

UNFF COUNTRY-LED INITIATIVE

REPUBLIC OF CONGO

**GLOBAL WORKSHOP ON TRANSFER OF ENVIRONMENTALLY
SOUND TECHNOLOGIES AND CAPACITY BUILDING FOR
SUSTAINABLE FOREST MANAGEMENT**

Brazzaville, Republic of Congo, 24 – 27 February 2004

REPORT

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I. INTRODUCTION

1. The Global Workshop on the Transfer of Environmentally Sound Technologies and Capacity Building for Sustainable Forest Management, a country-led initiative hosted by the Government of the Republic of Congo in support of the work of the United Nations Forum on Forests (UNFF), took place at the Hotel “Le Méridien”, in Brazzaville, from the 23rd to the 27th of February, 2004.
2. Although the Workshop was global in scope, it was held in Africa with strong participation by African countries. In this connection, it was noted that in the Declaration of the Africa Forest Law Enforcement and Governance Ministerial Conference, adopted at Yaoundé in October 2003, 31 African governments committed themselves at a high level to take action to improve forest governance, including by “...strengthening...the technical capacity of the forest sector.”
3. The Governments of Brazil, France, Indonesia, Italy, Norway, Senegal, the Republic of South Africa, Switzerland, the United Kingdom and the United States co-sponsored the Workshop; the Food and Agriculture Organization of the United Nations (FAO), the International Tropical Timber Organization (ITTO), the Center for International Forestry Research (CIFOR), the World Conservation Union (IUCN), as well as the French Agricultural Research Center for International Development (CIRAD) also cosponsored the meeting. The United Nations Office for Project Services (UNOPS) was in charge of the logistical aspects of the event.
4. The meeting was attended by 72 official representatives of 49 countries, as well as by 19 representatives of international organizations and major groups. The complete list of participants of the Global Workshop is attached to this report as Annex 1.
5. The participants chose H.E. Mr. Henri Djombo, Minister of Forestry and Environment of the Republic of Congo as President of the Workshop, assisted by Vice-Presidents H.E. Mr. Michel Salle, Minister of Forestry of the Central African Republic; Mr. Pekka Patosaari, Coordinator and Head of the Secretariat of the United Nations Forum on Forests; Mr. Jean-Laurent Pfund (Switzerland); and Mr. Edwin Brown (United States). The General Rapporteur of the Workshop was Mr. Grégoire Nkeoua, Director of Forests of the Ministry of Forestry and Environment of the Republic of Congo, and Mr. Alain Billand (France) was designated Deputy Rapporteur. Mr. John Hudson (United Kingdom) chaired the drafting group and Mr. Jean Noël Marien was the Head of the Secretariat.
6. The meeting was organized in the form of plenary and working group sessions. The program of the Workshop is attached as Annex 2. Participants from Brazil, France, Kenya, Indonesia, Italy, Pakistan, the Russian Federation, Senegal, South Africa, Switzerland, the United Kingdom and the United States served as Chairs and Vice-Chairs of the various sessions, and representatives of the International Union of Forest Research Organizations (IUFRO), the World Agroforestry Centre (ICRAF), FAO, CIRAD, CIFOR and ITTO provided technical support as session rapporteurs.
7. Mr. Pekka Patosaari, Coordinator and Head of the Secretariat of the United Nations Forum on Forests, welcomed the participants to the Global Workshop It was

officially opened, on behalf of H.E. Mr. Dennis Sassou Nguesso, President of the Republic of Congo, by H.E. Mr. I. Mvouba, Minister of State responsible for Governmental Coordination, and Minister of Transportation and Privatization. A copy of his opening speech is attached as Annex 3.

8. Background documents of the Workshop are listed in Annex 4. The working group reports are included in Annex 5.

9. The participants expressed their profound gratitude and appreciation to the Government and the People of the Republic of Congo for the gracious hospitality and kindness they received during their stay in the country.

10. The meeting acknowledged the comprehensive nature of the work of the UNFF Ad Hoc Expert Group on Finance and Transfer of Environmentally Sound Technologies (AHEG) that met in December 2003, and agreed that this country-led initiative should not duplicate the results of the Expert Group, but rather should validate them by building upon them to add value to the experts' conclusions and recommendations.

11. The expected outputs of the Workshop were:

- To identify key forest-related technologies for which transfer poses problems
- To identify barriers to the enabling conditions for the successful transfer of key environmentally sustainable forest-related technologies
- Assessment of ways to facilitate technology transfer
- A framework that encourages the successful implementation of the technologies and knowledge identified and requested

12. The Workshop requested the Host Country, the Republic of Congo, to submit this report which was adopted by the participants to the Secretary General of the United Nations to be included as part of the documentation of the fourth session of the UNFF.

II. CONCLUSIONS

Environmentally sound technologies for sustainable forest management

13. These environmentally sound technologies (EST) were categorized under two headings that could be integrated in order to promote sustainable forest management:

- “hard” technology including remote sensing and tracking equipment and software, biophysical sensors and biotechnology tools, harvesting and processing equipment
- “soft” technologies such as economic instruments, certification and monitoring schemes, negotiation and communication tools, silvicultural methods and forest growth models, reduced impact logging methods, land use and forest management planning technology etc.

14. The following are examples of uses of EST in sustainable forest management:
- development of forest management plans integrating various data with GIS, using growth models and consultation mechanisms with stakeholders;
 - efficient forest management methods including silvicultural systems, traditional knowledge and reduced impact logging.
 - sustainable use of forest genetic resources and biotechnologies to propagate species adapted to specific ecological and socioeconomic conditions;
 - norms and standards to minimize adverse impacts on water and soil resources and enhance positive environmental impacts;
 - planning and consultation techniques to promote social and economic benefits and secure land access;
 - agroforestry and small-scale community forestry, including traditional agro-sylvo-pastoral systems with low investments, for promoting the productivity of agricultural land use systems for poorest people.

Identifying barriers to EST transfer

15. The Workshop reviewed and endorsed the barriers to EST transfer identified by the Ad Hoc Expert Group. In addition it was noted that global experience in technology transfer in forestry is limited compared to some other sectors. The very nature of the forestry sector in most of the developing world requires that public-sector institutions play a prominent role in removing or reducing these barriers through policy or regulatory interventions.

Facilitating EST transfer and capacity building

16. It was recognized that a holistic approach is needed in EST transfer and capacity building. Past efforts have suffered from piecemeal approaches and resulted in limited impacts. Capacity building, investment and markets can be made to work together towards sustainable forest management. To a large extent, such an integrative approach depends on national political will and good governance, which are lacking in many cases.

17. Capacity encompasses enabling policies and incentives, appropriate legislation and regulation, effective enforcement, adequate information, and sufficient human resources in addition to EST. Investment is needed in capacity building, forest management and utilization of forest products (including industrial processing). Financing of this investment comes from private, public and mixed sources, both domestic and international. Markets can be another driver for SFM and adoption of EST.

18. Lack of political will to mobilize resources for SFM and adoption of EST is partly due to lack of understanding about the links between forests and such political priorities as poverty reduction, health, food security, water supply and biodiversity conservation. Nevertheless, forests are important as sources of income and employment, food and fodder, in protection of watersheds, and habitats of biological diversity. These roles can be enhanced by adoption of EST.

Building capacity

19. Capacity building is needed among a whole range of stakeholders including (i) government agencies, (ii) political decision-makers, (iii) local communities, (iv) the private sector, (v) the civil society and NGOs, (vi) educational institutions and systems, (vii) research institutions, as well as (viii) donors, financing agencies and other partners in development. Stakeholders face different institutional, financial and human resource constraints in fulfilling their roles in the process of EST transfer. User-based assessments on the needs and priorities for capacity building are needed.

