

# SGS CH

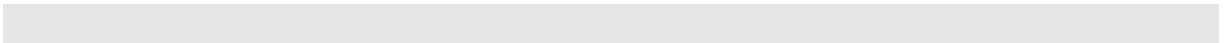
## FOREST MANAGEMENT GENERIC STANDARD

### 2023

This checklist presents the SGS CH Generic standard for forest certification against the FSC Principles and Criteria Version 4. This standard forms the basis for:

- Development of a local/ regional standard
- Scoping assessment
- Certification assessment
- Surveillance assessment
- Information to stakeholders on the assessment criteria used by SGS CH

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## CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD

Section	Change	Date
	Changes throughout	8 June 2011
Front Page	The address was updated – The Accredited office moved from ZA to Geneva in January 2021	6.2.2021
Principle 6	The standard is updated according to the FSC Advice 20 007- 22. <b>Changes are presented in Blue.</b>  The code of the document is updated according to the new Global Documents structure. Previous AD 33 V8 – become into the new GP4507F V9 for P&C V4	14.6.2023

## ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

### The objective of local adaptation of the SGS standard is to:

- i. identify any aspects of the standard that may be in conflict with legal requirements in the area in which the standard is to be used, and if such a conflict is identified shall evaluate it for the purposes of certification in discussion with the involved or affected parties. Conflict only occurs where a legal obligation *prevents the implementation* of some aspect of the generic standard. It is not considered a conflict if the requirements of the generic standard exceed the minimum requirements for legal compliance;
- ii. identify any aspects of its generic standard, which specify performance thresholds lower than the minimum legal requirement in the country concerned. If any such differences are identified the relevant thresholds shall be modified to ensure that they meet or exceed the minimum national requirements.
- iii. add specific indicators (with appropriate means of verification if required) and/or cross-references to the identified documentation to evaluate compliance with key requirements of the national and local forest laws, administrative requirements and multi-lateral environmental agreements related to the FSC Principles 1 - 10.
- iv. take account of the national context with regards to forest management;
- v. take account of national environmental, social and economic perspectives;
- vi. ensure that the standard is applicable and practical in the country concerned;
- vii. ensure that the standard is applicable and practical to the size and intensity of management of the Forest Management Unit concerned;
- viii. address specific issues that are of general concern to any stakeholder group in the country concerned.

### SGS is not required to seek or develop a consensus with regard to the modification of our generic standard. SGS will however make meaningful accommodation of stakeholder concerns and will be guided in this by:

- i. our knowledge of the indicators and means of verification that have been included in other, FSC-accredited, regional, national or sub-national standards, with regard to the issues raised;
- ii. advice provided in writing by the FSC National Initiative in the country concerned as to the likelihood that a proposed modification would have the support of the majority of the members of each chamber of an FSC working group active in that country;
- iii. advice provided in writing by an FSC Regional Office covering the country concerned, as to the likelihood that a proposed modification would have the support for the majority of FSC members of each chamber in the region.
- iv. the scale and intensity of forest management.

### SGS should be able to demonstrate that the requirements of the locally adapted generic standard are broadly in line with the requirements of other FSC-accredited national standards applicable to similar forest types in the region, and with any guidance received from an FSC National Initiative in the country concerned.

