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可持续发展委员会  
第三届会议  
1995年4月11日至28日  
临时议程项目6\*

审查部门分组：土地、荒漠化、森林和生物多样性

1995年4月6日

秘鲁常驻联合国代表给秘书长的信

谨转递1995年2月23日至25日在秘鲁塔拉波托举行的亚马孙森林可持续性准则和指标定义区域讲习会的最后文件。

讲习会由秘鲁外交部以亚马孙合作条约临时秘书处的身份召开的。

亚马孙合作条约缔约国玻利维亚、巴西、哥伦比亚、秘鲁、苏里南和委内瑞拉的代表参加了讲习会。另外参加者有这些活动的赞助者联合国粮食和农业组织(粮农组织)、欧洲联盟和世界资源研究所的技术人员。联合国开发计划署和国家机构及实体的技术人员也以观察员身份出席了会议。

请将这一报告作为在纽约举行的可持续发展委员会第三届会议的正式文件分发给荷。

秘鲁常驻联合国代表

大使

费尔南多·纪廉(签名)

\* E/CN.17/1995/1。

附 件

REGIONAL WORKSHOP ON THE DEFINITION OF CRITERIA AND  
INDICATORS FOR SUSTAINABILITY OF AMAZONIAN FORESTS

FINAL DOCUMENT

Tarapoto, Peru, February 25, 1995

In response to the invitation of the Ministry of Foreign Affairs of Peru, in its position as *Pro-Tempore* Secretariat of the Amazon Cooperation Treaty, representatives of Bolivia, Brazil, Colombia, Peru, Suriname and Venezuela, Countries Party of the Amazon Cooperation Treaty, advised by outstanding experts from the region, met at the "Regional Workshop on the Definition of Criteria and Indicators for Sustainability of Amazonian Forests", held in the city of Tarapoto, Peru, from February 23rd to 25th 1995. The event was attended by technicians from the United Nations Food and Agriculture Organisation (FAO), the European Union (EU) and the World Resources Institute (WRI), which sponsored the event; and from the United Nations Development Programme (UNDP) and national institutions and entities as observers,

The representatives of the Countries Party of the Amazon Cooperation Treaty:

In compliance with the commitments undertaken in the United Nations Conference on Environment and Development, held in Rio de Janeiro in June 1992, especially the text of Chapter 11 of Agenda 21, and mindful of the Rio Declaration on Environment and Development, and the Declaration of Principles for a World Consensus on Planning, Conservation and Sustainable Development of All Types of Forests,

Inspired by the mandates established in the Amazon Cooperation Treaty, whose First Article establishes that "The Contracting Parties accord to pool their efforts and hold joint actions to promote the harmonious development of their respective Amazonian territories, in such a way that these joint actions produce fair and mutually advantageous results, and entail the preservation of the environment and the conservation and rational use of the natural resources of these territories",

Aware of the importance of the Amazonian forests for each of the countries and re-assessing this geographical area as a human habitat,

Convinced of the enormous capacity for the creation of wealth of the Amazonian forest, which can and must be used sustainably to the benefit of the respective national economies, with the purpose of overcoming poverty,

Recognising similarly the importance of the Amazonian forest in maintaining world environment processes,

Highlighting the great convergence of interests of the Countries Party of the Amazon Cooperation Treaty,

Decide to formulate and recommend to their respective governments the adoption of the following

#### **TARAPOTO PROPOSAL ON CRITERIA AND INDICATORS FOR SUSTAINABILITY OF AMAZONIAN FORESTS**

**Whereas:**

The international debate on forests must bear in mind that the Amazonian ecosystems form part of territories under the jurisdiction of states where these fully exercise their sovereignty.

It is fundamental that besides its purely environmental aspects, the importance of the forest as an economic, cultural and social potential is recognised.

The economic dimension of the forest encompasses the natural forest heritage, including mineral reserves, sources of energy, tourist potential and the possibilities of human occupation for productive activities. The social and cultural dimension consists in its being a "habitat" of people, native or other, who depend on it for their livelihood and cultural development.

The sustainable use of the forest should be fostered, for its positive environmental, economic and social effects, but for this purpose timely and sufficient access to forest product markets is indispensable.

Forest management must reconcile the imperative of its economic valuation, which is to the benefit of national societies, with proper environmental protection.

Economic activity in the forest can be made compatible with the sustainable use of natural resources, via national development strategies. These should be designed to include a wider concept of the balance of costs and benefits, contemplating social equity, greater technological efficiency in production, the conservation of natural resources, respect for the cultural values of local populations and for their knowledge of the traditional use of the forests.

The Amazon has a population of 22 million, of which 60 percent are concentrated in the urban areas. The remainder are farmers, settlers, miners and indigenous populations.