20. Government services often have insufficient staff with inadequate technical competence to prepare, implement, and monitor forest management plans, and to implement sustainability criteria. Decentralised governance arrangements pose challenges and opportunities for capacity building. Local communities need technical knowledge and competence to sustainably manage their forests. They need stronger organization to effectively adopt EST. NGO technical capacity and skills also need to be improved to better assist local communities. Training institutions and systems, which should play a key role in addressing the above capacity constraints, are themselves frequently outdated and under-resourced.

Creating demand and enabling conditions

21. If there is no demand for EST by users and beneficiaries its transfer will not be successful, no matter how good the available technologies. Enabling conditions are fundamental for demand creation. They are influenced primarily by government actions such as appropriate legal and regulatory frameworks as well as macroeconomic and sectoral policies, and economic incentives targeted at EST adoption. These conditions are also influenced by multilateral organizations and financing institutions, private industries and investors, educational and research institutions and civil society organizations.

22. No single instrument can overcome the barriers prevalent in developing countries. All relevant critical enabling conditions have to be in place for EST to be transferred successfully.

Improving mechanisms for EST transfer

23. EST transfer takes place through various mechanisms such as commercial purchases, licensing, foreign direct investment, joint ventures, public-private partnerships (PPPs), equity investments, etc. But to ensure that the technologies are environmentally and socially beneficial often requires international support through: official development assistance (ODA), concessional financing, export credits and international information and knowledge networks. Many voluntary instruments, including adoption of standards, codes of conduct, etc. also offer opportunities to promote EST transfer. At present they are not widely used.

24. Governments are key players in EST transfer, particularly where public forest ownership is predominant. However, the private sector is often the primary agent for technology transfer within and between countries. Under commercial or contractual transactions the seller/provider and buyer/receiver of technology have clear motives for making the transfer successful. Market-based mechanisms are usually efficient but

they do not necessarily ensure that a technology produces environmental and social benefits. Experience suggests that regulatory pressure and incentives are needed to encourage private investment in EST.

25. Intermediaries who are knowledgeable about local conditions and the specific needs of potential users of EST are usually best placed to facilitate technology transfer. Furthermore, they can promote sharing of information and mutual learning at country and local levels.

Key role of research and development

26. National forestry research systems in most developing countries do not have adequate human and financial capacity to develop and adapt EST. They tend to work in isolation from policy makers, communities and other end users. This often results in poor relevance and low impact of research programs. Applied research would benefit from improved targeting to facilitate EST transfer and adoption. Emerging regional forestry research networks offer potential for improving national research capacity.

Information and monitoring

27. Lack of information hinders sharing and transfer of EST, especially among government agencies, SMEs and communities. This is so despite considerable investment in knowledge generation, and points to the inadequacy of existing information and communication systems.

28. If EST are to be successfully shared and transferred their impact on sustainable forest management must be monitored and assessed. Criteria and indicators and certification are examples of tools for this purpose.

Financing EST transfer and capacity building

29. The Workshop considered financing a pivotal issue for EST transfer and capacity building. Financing should not focus only on increasing the volume of finance, but also on how the existing flow can be made to work in support of sustainability objectives.

30. Developing countries face particular constraints in mobilising the requisite resources for development, acquisition and application of EST as well as for building human and institutional capacities. In some countries these constraints are largely a result of low levels of profitability and rent capture from forest management; the low priority given to the forest sector by governments; inadequate incentives for investments; and low levels of ODA being channelled to sustainable forest management.

31. The Workshop noted the need to increase the volume and improve the efficiency of financial flows. While recognizing the importance of international concessional financing, the Workshop stressed the need to generate funding from other national and international sources. All stakeholders, including local communities, governments, the private sector, civil society and NGOs, multinational corporations, international financial institutions and donors should play their due role.

32. Revenues generated from the utilization of forest resources, including payments for environmental services are important possible sources of finance for EST to supplement government budget allocations. Other national sources are forest-specific trust funds, the private sector and civil society. At the international level, ODA and foreign direct investment were recognized as the most important sources.

III. RECOMMENDATIONS

33. The Workshop made the following recommendations to improve the framework for EST transfer and capacity building for the consideration of the UNFF. These recommendations apply to the transfer of technologies that are ecologically sustainable, economically viable and socially acceptable.

Actions at the international level

34. CPF members and the donor community should enhance technical and financial assistance in EST transfer and capacity building to all stakeholders groups, including civil society organizations and communities. Existing capacities and need for strengthening should be assessed as part of the assistance provided.

35. CPF members should increase awareness among international stakeholders of the benefits that transferring forest-related EST can contribute to poverty alleviation, food security, health, biological diversity and conservation of natural resources.

36. CPF members should encourage EST development that is specifically targeted at developing countries.

37. CPF members should assist governments at their request in the revision and strengthening of forestry training and education institutions and systems at national, regional and international level.

38. CPF members and the donor community should assist regional research and information networks to facilitate cooperation and sharing of expertise and support in strengthening the capacity of the members of these networks, to develop and promulgate EST.

39. Governments and international stakeholders are encouraged to make greater use of the public/private partnership model as a means of promoting EST transfer.

40. UNFF and CPF members should help increase understanding of the potential and operational requirements of existing and new sources of funding for EST transfer such as payment for environmental services schemes (e.g. the Clean Development Mechanism - CDM), international EST-specific investment funds, or debt swaps.

41. International institutions involved in trade and investment financing should adopt investment criteria that promote EST transfer.

42. Development financing institutions should integrate transfer of forest-related EST into their multi-sectoral programs (e.g. structural adjustment, institutional reform and post-conflict reconstruction).
43. Donors should increase ODA and other support for development, transfer and adoption of EST, and move from a short-term project based approach to financing to a long-term program based approach to increase sustainability of funding and continued EST use.
44. Development financing institutions should provide funding for EST transfer on concessional terms where appropriate.
45. UNFF should consider organizing a meeting on new financing opportunities, as a follow-up of the 2nd AHEG and this Workshop, possibly as a country-led initiative in 2004 or 2005 in preparation for UNFF 5.

Actions at the national level

46. Forest administrations, education systems and research organizations should recognize that for EST transfer to be successful it should be designed to generate tangible benefits for end users and other beneficiaries.
47. Governments should design and implement incentives for adoption of EST by the private sector and remove disincentives that act as barriers, including trade barriers impeding EST transfer.
48. Governments and stakeholders should put in place clear, transparent and equitable rules and mechanisms to govern access to forest resources, their conservation and the sharing of benefits accruing from their use.
49. Governments and stakeholders should promote open access and exchange of information related to EST transfer, adoption and implementation. Pilot projects should be considered as useful ways to facilitate this process.
50. Governments should integrate the transfer and adoption of EST into relevant national policies (such as nfps or equivalent programs), increasing the funding to related activities, and strengthening intersectoral cooperation and coordination.
51. Governments should develop intellectual property rights (IPR) regimes that promote EST transfer, including those related to traditional knowledge.
52. Governments should put in place regulations to promote adoption of EST in forest management and industrial processing, and realization of EST-related benefits.
53. EST stakeholders should conduct socio-economic, cultural and environmental impact assessments in a participatory manner. Stakeholders should also document and assess traditional technologies such as agroforestry practices, soil and water conservation techniques, etc.