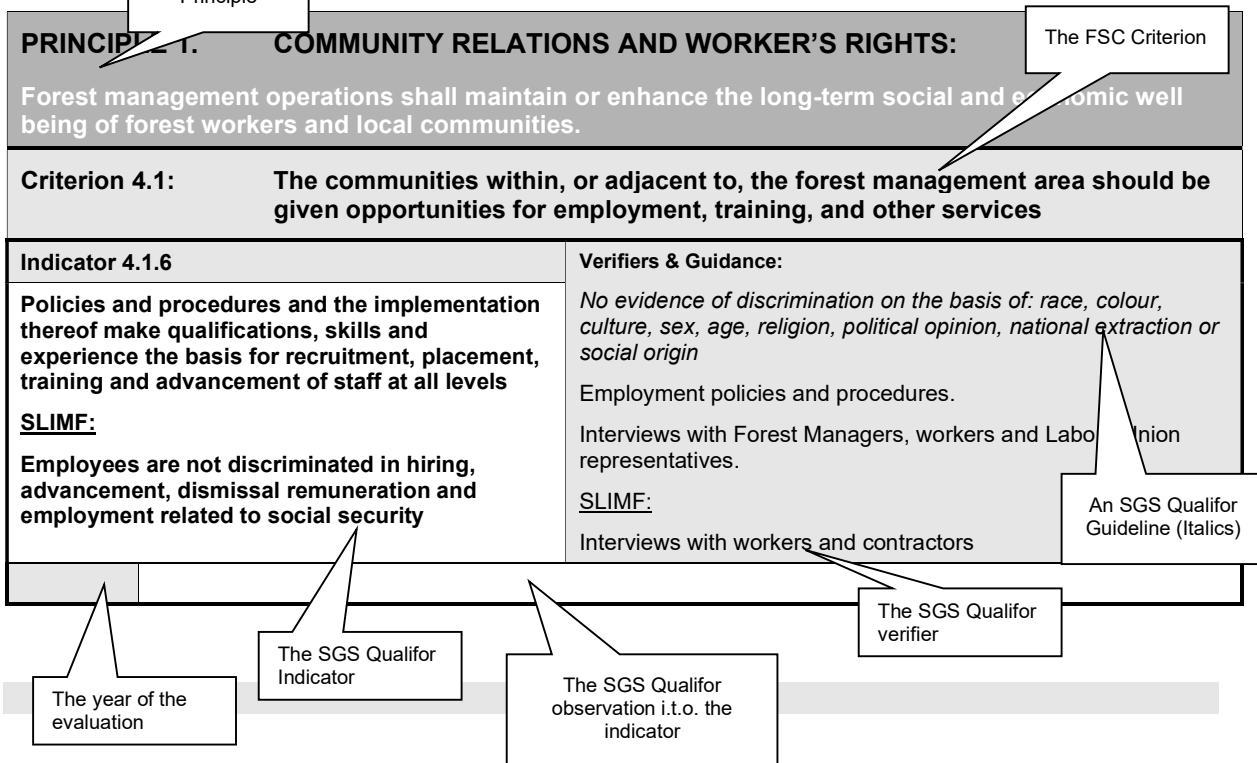
### SGS is not required to make further changes to the locally adapted standard used for an evaluation during the period of validity of the certificate except as necessary to bring it into compliance with any FSC Policies, Standards, Guidance or Advice Notes subsequently approved by FSC.

## LAYOUT OF THE STANDARD:

The standard follows the FSC Principles and Criteria of Forest Stewardship (January, 2000). The Standard is divided into 10 sections, each corresponding to one of the FSC principles with the criteria listed underneath each principle. Refer to the diagramme on the next page for further clarification.

Each page of the standard is divided into 3 columns. The standard also serves as the checklist that is used during an assessment and for every criterion the following is provided:

<b>The Requirement: Indicator</b>	This outlines the norm or indicators that requires for compliance with the specific FSC criterion. A potential source of information or evidence that allows an auditor to evaluate compliance with an indicator. Some indicators make a distinction between the requirements for “normal” forests and SLIMF operations (Small and Low Intensity Managed Forests).
<b>Verifiers</b>	<b>Verifiers</b> are examples of what the SGS assessor will look for to ascertain if the specific norm or indicator has been met. This list is not exhaustive and the assessor may use other means of verifying the relevant indicator.
<b>Guidance</b>	<b>Guidance</b> is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator.



## THE STANDARD

### PRINCIPLE 1. COMPLIANCE WITH LAWS AND FSC PRINCIPLES:

Forest management shall respect all applicable laws of the country in which they occur and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria

#### Criterion 1.1 Forest management shall respect all national and local laws and administrative requirements

<b>Indicator 1.1.1</b>	<b>Verifiers &amp; Guidance:</b> Interviews with and information supplied by regulatory authorities, other stakeholders and Forest Managers.  Control of required legal documentation, policies, operational procedures and standards demonstrate compliance with requirements.  <u>SLIME:</u>  The forest manager knows what the legislation requires.  Field observation and documentation available show that legislation is being complied with in-field.  <i>A legal non-compliance will be considered "significant" if:</i>  <i>i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or</i>  <i>ii. it is an intentional or a blatant/self-evident disregard for the law.</i>  <i>A legal non-compliance will not be considered "significant if the deviation is short-term, unintentional and without significant damage to the environment.</i>
<b>There is no evidence of significant non-compliance with all national and local laws and administrative requirements</b>	
<b>Indicator 1.1.2</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers and field observations.  List of applicable laws, regulations and national guidelines.
<b>Forest managers shall demonstrate awareness and compliance with relevant codes of practice, operational guidelines and other accepted norms or agreements.</b>	
<b>Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid</b>	
<b>Indicator 1.2.1</b>	<b>Verifiers &amp; Guidance:</b> Invoices, tax returns, receipts.  Interviews with and information supplied by regulatory authorities and other stakeholders.  No evidence of non-payment
<b>There is evidence that required payments have been made.</b>	
<b>Indicator 1.2.2</b>	<b>Verifiers &amp; Guidance:</b> Specific provisions in financial planning and long-term budgets.  <u>SLIME:</u>  Forest manager can explain how future costs will be provided
<b>Provision has been made to meet the costs of future fees</b>	

	for.
<b>Criterion 1.3</b>	<b>In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.</b>
<b>Indicator 1.3.1</b>	<b>Verifiers &amp; Guidance:</b>
There is awareness and implementation of the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such <b>SLIMF:</b> There is awareness of any local species that are covered by the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such	Interviews with Forest Managers Operational documentation Required licenses are in place
<b>Indicator 1.3.2</b>	<b>Verifiers &amp; Guidance:</b>
Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Labour Organisation (ILO) conventions that apply to their operations. ILO 87 and 98 are minimum requirements for certification. <b>SLIMF:</b> Forest Managers are aware of and have implemented controls to ensure continuing compliance with national legislation relating to labour matters	Interviews with Forest Managers, workers, contractors, labour unions and regulatory authorities. Review of policies, procedures and personnel records. <b>SLIMF:</b> Forest Managers are aware of the requirements and there are no objective evidence of non-compliance.
<b>Indicator 1.3.3</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with ITTA.	Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records
<b>Indicator 1.3.4</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Biodiversity Convention.	Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records.
<b>Criterion 1.4</b>	<b>Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties</b>
<b>Indicator 1.4.1</b>	<b>Verifiers &amp; Guidance:</b>
Any identified conflicts are brought to the attention of SGS and involved or affected	SGS will assess the conflict and advise on resolution thereof, where such were possible.

parties.	Interviews with Forest Managers and other stakeholders.
<b>Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities</b>	
<b>Indicator 1.5.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest Managers have taken reasonable measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.</b>	Field observations show no damage from unauthorised or illegal activities Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc Copies of reports made to the authorities of problem activities Boundaries are known to the manager and local communities and are easily identified in the field. Boundaries are marked in areas where there is a high risk of encroachment.
<b>Indicator 1.5.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>There are adequate personnel and surveillance resources to control such activities</b>	Field observations provide no evidence of ongoing illegal activities
<b>Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria</b>	
<b>Indicator 1.6.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>There is a publicly available policy endorsed by the owner/most senior management explicitly stating long term commitment to forest management practices consistent with the FSC Principles and Criteria</b> <b>SLIMF:</b> <b>The forest manager has plans to manage the forest in the long term in a way that is compatible with the FSC Principles and Criteria</b>	Written policy with appropriate statement is available <u>SLIMF:</u> The management plan Plans (written or informal) for investment, training, and sharing of income or other benefits Past management has been compatible with the P&C
<b>Indicator 1.6.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b> <b>The policy is communicated throughout the organisation (including to contractors) and to external stakeholders</b>	Interviews with Forest Managers, workers and stakeholders. Evidence of distribution of policy to stakeholders.
<b>Indicator 1.6.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where the owner/manager has some responsibility for forest lands not covered by the certificate, then there is a clear long term commitment to managing all forests in the spirit of the FSC P&amp;C</b>	<i>The applicant for certification must make a full disclosure of all forest areas over which the applicant has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. The disclosure shall be documented in the main assessment report. You must record full details of ownership, forest name, type, area and location for each such forest. This information must be made available to stakeholders as part of the consultation process.</i>  <i>When the evaluation does not include all the forest areas in which the applicant is involved, the applicant must explain the reasons for this, and the reasons must be documented in the</i>