The economic and social development of the population living in the Amazon must be compatible with the need to preserve the natural resources and the environment. Both criteria are complementary and fundamental elements in the development strategy.

As we approach the 21st century, the need to make real efforts for the sustainable development of the Amazon is becoming a high international priority and a challenge based on the sustainable development proposals of the Countries Party of the Amazon Cooperation Treaty, which together possess over half the world's tropical forests.

The Amazon countries are those most interested in the sustainable management of the forest. To accomplish this they need, among other things, improved institutional capacity, fairer prices for their products, the elimination of trade barriers and compensation for global environmental services.

Bearing in mind that one of the characteristics of the international economic order in the last twenty years has been the collapse of real raw materials prices, the Countries Party of the Amazon Cooperation Treaty accord that the trend to the imposition of tariff and other barriers must be reversed. These include discriminatory criteria such as the imposition of environmental conditions on tropical timber imports, especially those of high aggregate value.

Biological diversity, as a permanent source of resources, is an immense potential for the sustainable development of the region. Ensuring the sustainable production of the forest, through careful forest management techniques, is one of the main opportunities for conserving the region's biological diversity while not displacing economic development.

The harmonization of the forest policies of the Amazon Cooperation Treaty member countries should be encouraged, to define a concerted strategy which permits the establishment of principles for creating a basis of medium- and long-term commitments with the collaboration of the international community.

The identification of criteria and indicators for the sustainability of the Amazonian forests is an important step in the process of formulating sustainable proposals for use, compatible with economic and social development, and based on environmental criteria in which the Countries Party of the Amazon Cooperation.

Treaty establish within their respective Amazon territories the mechanisms for the qualitative and quantitative measurement of sustainability.

The representatives of the Countries Party of the Amazon Cooperation Treaty, with the purpose of contributing to the regional debate, present a set of twelve criteria and indicators for Amazonian forest sustainability, which may be revised and enriched periodically by national and regional level consultations, in order to incorporate progress in the concept of forest management and new technology.

## LIST OF CRITERIA AND INDICATORS FOR SUSTAINABILITY OF AMAZONIAN FORESTS

### 1. NATIONAL LEVEL

#### CRITERION 1: SOCIO-ECONOMIC BENEFITS

##### Indicators of Income, Production and Consumption

- a. Economic profitability of management and sustainable use of the forests.
- b. Sustainable production, consumption and extraction of forest products.
- c. Values of forest products from sustainable sources and from unsustainable sources as percentages of Gross National Product.
- d. Employment and direct and indirect income from sustainable activities in the forest sector and generation of forest-based employment in relation to total national employment.

CRITERION 2: POLICIES AND LEGAL-INSTITUTIONAL FRAMEWORK  
FOR SUSTAINABLE DEVELOPMENT OF THE FORESTS

Indicators:

- a. Appropriate political and legal framework that stimulates sustainable development as a joint effort between the various levels of government and non-governmental groups.
- b. Policies and legal framework for environmental planning through ecological-economic zoning.
- c. Capacity to implement international instruments on which the country is part.
- d. Harmonization and implementation of existing legislation in the country.

CRITERION 3: SUSTAINABLE FOREST PRODUCTION

Indicators:

- a. Extension and proportion of forest lands and forests dedicated to sustainable production in relation to the total permanent production area.
- b. Quantity and proportion of sustainable forest production in comparison with the national total forest production.
- c. Quantity and proportion of units of sustainable production, by area class, in comparison with the national total number of units.
- d. Area and percentage of forest lands managed for recreation and tourism, in relation to total forest area.
- e. Level of diversification of sustainable forest production.

CRITERION 4: CONSERVATION OF FOREST COVER AND OF  
BIOLOGICAL DIVERSITY

Indicators:

- a. Area, by forest type, in categories of protected areas, in relation to total forest area.
- b. Measures for "in situ" conservation of species in danger of extinction.

- c. Measures for the conservation of genetic resources.
- d. Area and percentage of forest affected by processes or other agents (insect attack, disease, fire, flooding etc.)
- e. Rate of natural regeneration, species composition and survival.
- f. Rate of conversion of forest cover to other uses.
- g. Area and percentage of forest lands with fundamental ecological changes.
- h. Impact of activities in other sectors on the conservation of forest ecosystems (mining, ranching, energy, infrastructure, etc.).

CRITERION 5: CONSERVATION AND INTEGRATED MANAGEMENT  
OF WATER AND SOIL RESOURCES

Indicators:

- a. Measures for soil conservation.
- b. Area and percentage of forest lands managed for environmental protection.
- c. Percentage of forest flooded in relation to the historic range of variation, and maintenance of the relationship between the forest and hydrobiological resources.
- d. Effects of forest conservation on the integrated management of water resources.