54. EST stakeholders should promote the use of voluntary instruments such as standards, certification and labeling, codes of conduct, etc. as means to facilitate wider use of EST.
55. Governments and other stakeholders should invest in national forestry research and development systems to contribute to EST transfer and adoption.
56. Governments should facilitate market access for private sector EST transfer.
57. Governments and national stakeholders should provide financing for EST transfer, adoption and operation through central and local government budget allocations; retention of a proportion of forest rents; national forest development funds; fiscal instruments; targeted micro-credit schemes; national trust funds; public/private partnerships; payment for environmental services (PES) schemes; etc.
58. Governments should establish sound legal frameworks and means for their enforcement, to promote EST adoption. Such frameworks should be flexible enough to internalize new knowledge from research or other sources of innovation.
59. Governments and stakeholders should recognize the important roles of local communities and women in successful EST transfer and implementation.
60. Governments should take account of the impacts of HIV/AIDS and related amelioration strategies in capacity building for sustaining EST implementation.

Annex 1
List of participants

Country		First Name	Last Name	Position	Organization
Angola	Mr.	Pedro	Goncalves	Conseiller du Ministre	Ambassade Angola, Congo Brazzaville
Argentina	Ms.	Mariana	Burghi	Progr. Productos Forestales No Madereros	Direccion de Bosques
Azerbaijan	Mr.	Musa	Shakiliyev	Head of Forests Development Department	Ministry of Ecology and Natural Resources
Brazil	Mr.	Tasso	Rezende de Azevedo	Director of the National Forestry Programme	Ministry of Environment
Burkina Faso	Mr.	Denis	Toe	Environnementaliste, Chargé de Programme "Evaluation Environnementale et Economie des Ressources Naturelles"	Secrétariat Permanent du Conseil National pour L'Environnement et le Développement Durable
Cambodia	Mr.	Sam Ang	Chea	Deputy Director of the Forestry Administration	Department of Forestry and Wildlife
Cambodia	Mr.	Kim Sun	Chheng	Director of the Forest Management Office	Department of Forestry and Wildlife
Cameroun	Mr.	David	Dipoko	Chancelier	Ambassade Cameroun, Brazzaville
Central Africa	Mr.	Michel	Salle	Ministre de la Forêt	Bangui
Central Africa	Mr.	Michel	Bonannée	Conseiller du Ministre	Ministère de la Forêt
Central Africa	Mr.	Gaston	Namdeganana	Ambassade Centre Afrique	Congo, Brazzaville
China	Mr.	Wang	Chun Feng	Director/Senior Engineer	Department of State Forestry Administration
Colombia	Mr.	Jorge	Betancur	First Secretary	Mission of Colombia, New York
Comoros	Mr.	Ali	Mohamed	Head of Forests Development Department	Comoros Gov, Box Ministry of Social Affairs
Congo	Mr.	Henri	Djombo	Ministre de l'Economie Forestière et de l'Environnement	
Congo	Mr.	Grégoire	Nkeoua	Directeur des Forêts	

Congo	Mr.	Alain Marius	Ngoya-Kessy	Directeur des Etudes et de la Planification	
Congo	Mr.	Julien	Onkagui	Conseiller aux Forêts	Ministère de l'Economie Forestière et de l'Environnement
Congo	Mr.	Victor	Bouetoukadilamio	Inspecteur Général de l'Economie Financière	
Congo	Mr.	Jacques	Kanwe	Directeur Général de l'Economie Forestière	
Congo	Mr.	Joachim	Okourangoulou	Directeur Général de l'Environnement	
Congo	Mr.	Antoire	Moutanda	Directeur du Service National de Reboisement	
Congo	Mr.	François	Ntsiba	Dir.Centre National d'Inventaires et Aménagt. Ress. Forest. & Fauniques	
Congo	Mr.	Yves	Dubois	Président de l'UNICONGO/FORETS	
Congo	Mr.	Alphonse	Batalou-Mbetani	Chercheur, Conservation Biodiversité, GERDIB	Délégation générale à la Recherche Scientifique et Technique
Congo	Mr.	Donatien	Nzala	Chef, Dept. Techniques Forestières, IDR, Université Marien Ngouabi	
Congo	Mr.	Jean de Dieu	Nzila	Chercheur à l'UR2PI	
Congo	Mr.	Aubin	Saya	Chercheur à l'UR2PI	
Congo	Mr.	Jean-Joël	Loumeto	Coordonnateur du RIAT	
Congo	Mr.	Lambert	Imbalo	Directeur de la Valorisation de Ressources Forestières	
Congo	Mr.	Jean Pierre	Mackita	Coordonnateur	COMADEG, BRAZZAVILLE
Congo	Mr.	Dominique	Nsosso	COCCE	Brazzaville, Congo
Congo	Mr.	Leonard	Mouboundou	Conseiller à l'Agriculture, Elevage et Pêche du Chef de l'Etat	

Congo	Mr.	Noé	Mabiala	Directeur de la Faune et des Aires Protégées par interim	
Congo	Mr.	Gabriel Valère	Eteka-Yemet	Directeur du Cabinet du Ministre de l'Economie et de l'Environnement	
Congo	Mr.	Maurice	Goma	Directeur Technique Eucalyptus du Congo	
Congo	Mr.	Mexan	Tabaka	Chef de Scierie	Brazzaville, Congo
Democratic Republic of Congo	Mr.	Nzolameso	Mawalala	Directeur de la Gestion Forestiere	Kinshasa, Congo
Costa Rica	Mr.	Edwin	Cyrus	Amistad Caribe Conservation Area Director	Ministry of Environment and Energy
Croatia	Mr.	Ivica	Grbac	Assistant Minister	Ministry of Agriculture, Forestry and Water Resource
Cuba	Mr.	Modesto	Fernandez Diaz	Officer for Environment	Ministry of Science, Technology and Environment
Finland	Mr.	Markku	Aho	Counsellor	Foreign Ministry
France	Mr.	Yves	Nouvelet	Counsellor	French Embassy
Gabon	Mr.	Madingou	Andre-Jules	Conseiller du Ministre	Ministere Economie Forestiere
Germany	Mr.	Mathias	Heinze	Conseiller Technique	Cooperation Allemande, BMZ/GTZ
Ghana	Mr.	Charles	Dei-Amoah	Manager Production	Resources Management Support Centre Forestry Commission
Guatemala	Mr.	Francisco	Vera Arana	Forestry Technician	Instituto Nacional de Bosques
Guyana	Mr.	James	Singh	Commissioner of Forests	Guyana Forestry Commission
Indonesia	Mr.	Tajudin Edy	Komar	Forest Ecologist	Ministry of Forestry
Italy	Mr.	Giovannino	Lopez	Expert	Ministry of Foreign Affairs
Ivory Coast	Mr.	Oura	Brou	Conseiller Technique du Directeur Général	Société de Développement des Forêts (SODEFOR)

