rules and policies Contractual obligations Project reports List of purchases List and status of ongoing operational projects <u>Types of documents to be provided by the Administration</u> <p>Others</p> <ul style="list-style-type: none"> Field visit Third party information Interview with local populations
I) 5.3	5.4	The concessionaire controls access to the forest concession through checkpoints at each road entering the concession.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Internal company rules and policies Official corporate documents Non-compliance report(s) submitted to the Administration Forest operations maps <u>Types of documents to be provided by the Administration</u> <p>Others</p> <ul style="list-style-type: none"> Field visit (barriers and checkpoints)

I) 5.4	5.5	The concessionaire closes the exploitation roads after completion of harvesting activities, with the approval of the proper authorities	Legal	Documents, Remote sensing, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Official corporate documents • Forest operations maps • Photos <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Remote sensing
Regarding physical infrastructures					
I) 5.5	5.3	The concessionaire has undergone an environmental impact study of the planned infrastructure and has put into place the identified mitigation efforts.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • FMP, • Terms of reference and impact studies • Official work completion records • Forest operations maps • Photos <u>Types of documents to be provided by the Administration</u> <u>Others</u> Field visit
II)		The concessionaire is engaged in the process of sustainable forest management beyond its legal obligations			
II) 1		The concessionaire is seriously engaged in the overall process of sustainable forest management			
II) 1.1	4.3	The concessionaire has a staff training policy aimed at reinforcing its own capacities in sustainable forest management.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Official corporate documents • Human resource development plan <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Interviews with personnel • Field visit
II) 1.2	6.1	The concessionaire has a permanent forest management unit to carry out and continuously monitor and update the forest management plan.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Organizational chart • List of personnel • CV of managers • Long-term service contract with specialized firm(s) • Records of actions undertaken and on internal procedures on sustainable management <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Interviews with personnel • Field visit

II) 1.3	1.2, 6.2	The concessionaire collaborates with scientific, technical, commercial, and nongovernmental organizations in order to improve its knowledge and capacities regarding the sustainable forest management of the concession.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Contracts or MOU for collaboration • Reports and documents of relevant organization <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 1.4	6.3	The concessionaire has taken the steps necessary to be considered for an internationally recognized forest certification system.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Service contract with an accredited consultant firm • Corporate strategic plan • Audit results • Various communications <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 1.5	new	The concessionaire is certified according to an internationally recognized forest certification system.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Service contract with an accredited consultant firm • Audit results <u>Types of documents to be provided by the Administration</u> <u>Others</u>
II) 2		The concessionaire is seriously engaged to improve its forest exploitation activities			
II) 2.1	1.14	The concessionaire develops and implements policies and practices aimed at minimizing the volume of wood pieces abandoned in log yards and in the forest, all aimed at Reduced Impact Logging.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Logging records • Transport dockets <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Administration's field monitoring reports <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 2.2	1.11, 1.12	The concessionaire develops and implements the directional felling techniques aimed at Reduced Impact Logging, including the necessary training of personnel.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Training plan and reports • Technical studies <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Interview with personnel

II) 2.3	1.11, 1.12	The concessionaire develops and implements policies and practices aimed at improved planning of forest roads, unloading trails, and the log yards consistent with Reduced Impact Logging techniques.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Training plan • Technical studies <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Interview with personnel
II) 3		The concessionaire is seriously engaged to improve its wood processing activities			
II) 3.1	4.6	The concessionaire surpasses local transformation rates required by the relevant forestry regulations (to favor local employment).	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Production reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Yield studies <u>Others</u> <ul style="list-style-type: none"> • Site visit
II) 3.2	1.13, 4.6	The concessionaire invests in production equipment, the processes and the staff training to improve the yield and local transformation rates.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Capital investment reports • Production reports (including wood processing yield studies) • Training reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Site visit
II) 3.3	new	The concessionaire increases investments in second and third level transformation	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Capital investment reports • Production reports (including wood processing yield studies) • Training reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Site visit
II) 3.4	new	The concessionaire develops the new products/markets and expands the number of timber species exploited.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Production and sales reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Site visit