CRITERION 6: SCIENCE AND TECHNOLOGY FOR THE  
SUSTAINABLE DEVELOPMENT OF THE FORESTS.

Indicators:

- a. Quantity and quality of adequate technology for forest management and sustainable production.
- b. Level of recuperation and degree of use of autochthonous technologies.
- c. Investment in research, education and technology transfer.
- d. Quantity and quality of research and sustainable development in execution.

- e. Average per capita income in different forest sector activities.
- f. Efficiency and competitiveness of forest product production and processing systems.
- g. Impact of the economic use of forests on the availability of forest resources of importance to local populations.
- h. Relationship between direct and indirect uses of the forests.

Indicators of Investment and Economic Growth in the Forest Sector

- a. Annual investment in plantations, sustainable forest management and conservation in relation to total forest sector investment.
- b. Aggregate value of sustainable forest sector production.
- c. Rate of return on investment of the distinct economic activities in the sustainable forest sector, compared with rates of return in other sectors of the economy, considering all costs and benefits.
- d. Rate of increase of sustainable recreation and tourism activities.

Indicators of Cultural, Social and Spiritual Needs and Values

- a. Area and percentage of forest lands, in relation to total forest lands area, managed to protect cultural, social and spiritual needs and values.
- b. Area and percentage of forest lands use for purposes of supporting local populations.
- c. Level of participation of local populations in the management and in the benefits generated by forest activities.
- d. Development of productive alternatives to illicit crops and mining.



- e. Mechanisms for remuneration for traditional knowledge.
- f. Degree of access to technology and information by different social groups.

CRITERION 7: INSTITUTIONAL CAPACITY TO PROMOTE  
SUSTAINABLE DEVELOPMENT IN AMAZONIA

Indicators:

- a. Quantity and quality of institutions and of their intersectoral and inter-institutional coordination.
- b. Existence of plans and their degree of execution.
- c. Quantity and quality of education and research programs.
- d. Degree of effective participation by civil society academic institutions, grassroots groups, NGOs, trades unions and the private sector).

II. MANAGEMENT UNIT LEVEL

CRITERION 8: LEGAL AND INSTITUTIONAL FRAMEWORK

Indicators:

- a. Forest management plan approved by the competent authorities.
- b. Periodicity of evaluation of management plan implementation and average percentage of implementation.
- c. Legal framework that guarantees the stability of long-term investments in the forest sector.

CRITERION 9: SUSTAINABLE FOREST PRODUCTION

Indicators:

- a. Annual extraction of timber and non-timber forest products compatible with the sustainability capacity of the resource base.
- b. Area and percentage of forest soils affected by significant alterations in physical-chemical properties and erosion.

- c. Effectiveness of systems of administration and control.
- d. Degree of diversification of production.
- e. Degree of utilization of environmentally friendly technologies.

CRITERION 10: CONSERVATION OF FOREST ECOSYSTEMS

Indicators:

- a. Proportion of area of permanent production in areas of environmental protection.
- b. Measures to protect, recuperate and sustainably use wild populations of species in danger of extinction.
- c. Area and percentage of forest affected by processes or other natural agents (insect attack, disease, fire, etc.) and by human actions.
- d. Rates of regeneration and forest ecosystem structure.
- e. Soil conservation measures.
- f. Measures for protection of water courses from forest activities.

CRITERION 11: LOCAL SOCIO-ECONOMIC BENEFITS

Indicators:

- a. Quality of life of local populations.
- b. Profitability and rate of return of forest management.
- c. Efficiency of systems of production and transformation of forest products.
- d. Impact of the economic use of the forest on the availability of forest resources of importance to local populations.
- e. Amount of direct and indirect employment, and income level.
- f. Nature and quantity of benefits deriving from forest management.
- g. Annual quantity of products extracted per hectare.

- h. Aggregate value of production.
- i. Mechanisms for consultation and the effective participation of local communities in the management of forest resources, depending upon the scale of management.

### III. SERVICES AT THE GLOBAL LEVEL

#### CRITERION 12: ECONOMIC, SOCIAL AND ENVIRONMENTAL SERVICES PERFORMED BY AMAZONIAN FORESTS

##### Indicators:

- a. Contribution to satisfying the global demand for sustainably produced timber and non-timber forest products.
- b. Contribution to the global carbon balance.
- c. Contribution to the global water cycle.
- d. Contribution to the conservation of biological diversity.
- e. Contribution to radiation balance and regulation.
- f. Contribution to the maintenance of cultural values and diversity, and of indigenous and local populations' knowledge.
- g. Contribution to the economy, health, culture, science and recreation.

Tarapoto, February 25, 1995