Kenya	Ms.	Judith	Bahemuka	Ambassador/Permanent Representative	Kenya Mission to UN
Malaysia	Mr.	See Kiam	Thai	Director of Forest Management	Forestry Dept Peninsular Malaysia
Maroc	Mr.	Ahmed	Bel Hadj	Premier Secrétaire de l'Ambassade du Maroc	Ambassade du Maroc de Kinshasa
Nigeria	Mr.	Sylvester Aroboi	Okonofua	Assistant Director of Forestry	Federal Ministry of Environment
Pakistan	Mr.	Muhammad	Hassan	First Secretary	Pakistan Mission New York
Peru	Mr.	Javier	Martinez	Director of Planning and Forest Promotion	National Resources Institute
Philippines	Mr.	Rodulfo	Aguilar	Regional Technical Director -FMS DENR-5	Department of Environment and Natural Resources
Romania	Mr.	Viorel	Marinescu	Directeur	Ministry of Agriculture, Forest, Water and Environment
Russia	Mr.	Filipchuk	Andrey	Deputy Director	ARJSFM
Rwanda	Mr.	Augustin	Mihigo	Chef de Division Gestion de Forets	Ministère des Terres et des Forêts
Sao Tome et Prinicpe	M.	Horacio	Cravid		
Senegal	Mr.	Mamadou	Sangaré	Chef de Bureau	Ministère Environnement
South Africa	Mr.	Mike	Peter	Director: Forestry Technical and Information Services	Dept Water Affairs and Forestry
South Africa	Mr.	Motsamal	Nkosi	Deputy Director: International Liaison	Dept Water Affairs and Forestry
Sudan	Mr.	Omar	Manis	Deputy Permanent Representative/Member UNFF	Sudan Mission to the UN
Switzerland	Mr.	Jean-Laurent	Pfund	Directeur, Chargé de Programme Biodiversité-Forêt	Intercooperation, Suisse
Tanzania	Mr.	Thomas	Mbeyela	Senior Field Officer	Ministry of Water and Livestock Development
Thailand	Mr.	Boriphan	Tongvichit	Director	Watershed Conservation Development Center, Dpt. Of National Park Wildlife and Plant Conservation

Thailand	Mr.	Chavalit	Urapeepatanapong	Director Planning and Information Division	Royal Forest Department
Togo	Mr.	Kokou Treve	Tengue	Chef de Division Sylviculture	Direction des Eaux et Forêts
Trinidad	Mr.	Seepersad	Ramnarine	Deputy Director	Forestry Division
Ukraine	Mr.	Georgiy	Bondaruk	Scientific Secretary	Ukrainian Research Institute of Forestry
United States	Mr.	Edwin	Brown	Forest Programs Officer	U.S. Dept of State
United Kingdom	Mr.	John	Hudson	Senior Forestry Adviser	Dept of International Development
Organization Representatives		First Name	Last Name	Position	Organization
CIRAD-Forêt	Mr.	Alain	Billand	Chef de Programme	CIRAD-Foret, France
European Union	Mr.	Filippo	Saracco	Représentant Régional Forêts Environnement de l'UE	
FAO	Mr.	Oudara	Souvannavong	Forestier Principal	FAO, Rome
Farmapu-Inter & Cecotrap-rcogl	Mr.	Hibert	Kirongozi	-	Farmapu-Inter & Cecotrap-rcogl
Initiatives-Jeunes (Dem.Rep.Congo)	Mr.	Xavier	Ndonga Makusa	Président	Initiatives-Jeunes
International Institute of Tropical Agriculture	Ms.	Martine Parfaite	Ngobo Nkongo	Agroecology Consultant	International Institute of Tropical Agriculture
ITTO (International Tropical Timber Organization) Gabon	Mr.	Jean-Claude	Nguingiri	Regional Officer for Africa	ITTO (Int'l Tropical Timber Organization)
IUFRO	Mr.	Michael	Kleine	Dr.	IUFRO
Lusaka Agreement Task Force	Mr.	Ebayi	Bonaventure	Field Officer	Lusaka Agreement Task Force
Lusaka Agreement Task Force	Mr.	Clement	MWALE	Intelligence Officer	Lusaka Agreement Task Force
International Centre for Research in Agroforestry (ICRAF)	Mr.	August	Temu	ICRAF Representative	

OAB	Mr.	Emile	Mokoko Mongolo		
UNDP	Mr.	Jean Felix	Issanga	Programme Manager	UNDP Brazzaville
UNFF	Ms.	Barbara	Tavor Jainchill	Forest Policy Advisor	United Nations Forum on Forests
UNFF	Mr.	Pekka	Patosari	Coordinator and Head of the Secretariat	United Nations Forum on Forests
SPEAKERS – STAFF		First Name	Last Name	Position	Organization
France	Mr.	Bernard	Mallet		CIRAD
France	Mr.	Robert	Nasi		CIFOR
Finland	Mr.	Markku	Simula		INDUFOR
Chair person	Mr.	Samuel	Makon Wehiong	Président du Comité Technique de la Conférence	
Interpreter	Mr.	Roger Louis S.	Bong Bekondo	Interpreter	Presidency Cameroon
Interpreter	Mr.	Livinus	Atanga	Interpreter	Presidency Cameroon
Interpreter	Mr.	Antoine	Bousomog	Interpreter	Presidency Cameroon
Interpreter	Mr.	Emmanuel	Bisong Okie	Interpreter	Presidency Cameroon
Interpreter	Mr.	Emile Ange M.	Mbou-Mylondo	Interpreter	Congo
Interpreter	Mr.	Bernard	Eloko	Interpreter	Congo
Conference Coordinator	Ms.	Therese	Nzekio	Conference Coordinator	UNOPS, New York
Workshop Secretariat	Mr.	Jean Noel	Marien	Head Workshop Secretariat	CIRAD
Workshop Secretariat	Ms.	Emilie	Maubert	Workshop Secretariat	UNOPS, Congo

Annex 2
Detailed Plan

TUESDAY 24 FEBRUARY

8h00 – 10h00	REGISTRATION OF PARTICIPANTS
10h00 – 11h00	OPENING CEREMONY Statements from: <ul style="list-style-type: none">• <u>UNFF Secretariat</u>: P. Patosaari, Coordinator and Head• <u>Representatives of co-sponsor countries</u> : G. Lopez, Representative of Italy• <u>Republic of Congo</u> : H.E. I. Mvouba, Minister of State in charge of the Coordination of the Governmental Action, Minister of Transportation and Privatisations.
11h00 – 11h45	Welcoming Cocktail, to the invitation of Congo
11h45 – 12h45	PLENARY SESSION Election of the workshop bureaus <ul style="list-style-type: none">• <u>Bureau election</u>, presidents and rapporteurs of sessions• <u>Working groups bureaus election</u> Keynote paper¹ <u>Simula M.</u> (Indufor): Challenges of forestry-related technology transfer and capacity building
12h45 – 14h30	lunch
14h30 – 16h00	PLENARY SESSION Keynote papers <u>Souvannavong O.</u> (FAO): Economic, social, policy and institutional aspects of technology transfer in forestry <u>Mallet B.</u> (CIRAD): Information acquisition and data processing: new tools for SFM Discussion
16h00 – 16h30	coffee break
16h30 – 18h30	PLENARY SESSION Keynote papers (continued) <u>Nasi R.</u> (CIFOR) : From Science to Policy: getting forestry research into policy and practice <u>Nzila J.d.D.</u> (UR2PI) : Technology transfer and capacity building in the framework of SFM in Congo Discussion
18h30 – 21h00	Opening Cocktail to the invitation of the UNFF

¹ Length of presentation: 25 to 30 mn

WEDNESDAY 25 FEBRUARY

- 8h30 – 8h45** **PLENARY SESSION**
Aho M. : presentation of the works of the UNFF AHEG on Finance and Transfer of EST
- 8h45 - 10h00** **WORKING GROUPS**
GROUP 1 : Institutional framework and capacity building for the technology transfer
Discussion
- GROUP 2 : Towards a transfer of key technologies corresponding to real and priority needs**
Discussion
- GROUP 3 : Obstacles to and enabling conditions for the success of technology transfer**
Discussion
- 10h00 – 10h30** **Coffee break**
- 10h30 – 12h00** **WORKING GROUPS (continued)**
Discussions in groups
- 12h00 – 14h00** **lunch**
- 14h00 – 16h00** **WORKING GROUPS (continued)**
Discussions in groups
- 16h00 – 16h30** **coffee break**
- 16h30 – 18h00** **WORKING GROUPS (end)**
Drafting of groups reports