II) 4		The concessionaire is seriously engaged to improve the socio-economic conditions of its employees and the local population			
II) 4.1	4.2	The concessionaire elaborates and implements consultation processes with the local populations, in collaboration with the relevant government agency and NGOs.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Same as above <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
II) 4.2	4.5	The concessionaire establishes medical and socio-economic infrastructures beyond the obligations described in the agreed upon stipulations (<i>cahier des charges</i>).	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. • Official work completion records <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
II) 5		The concessionaire is seriously engaged to minimize the impact of its activities on the environment			
Regarding bushmeat					
II) 5.1	5.2	The concessionaire participates in the development and contributes financially and materially to the implementation of a wildlife management plan, in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Wildlife management plan • Internal rules and policies • Summary of meetings, MOUs, agreements, etc • Official work completion records • Project and activity report <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Wildlife management plan • Summary of meetings, MOUs, agreements, etc <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations

II.5.2	5.1	The concessionaire supports the creation and development of a system of monitoring and control of hunting activities within the concession (for example through a brigade of Eco-guards at road checkpoints along and in the concession), in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Wildlife management plan • Employment contracts • Monitoring reports • Report on sanctions imposed <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Administration's field monitoring reports • Report on imposed sanctions <u>Others</u> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
		Regarding ecologically important sites			
II) 5.3	5.3	The concessionaire has identified and carried out an inventory including maps of ecologically important sites.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • FMP • Ecologically important sites inventory report • Land-use and infrastructure map <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 5.4	5.3	The concessionaire elaborates and implements an action plan aimed at the protection of ecologically important sites, in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Ecologically important sites protection action plan • FMP • Land-use and infrastructure map <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit

Notes

1. Forest certification implies both a verification of forest management operations for a given parcel of forest as well as a chain-of-custody system in place to track the forest product from the forest to end user.
2. WRI-GFW and partners are developing a framework that would guide such partnerships in multiple regions. As described in Appendix 1, Timber Compliance Assessment Partnerships (TCAP) would seek to assess compliance between certain norms, such as the law or a set of criteria of good management, and actual practices in the forest.
3. The first part of the series was the summary report resulting from the workshop “Voluntary and Independent Monitoring of Forest Concessions in Central Africa.” The third document will be a final report describing the results of the field testing phase and will lay out the final system design – due out in mid 2005.
4. A recent INDUFOR publication cited WWF statistics claiming that 70% of Gabonese and 50% of Cameroonian timber was illegal.
5. Various project phases are described in section 4.0.
6. FORCOMS is the current working title and is subject to change depending on partner feedback.
7. This architecture includes the headings, sub-headings, and indicators – respectively principles, criteria, and indicators if you will.
8. The extent, nature, and periodicity will be determined during the test phase (2).
9. The threshold of “sufficiently in compliance” will be an important although likely evolving decision to be made by the Steering Committee prior to the full launch of the System.
10. The steering committee will decide what content (disclaimers, waivers, background descriptions, “scores”, etc.) must be on this document. For example, it could simply attest to the compliance or non-compliance with either theme: Legality or voluntary progress towards SFM. Alternatively, the document could provide a more detailed treatment of scores by sub theme depending on the company’s needs.
11. These companies are selected in collaboration with IFIA and the private sector.
12. This will require, among other things, to obtain a consensus on the composition and responsibilities of the Steering Committee as well as the Permanent Secrétariat. The latter may be required in order to assure the overall daily management of the System, including the financial management of a trust fund. The mode of functioning of the organs will be defined and the legal aspects related to their constitution and management of funds will be studied as a part of phase two.
13. Reflects new architecture presented in Figure 1.
14. Reference used in version of indicators agreed upon at the Douala workshop (March 2, 2004) and presented in the final summary workshop report.
15. The concessionaire as used in this document includes the actual concession holder, as well as its employees and subcontractors engaged for all activities related to forest management or exploitation on behalf of the concessionaire.