	<p><i>main assessment report.</i></p> <p>Evidence of such other forest lands.</p> <p>Policies</p> <p>Interviews with Forest Managers.</p>
<b>Indicator 1.6.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Management of forest areas identified under 1.6.4 complies with the latest FSC Partial Certification Policy</b>	Interviews with Forest Managers, policies, procedures and field observations.
<b>PRINCIPLE 2. TENURE AND RIGHTS RESPONSIBILITIES:</b>	
Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.	
<b>Criterion 2.1 Clear, long-term tenure and forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated</b>	
<b>Indicator 2.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>There is documentation showing the owner/manager's legal rights to manage the land and/or utilise forest resources</b>	Documentation with appropriate legal status. Maps clearly indicating the boundaries of the FMU.
<b>Indicator 2.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.</b>	Policies and management plans make clear reference to management objectives that support this indicator.
<b>Indicator 2.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS standard or the objectives of the management plan.</b>	Provisions in agreement for tenure. FMU management plans. FMU long term strategies.
<b>Criterion 2.2 Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</b>	
<b>Indicator 2.2.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped</b>	Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives.
<b>Indicator 2.2.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.</b>	Forest management plans Field observations



<b>Indicator 2.2.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where communities have delegated control of their legal or customary tenure or use rights, or part thereof, this can be confirmed by documented agreements and/or interviews with representatives of the local communities</b>	Written agreements. Free and informed consent communicated by representatives of local communities. Clear evidence of payment for tenure or use rights.
<b>Indicator 2.2.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Allocation, by local communities, of duly recognized legal or customary tenure or use rights to other parties is documented, with evidence of free and informed consent</b>	Interviews with local communities. Written agreements. Free and informed consent communicated by representatives of local communities.
<b>Indicator 2.2.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>The forest is accessible to local rights holders to the extent that the forest's ecological function is not jeopardised.</b>	Interviews with local communities. Inspection of areas/resources where access and/or use has taken place.
<b>Criterion 2.3</b>	<b>Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified</b>
<b>Indicator 2.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Appropriate documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist</b> <b>SLIMF:</b> <b>There are no major unresolved disputes relating to tenure and use rights in the forest. Disputes or grievances are being resolved using locally accepted mechanisms and institutions.</b> <b>Measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided.</b>	Documented procedures. Interviews with Forest Managers and consultation with representatives of local communities. <i>Documented procedures are available that allow for a process that could generally be regarded as open and acceptable to all parties with an objective of achieving agreement and consent through fair consultation. Procedures should allow for impartial facilitation and resolution.</i> <b>SLIMF:</b> Interviews with Forest Manager and local community groups
<b>Indicator 2.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>The Forest Manager shall maintain a record of disputes and the status of their resolution, including evidence related to the dispute and documentation of steps taken to resolve the dispute.</b>	Documented records of disputes
<b>Indicator 2.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify</b>	<i>Magnitude of a dispute may be assessed by considering the scale at a landscape level associated with the opinion of a majority of community representatives and/or the time period over which the dispute has been in place</i>

an operation from being certified.	Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.
<b>Indicator 2.3.4</b> <b>(Not applicable to SLIMF)</b> <b>Dispute resolution procedures shall make provision for the requirement that where the future tenure or use rights of communities may be compromised, forest operations that are, or may be the direct cause of the dispute, will not be initiated or will be suspended until the dispute had been resolved.</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.
<b>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:</b> The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.	
<b>Criterion 3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</b>	
<b>Indicator 3.1.1</b> <b>Indigenous people who have customary or legal title to land and resources are identified and their entitlements recognised in management plans and the areas concerned demarcated on maps</b>	<b>Verifiers &amp; Guidance:</b> Management plans and maps. Consultation with representatives of indigenous peoples.
<b>Indicator 3.1.2</b> <b>Rights identified in terms of Indicator 3.1.1 are respected.</b>	<b>Verifiers &amp; Guidance:</b> Consultation with representatives of indigenous peoples.
<b>Indicator 3.1.3</b> <b>There is documented evidence that free and informed consent has been given by affected communities to allow forest management activities that may affect their use rights of the FMU.</b>	<b>Verifiers &amp; Guidance:</b> <i>Affected communities should have the financial, technical and logistical capacity to enable "free and informed consent"</i> Consultation with representatives of indigenous peoples. No evidence of disputes. Evidence that agreed payments for use right and/or resources are being made.
<b>Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples</b>	
<b>Indicator 3.2.1</b> <b>Any impacts of forest management on indigenous communities' resources or tenure rights are identified and recorded</b> <b>SLIMF:</b> <b>Any impacts of forest management on indigenous communities' resources or tenure</b>	<b>Verifiers &amp; Guidance:</b> Records or impact assessments. Consultation with representatives of indigenous peoples