Voluntary communications during working groups

- Group 1 :** Peter M. : From policy and legislation to practice and indicators of sustainable forest management in South Africa
Loumeto J.J. : Forest resources and implementation of the UNCED texts in Congo: the contribution of the RIAT
- Group 2 :** Saya A : The eucalyptus root cutting: history and perspectives
Moutanda A : The Pilot Units of management, reforestation and agroforestry : a new approach of sustainable management in the Congolese forests
- Group 3 :** Pfund J.L.: Technology transfer: are there too many hidden aspects of the problems or is it really a catalyser of sustainable partnerships?
Goma M.: Advantages and constraints of the sustainable development of Eucalyptus industrial plantations in Congo

THURSDAY 26 FEBRUARY

- 8h30 – 10h00** **PLENARY SESSION**
Working groups synthesis
- Restitution of the working groups²
group 1 : O. Souvannavong
group 2 : B. Mallet
group 3 : R. Nasi
 - Discussion
- 10h00 – 10h30** **coffee break**
- 10h30 – 12h00** **PLENARY SESSION**
Discussion (continued)
- 12h30 – 18h00** **FIELD TRIP**
Site of Kintélé and plantations at Km 45
- 14h00 – ...** **DRAFTING GROUP**
Drafting of final report
- 20h00 – 23h00** **Cultural evening, to the invitation of Congo**
Olympic Hôtel
Dinner, theatre piece, pygmées danse

² 15 mn per report

FRIDAY 27 FEBRUARY

8h30 – 10h00

PLENARY SESSION
final report

- Presentation by Hudson J. of the proposed report
- Discussion
- Adoption

10h00 – 10h30

coffee break

10h30 – 13h00

CLOSING CEREMONY

- Reading by Nkeoua G. of the final report
- Statements from :

Representatives of the co-sponsor countries :

- Switzerland, Ambassador of in DRC, JP. Villard
- France, Benichou W.
- United States of America, Brown E.
- Republic of South Africa, Peter M.
- Indonesia, Komar T.E.

UNFF Secretariat:

Patosaari P, Coordinator and Head

Republic of Congo :

H.E. H. Djombo, Minister of Forest Economy and Environment

13h00

END OF THE WORKSHOP

Closing Cocktail to the invitation of Congo

Annex 3
Statement of His Excellency Isidore Mvouba,
Minister of State, in charge of the Governmental Action Coordination, Minister
of Transportation And Privatizations,

At the opening ceremony of the International Workshop on Transfer of
Environmentally Sound Technology and Capacity Building for Sustainable
Forest Management

Your Excellencies Ministers in charge of Forests in Central Africa,
Distinguished members of the Congolese Government,
Your Excellencies Ambassadors,
Mister the Coordinator and Head of the Secretariat of the United Nations Forum on
Forests,
Distinguished representatives of International and Intergovernmental Organisations,
Distinguished delegates,
Ladies and Gentlemen,

First of all, allow me to thank you for accepting the invitation of the Congolese Government to participate in this International Workshop on Sound Technology Transfer and Capacity Building for Sustainable Forest Management.

My thanks also go to Mister Pekka PATOSAARI, Coordinator and Head of the United Nations Forum on Forests, in acronym the UNFF, who agreed to answer the Congolese Government request of holding this workshop.

I would finally like to welcome our visitors coming from all over the world, and wish them a pleasant stay in Brazzaville.

Excellencies, Ladies and Gentlemen,

The United Nations Conference on Environment and Development held in Rio de Janeiro, Brazil, in 1992, was a turning point in forest management, notably for tropical forests that became reservoir of biological diversity.

Indeed, in Rio de Janeiro, the international community was committed to enable sustainable forest management, guaranteeing to maintain their ecological, economical, social functions, in the framework of a global sustainable development policy for our planet.

After Rio de Janeiro, a number of initiatives aiming the sustainable forest management were launched, among which some allowed the implementation and concerted efforts for new mechanisms, such as the Intergovernmental Panel on Forests and the Intergovernmental Forum on Forests.

Excellencies, Ladies and Gentlemen,

The monitoring of forest cover change, forest knowledge and its biological constituents, conservation, sustainable and environmental logging of forest resources can not be assured without controlling and implementing appropriate sound technologies, that should be accessible to all countries.

As well, plans and programs aiming at sustainable forest management can not be implemented and sound technology applied if our countries capacity is not developed in qualitative as well as quantitative ways.

Unfortunately, developing countries, where the tropical forests, lungs of the earth, are, don't have national capacities nor financial resources to manage forests in a sustainable manner.

Also, the high cost of qualifying training and technical products as well as constraining legislative and regulatory conditions make the transfer of technologies difficult.

It is then hard to pursue a deep analysis of appropriate measures towards these constraints, in view of facilitating sound technology transfer, guarantee of sustainable forest management. It is the noble mission assigned to this conference.

New partnership and real solidarity must be developed between our countries, so that we can achieve this global objective of conserving and use in a sustainable manner our forest ecosystems.

To do so, more important funds must be mobilised at the level of bilateral and multilateral cooperation organisms, in view of strengthening developing countries national capacity , through increased financing related to technology transfer programs.

Excellencies, Ladies and Gentlemen,

Concerning my country, I would like to recall that forest cover 20 million hectares, 60% of the national territory and represent the second national resource.

Under the will of His Excellency SASSOU NGUESSO, the country committed to implement a conservation and sustainable use of forests.

A number of initiatives were held, notably for managing forest concessions, preserving forest ecosystems especially fauna, forests regeneration with the international community support, that illustrate the political will and commitment of the Republic of Congo to promote sustainable forest resources management.

Some figures need to be recalled to illustrate these Congolese efforts in this sector:

- forest inventory of 8.201.519 hectares, that is 41% of the vegetal cover;
- the creation of protected areas covering approximately 3.665.000 hectares, that is 11,6% of national territory, of which 2.244.000 of productive forests;
- the settlement of eucalyptus clone plantations on 70.000 hectares, following the success of this specie root cutting technique developed in 1974 by the national forest research in collaboration with French scientists;
- creation of forest units management, basis of management, conservation, restoration and production of extents from 200.000 to 1.000.000 hectares, with exploitation rotations of 20 to 40 years.

A new forest law, devoted to sustainable forest management policy, was promulgated in 2000 and is now under application.

In the field of technology transfer, we can note that other countries used and developed the technique of cuttings developed in Congo, that allowed high yielding forest plantations.

Excellencies, Ladies and Gentlemen,

Congolese forests are part of the Congo Basin, all covering 237 million hectares, that is 70% of the vegetal African cover and 18% of world tropical forests.

Being aware that challenges to be tackled in the forest heritage management, Head of States of Central Africa, gathered in Yaoundé in 1999 committed to manage it in a concerted and sustainable manner.

A political and technical body of orientation, coordination and decision in the field of sustainable forest management in Central Africa was created. It is the Conference of Ministers in charge of Central Africa Forests, in short COMIFAC.

This institution adopted a plan of convergence, reference framework for priority actions to be taken by COMIFAC in the fields of conservation and sustainable use of Congo Basin forests.

The Congo Basin Partnership, announced by the Government of United States September 14th 2002 in Johannesburg, with the presence of His Excellency Denis SASSOU NGUESSO, and in which we still wish a number of actors such as the G8 countries to participate, constitute an

opportunity for capacity building and technology transfer for sub-regional countries, with the view to preserve and manage the forests in a sustainable way.

Excellencies, Ladies and Gentlemen,

This meeting was made possible thanks to the financial support of the following countries and institutions: United States of America, France, Italy, Norway, Great Britain, Switzerland and FAO.

Other countries gave their moral support; it is South Africa, Senegal, Brazil and Indonesia.

Organisations such as the UNFF, UNOPS, CIFOR, FAO, ITTO and international and national experts worked hard for this workshop preparation.

I would like to seize this opportunity to express, on behalf of the Congolese Government, my deep and sincere gratitude for this multiform support, deeply appreciated, that they brought to this meeting organisation.

Excellencies, Ladies and Gentlemen,

The high level and experience of experts who are going to participate in this workshop, reassure me on the quality and significance of expected results.

I also hope that Brazzaville constitute a spot for the UNFF work.

I declare open the International Workshop on Sound Technology Transfer and Capacity Building for Sustainable Forest Management.

Vive la coopération internationale !!

Let's all work, united and in solidarity, for a real forest management.

I thank you.

Annex 4
Keynote papers

- Markku Simula, Esa Puustjärvi and Marko Katila, Indufor
Challenges of forestry related technology transfer and capacity building
- Bernard Mallet, CIRAD
Information acquisition and data processing: new tools for SFM
- Robert Nasi and Mike Spilsbury, CIFOR
From Science to Policy: getting forestry research into policy and practice
- FAO
Economic, social, policy and institutional aspects of technology transfer in forestry
- Jean de Dieu Nzila et al., UR2PI
Technology transfer and capacity building in the framework of SFM in Congo
- Report of the AHEG on Finance and Transfer of EST for SFM, Geneva, December 2003

Annex 5 Report of the Working Groups

Working Group 1

INSTITUTIONAL FRAMEWORK AND CAPACITY BUILDING FOR TRANSFER OF TECHNOLOGIES

INTRODUCTION

The group was composed of representatives of the following countries, Azerbaijan, Cambodia, Cameroon, Central African Republic, Congo, D.R. Congo, Costa Rica, Cuba, Finland, France, Ghana, Kenya, Malaysia, Nigeria, Russia, Rwanda, South Africa, Trinidad & Tobago, United Kingdom, and United States, as well as participants from FAO, ICRAF and the Lusaka Agreement Task Force. The representatives of France and South Africa were respectively Chair and Vice Chair of the group.

The group first defined the different categories of stakeholders in the process of transfer of technology for SFM, and main areas for capacity building. It then reviewed and discussed, for each category, constraints and needs in the different main areas for capacity building, as summarised in the attached matrix.

CONCLUSIONS

The group identified the different categories of stakeholders in the process of transfer of technology:

- Government sector and its systems
- Local communities
- Private sector
- Civil society and NGOs
- Educational institutions and systems
- Research institutions and systems
- Donors and other partners in development

The following key focus areas for capacity building for technology transfer were identified: Institutional structure, human resources, knowledge and information management, legal framework, research role, financial capacity, tools for SFM, and training role.

Further to the findings and recommendations of the Ad hoc expert group on finance and transfer of environmentally sound technologies, the group made the following findings.

In respect of **government sector**, there is a need to increase staff numbers and skills in the following specific areas:

- regulation in decentralised governance arrangements,
- management planning,
- information technology,
- social and communication, and
- law enforcement.

Information systems and databases on forests need to be developed and enhanced.

Governments need to review policies against domestic, regional and international requirements. There is also a need for harmonization of legislation at country level in respect to forestry. Inadequate supporting legislation prescribing or providing for ESTs, e.g. C&Is, certification, etc.

Government should give clear and effective guidance in focusing the research agenda.

Tools for SFM such as C&Is, should be advocated more strongly.

There is a need for more accurate and up-to-date information on existing skills and training needs. Government interaction with training institutions should be more effective.

Many of the above findings were found relevant to the **local communities**, for which the group identified the following specific key needs and constraints.

Organizational structures of local communities and their linkages to other group of stakeholders need to be strengthened.

As with government services, technical capacity to sustainably manage forests and to integrate new technologies need to be improved.

Access to information on forest management and on markets to local communities should be provided and enhanced. Traditional values and knowledge systems should be revitalized.

Understanding of rights in terms of legislation and capacity to exercise these rights need to be developed.

The capacity of local communities to influence the research agenda and participate in research should be developed.

Sharing of available expertise and knowledge between communities should be enhanced.

With regard to the **civil society, NGOs and CBOs**, it was found that their was a need to strengthen their capacity and awareness for them to fulfil their increasing role as interface between local communities and the rest of the sector, as well as their technical capacity to advise on SFM and to integrate new technologies.

Private sector needs to operate less in isolation for the rest of the sector. Co-management arrangements should be promoted to facilitate transfer of technology and capacity building.

Training institutions, systems and programmes need to be updated and developed to better address new needs, with support by the government and the sector.

Research institutions and systems should be more properly funded and focused for research priorities.

Donors often focus on capacitating governments and should orientate more towards the sector and communities. Some donors need to improve their capacity and knowledge of local needs to offer appropriate support and technologies.

RECOMMENDATIONS

The group supports recommendations made by the Ad hoc Expert Group on Finance and Transfer of EST, which cover many identified needs and constraints. Following complementary recommendations are made:

1. The donor community to consider structuring its support to local communities and other role players such as NGOs and private sector for technology transfer.

2. FAO, in collaboration with CPF members and networks to assess the present level of technology and capacity of different categories of stakeholders in SFM, for transfer and adoption of EST.
3. CPF members to support governments in defining and establishing arrangements, incentives and standards for financing EST development, dissemination and adoption. These should be designed to serve different the different groups of stakeholders.
4. UNFF to promote, and CPF members to facilitate global forest-specific EST information management and clearing-house arrangements, making use of existing bodies and systems in a coordinated manner.
5. Mechanisms available under international conventions impacting on forests should be used to facilitate the transfer of technologies for SFM.

Working Group 1
CAPACITY BUILDING NEEDS

Category of stakeholders	Institutional	Human resources	Knowledge management	Legal framework	Research capacity	Financial capacity	Criteria and indicators for SFM	Training
Government sectors and its systems	Appropriateness	Adequacy of establishment in relation to needs and skill areas: Social + Com skills, facilitation skills, functioning in decentralized mode, technical skills, planning, law enforcement, incentives, IT + modern Mgmt tools capacity	Technical capacity to monitor and control implementation of mgmt plans; Databases on forests and IT systems	State role and delegation, financing schemes, responsiveness of policy to changes in local and international needs, Harmonization of legislation relating to forestry, Performance standards for use of ESTs, promoting service providers in TT, inter-sectoral linkages	Understanding the value, Funding mechanisms, focusing research agenda (trade and markets, ecosystem dynamics, Partnership with private sector, social research)	Develop more favorable funding mechanisms for forestry (e.g. tax forest products and services), foresters engage in PRSP + Public Finance Mgmt + other forums (MTEF etc), CDM	Encouraging implementation and Monitoring tools	Carry out training needs assessment at all levels, strengthen training institutions and curricular content
Local community institutions	Networking, linking to other groups stakeholders, organizing and improving capacity of private smallholder groups	Technical capacity to sustainably manage forests and to integrate new technologies	Increase support by government for information on markets, opportunities Revitalising traditional values and systems	capacity to negotiate, interpret and apply the law with respect to their rights and values.	capacity to influence research agenda and participate in research			documentation, demonstration, exchange of traditional knowledge and experience

Category of stakeholders	Institutional	Human resources	Knowledge management	Legal framework	Research capacity	Financial capacity	Criteria and indicators for SFM	Training
Private sector + systems	Linking private sector to other stakeholder groups Improving understanding of local communities Public-private partnership							
Civil society + NGOs + systems	Improve capacity to serve as interface with local communities. Facilitation mechanisms.	Technical capacity to advise on sustainable management of forests and to integrate new technologies						
Donors and other partners in development	Raise awareness. Sensitize to the need for technology transfer. Improve understanding of local needs and priorities.							

Mechanisms available under International Conventions impacting on forests should be used to facilitate the transfer of technologies for SFM.

ECOLOGICALLY SUSTAINABLE TECHNOLOGIES AND CAPACITY BUILDING RELATED TO REAL AND PRIORITY NEEDS

INTRODUCTION

The group was composed of representatives of African countries (Congo, Burkina Faso, Cameroon, Senegal, Comoro), of Latin American countries (Argentina, Colombia, Guatemala, Peru), of Asia (Thailand) and of European countries (Croatia, Italy, Germany, France, Ukraine).

Representatives of forest administrations, national and international research organisations, and funding agencies, participate to the group. The group was chaired by representatives of Senegal and Brazil.

Two presentations were made by representatives of Congo (UR2PI and SNR) on eucalyptus clonal forest plantation and on ecological restoration in managed natural forest, as case studies related to technology transfer in forestry. A brief presentation was made by the Italian representative on the “Acacia operation” promoting acacias plantations and soil conservation in six arid African countries by using the “Vallerani system”.

The group addresses the question of key technologies related to sustainable forest management in relation with various forest ecosystems and in relation with diversified stakeholders involved in forest management. The chairman group and the rapporteur tried to summarize discussions and to propose recommendations.

CONCLUSIONS

What are the key technologies?

1. The group analyses the various technologies that could be used and transfer in order to promote sustainable forest management.
2. The definition presented by Dr. Simula indicates that “Ecological Sustainable Technologies (EST)” protect the environment, are less polluting, use resources in a sustainable manner, recycle more of their wastes and products, and handle all residual wastes in a more environmentally acceptable way than the technologies for which they are substitutes”.
3. The group **recommends** to authorities and to forest managers that EST should be transferred provided their application would be :
4. Ecologically sustainable
5. Economically viable
6. Socially acceptable.
7. Technologies by themselves are generally neutral, but their transfer and use in specific contexts and for specific objectives defines their impact, which can be considered as positive or negative depending on various stakeholders’ views.

These technologies could roughly be classified into:

8. - “hard technologies” involving tools such as spatialization tools (GPS, GIS software, satellite imagery), biophysical sensors, biotechnology tools,... which could be transferred from applied research or by purchasing and specific training of users,
9. - “soft technologies” which are much more related to strategy definition, management plan elaboration, methods, economic tools, negotiation practices, ... which need to be elaborated between stakeholders.
10. The group **recommends** to UNFF that EST is considered in the broad sense of both “hard technologies” and “soft technologies”, in order to promote “south – south” country experience transfer and to facilitate “in country” technology transfer.
11. In relation with sustainable forest management, these technologies could be transferred and used as :
12. - Strategic and planning tools (S&P)
13. - Socio Economic tools (S&E)
14. - Technical and operational tools (T&O)
15. - Research and monitoring tools (R&M)
16. Technology and tool transfer for sustainable forest management
17. Based on 2003 Geneva expert meeting, on key note presentations, and on their diversified experience, group participants propose a list of key elements of technologies whose adoption could promote effectively sustainable forest management, and give example of related tools to be used.

Key Elements of Technology	Examples of tools	S/P	S/E	TO	RM
• Negotiation tools for formal agreements	• Contract models, conflict management tools		X		
• Participatory Techniques	• Zoop; consultation mechanisms;	X	X		
• Networking	• Communication and mediation tools				
• Incentives and Penalties systems	• Subsidies, taxes, regulations, penalties strategies.	X	X		
• Market incentives	Certification, wood transformation,	X	X		
• Industrialization wood and non-wood products	Max-carbonization; minimum waste programs;	X	X	X	
• Health and Safety	• Development of codes of practice		X		
• Business development/capacity	• Business Plan; cost & benefit analysis; market survey	X	X		
• Management of geographic information	• GIS	X	X	X	X
• Mapping	• GPS; Participatory mapping			X	
• Land use planning	• GIS, regulations,	X	X		
• Management and operational plans	• GIS, growth models,	X	X	X	

• Valuation of forest	• Economic modelling		X		
• Traditional indigenous knowledge	• NWFP management, ...				
• Agroforestry practices	• Associated plantations, ...		X	X	
• Silviculture	• Thinning, pre-harvesting operations			X	X
• Soil and Water Conservation Systems	• Vallerani system, etc ...			X	
• Reduced impact logging	• Directional felling...			X	
• Biotechnology	• Genetic marker, micro propagation etc...			X	X
• Forest Dynamics	• Forest Growth models (software);			X	X
• Communication technology (including dissemination)	• Data bank systems; internet tools;				
• Capacity building	• Training and refreshing; advanced training;		X		X
• Environmental impact assessment	• Inventories, monitoring, ...			X	X
• Continuous monitoring and assessment	• Criteria & Indicators, inventories techniques • Independent Verification and Certification	X		X	
• Standardization	• ISO; ad hoc norms;			X	
• Applied Research	• Clearly targeted objectives in relation with priority needs			X	X

Specific technologies and tools for different forests

The group recognizes that situations are quite different depending on the nature of the forest ecosystem concerned (forest protected areas, managed natural forests, agroforestry systems, forests plantations) and of the main objectives given by the managers (biodiversity conservation, soil and water conservation, timber production, fuel wood production, non wood forest products, ecotourism, ...).

The group **recommends** to authorities and to forest managers that technologies and tools should be chosen, transfer and adapted accordingly to the forest situation and to its specific biodiversity, to type or organizations and to their main management objectives.

The role of efficient applied research and of education organisations is recognized as crucial for these topics.

Key technologies for whom

Various stakeholders are concerned by forest management, even if they are not involved in strategic or management decisions :

18. Policy makers / government and administrations
19. Private sector, including Industry and Professionals
20. Research and Education Institutions
21. Local community
22. Civil society

The group **recommends** that socio-economic and environmental impact assessment are conducted so that technology transfer promoted by authorities and/or forest managers should minimize potential negative impact and better improve livelihood of local communities and of civil society.

Even if key technologies/tools could be the same for Public forests, for Private Sector and for Community/Social forestry, the human and financial capacities do not generally allow the same set of technology transfer and tools use. National and local development and transfer of EST in developing countries is an important point to facilitate their proper adoption in the country.

The group **recommends** to forest administrations, to forest education systems and to applied research organisations that technologies should be adapted so that they could be accessible and adopted by various stakeholders involved in forest management.

Sharing fluxes and databanks related to EST has to be promoted both at international level, at national level and at local level by using appropriate means.

How to guarantee that EST are touching on real an priority needs?

23. Taking in account the various stakeholders involved in forest management, the group recommends that UNFF and national authorities promotes the involvement of all stakeholders in the definition of forest management objectives and in priority needs for technology transfer.
24. The move from “pure transfer” to “sharing and mutual learning” approach should be a major factor affecting efficient adoption of technologies to be “transferred”.
25. It should also be necessary to make sure that national/regional sharing technology strategies promoted by international/regional agencies is closely linked to the goals and strategies of the national/regional forest programs (and other programs linked to the forest) and to the needs of populations at local level.

Human and financial sustainability of the transfer of EST has also to be questioned in relation with recipient organisation situation, in order to avoid temporary transfer which may be at the end counter productive.

The group did not analyse capacity building as it is analysed by group 1, but insist on this fundamental dimension for successful EST transfer.

OBSTACLES TO AND ENABLING ENVIRONMENT FOR THE TRANSFER OF ENVIRONMENTALLY SOUND TECHNOLOGY

INTRODUCTION / MODUS OPERANDI

1. The work of the working group 3 started by a general introduction by the president followed by each participant introducing himself to the floor. They were 22 participants in the group from 14 countries, 3 intergovernmental organizations and 1 local non-governmental organization.
2. Given the theme and mandate of the group, three documents were considered as the bases for discussion:
 - Markku Simula's presentation and paper on challenges for technology transfer and capacity building in the forestry sector (Indufor paper)
 - Mike Spilsbury and Robert Nasi's presentation and paper on the interface between science and policy and how to get forestry research into policy and practice (CIFOR paper)
 - Report of the UNFF Ad Hoc Expert Group on financing and technology transfer (AHEG report)
3. After a general discussion about the best way to proceed, the group agreed that it should follow the typology of constraints defined in paragraph 39 of AHEG report: i) financial constraints, ii) institutional, policy and regulatory constraints, iii) capacity building constraints, iv) enabling environment constraints. Because of the themes and mandates of working groups 1 and 2, group 3 decided to focus on item i), ii) and iv). It was further noted that in fact these items were all related to the encompassing concept of enabling environment but also that financial issues were so important that they need to be dealt with separately. As a result, group 3 decided to focus its work by addressing financial and enabling environment related constraints.
4. The group considered that obstacles or barriers to technology transfer generated by financial and enabling environment constraints were already clearly identified into the 3 base documents. It recognized therefore that it was not necessary to discuss these in length once again. The group instead focused on the possible options for the removal of these constraints.

Financial constraints

5. Some of the financial constraints affecting TT of EST identified in the above mentioned three base documents are: i) shortage of local resources, ii) high cost of and limited financial resources to acquire and maintain EST, iii) generally low investment, iv) low percentage of development aid going to forest sector, v) low priority as compared to other social sectors.
6. In order to address the above constraints, the group started by identifying all the potential sources of funding for transfer of environmentally sound technologies (EST) at the national and international level. While doing it, it considered also paragraph 67 of the AHEG report.
7. The recommended financing mechanisms or approaches at **national** level are, inter alia:
 - Enhancing government budgets allocated to EST development and transfer

- Government redistribution of a proportion of the forest generated income to EST development and transfer (forest development funds)
- Government aid and subsidies in the context of decentralization or devolution
- Creating an enabling environment to attract private investment
- Micro-credit. Micro-finance schemes
- National private/ public partnerships
- National trust funds
- National payment for environmental services (PES) schemes

(The issue of government redistribution of a proportion of forest generated income triggered a lively discussion and raised the issue of conflicting interests and of the role of the national government in redistributing equitably the forest generated rent.)

8. The recommended financing mechanisms or approaches at **international** level are, inter alia:

- Increased Overseas Development Aid (bilateral and multilateral)
- International private / public partnerships
- Clean Development Mechanism (CDM) and other (PES) schemes
- International trust funds (EST specifics)
- Foreign direct investments (FDI)
- Debt swaps for adoption or development of EST
- Trade facilitation especially of EST related products

9. The group noted that all these mechanisms are already in place but the problem persists. In this regard the following issues /questions were raised. Was it because of :

- A funding level problem?
- A lack of coordination of all the available funding instruments?
- A lack of consultation of the needs of the so-called beneficiaries?
- Conflict of interests (local vs. national, national vs. international, forestry sector vs. other economic sectors, short-term vs. long-term considerations, etc.)?
- Unfulfilled commitments both at international and national levels?
- General ignorance of the role of forests and forest products in poverty reduction strategies?
- Or, most likely, a variable mix of all the above?

The group considered that addressing these issues would probably bring some innovative solutions to the financial nexus. Because of time constraints, it was not possible to explore all possible recommendations but the group is proposing some preliminary ideas at the national and international levels.

10. At the **national** level, governments could show their political will by, inter alia:

- putting TT of EST at the center of relevant policies
- increasing their funding level (using if necessary the forest generated income)

- searching for and promoting the most appropriate technologies, not necessarily the most advanced or costly ones
- organizing and facilitating inter-department cooperation and coordination

11. At the **international** level, the international community show its will by, inter alia:

- respecting the commitments made in favor of development, diffusion and adoption of EST
- favoring innovative financial mechanisms like CDM, PES or trust funds
- promoting solidarity between the producers and users so that the latter support the former in their quest for a more sustainable forest management and the use of EST (the ITTO consumer and producer groups were given as an example but there are others like fair-trade schemes for NTFP)
- recognizing the role of forests and forests products in food security and poverty alleviation
- moving from a short-term project based approach to financing to a more long-term program based approach to ensure sustainability of funding

Enabling environment related constraints

12. The group benefited from the presentation by Maurice Goma on ECO s.a. (Technical Director) as a real life example of technology transfer involving bilateral development aid, national government, national and foreign research organizations resulting in a state-of-the-art clonal Eucalypt plantation in the treeless savannas around Pointe Noire. This example and the subsequent discussed served as a fruitful introduction for the discussion on enabling environments. Several issues were raised giving hints of what would be the components of an enabling environment or the lack of it: potential environmental hazards, land tenure issues, participation problems, demography issues, etc.
13. After a discussion the group endorsed the ten dimensions of an 'ideal' enabling environments proposed in the CIFOR paper (Table 4), namely: i) National systems of innovation, ii) Social infrastructure and Participatory approaches, iii) Human and institutional capacity, iv) Macroeconomic policies, v) Sustainable markets, vi) National legal institutions, vii) Codes, standards, and certification, viii) Equity considerations, ix) Rights to productive resources and x) Research and technology development.
14. The group then decided to put a particular emphasis of some aspects deemed of utmost importance excluding items treated by the other working groups (institutional, capacity building issues) or already considered by working group 3 (financial issues).
15. At the same time the group recognized the quasi-impossibility to really prioritize items or dimensions because the enabling environment is necessary a comprehensive combination of policy tools, human and institutional capacity, technology absorption capacity as well as social construct.
16. Keeping in mind the above caveat, the means of implementation deemed most important by the group to achieve an enabling environment were:
17. At **national** level
 - the integration of EST development and adoption into national policies and regulations
 - the design and implementation of incentive policies for the use of EST by the private or public forestry sector (e.g. lowering taxes), as well as disincentive ones for not using EST (e.g. increasing taxes)

- the removal of internal barriers to the importation or exportation of EST
- by creating the conditions conducive to investment for EST (e.g. ‘leveling the playing field’, adequate justice system, etc.)
- ensuring clear, transparent and equitable rules to access the forest resource and share the benefits of its use
- promoting the flow, exchange of information
- adequately investing in research and development both by public and private sectors

18. At **international** level

- by providing technical and financial assistance to developing countries
- by removing trade barriers to increase the flow of EST
- by offering to developing countries access to EST at concessional terms
- involving the powerful players (e.g. World Bank and other multilateral development banks) in favor of development and adoption of EST
- relaxing intellectual property right (IPR) regimes
- encouraging EST development which is specifically targeted at developing countries