rights are identified and known by the Forest Manager	
Indicator 3.2.2	<b>Verifiers &amp; Guidance:</b>
Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights	Records of meetings. Consultation with indigenous peoples
Indicator 3.2.3	<b>Verifiers &amp; Guidance:</b>
Forest Management will not proceed without clear evidence of the free and informed consent of the indigenous peoples claiming such land, territory or customary rights, accepting impacts identified in terms of Indicator 3.2.1. Where disputes arise post facto, operations affecting these rights will be suspended until such dispute had been resolved	Consultation with representatives of indigenous peoples. Records of dispute resolution
Indicator 3.2.4	<b>Verifiers &amp; Guidance:</b>
Actions are taken to prevent or mitigate adverse impacts	Field inspections and records of corrective actions
<b>Criterion 3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples [and other sections of the community] shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.</b>	
Indicator 3.3.1	<b>Verifiers &amp; Guidance:</b>
Sites of special cultural, historical, ecological, economic or religious significance are identified, described and mapped in co-operation with affected or interested stakeholders. <b>SLIMF:</b> Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.	Interviews with Forest Managers and consultation with stakeholders. Records and maps. Refer also to Indicator 7.1.1
Indicator 3.3.2	<b>Verifiers &amp; Guidance:</b>
Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested stakeholders <b>SLIMF:</b> Clear management objectives have been identified.	Management plans and documents. Consultation with stakeholders <b>SLIMF:</b> Interviews with the Forest Manager and field observations
Indicator 3.3.3	<b>Verifiers &amp; Guidance:</b>
Such areas are identified in working plans and demarcated in the field where this is considered appropriate	Operational plans and maps and field observation

<b>Indicator 3.3.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>All operators and contractors can identify such sites in the field and measures are in place to prevent any form of damage or disturbance, other than such agreed with stakeholders.</b>	Interviews with operators and field observations. Consultation with stakeholders
<b>Indicator 3.3.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Rights of access to these areas is permitted</b>	Consultation with stakeholders
<b>Criterion 3.4</b>	<b>Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</b>
<b>Indicator 3.4.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, is documented</b>	Documented records. Consultation with indigenous peoples.
<b>SLIMF:</b> <b>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, have been identified</b>	<u>SLIMF:</u> Interviews with Forest Manager and indigenous peoples/local communities
<b>Indicator 3.4.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Indigenous peoples shall be fully informed of the intent and nature of the use of their traditional knowledge by the assessed organisation. Such use will not proceed until indigenous peoples have agreed with free consent</b>	Records of meetings with representatives of indigenous peoples. Consultation with representatives of indigenous peoples. Agreements.
<b>Indicator 3.4.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>If such traditional knowledge is used for profit by the assessed organisation (or any other organisation under an agreement with the assessed organisation) compensation is formally agreed before such knowledge is used</b>	Agreements. Consultation with representatives of indigenous peoples
<b>Indicator 3.4.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>All agreed compensation is paid</b>	Financial records <u>SLIMF:</u> Interviews with indigenous peoples/local communities

**PRINCIPLE 4. COMMUNITY RELATIONS AND WORKER'S RIGHTS:**

Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

**Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services**

<p><b>Indicator 4.1.1</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>People in local communities are given opportunities in employment, training and contracting</b></p> <p><b>SLIMF:</b></p> <p><b>Local workers and contractors should be used wherever possible</b></p>	<p>Interviews with Forest Managers and workers.</p> <p>Consultation with representatives of local communities and labour unions.</p> <p>Training strategies.</p> <p>Job advertisements in local publications</p>
<p><b>Indicator 4.1.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>In <u>large scale organisations</u>, contracts are awarded through a transparent process on the basis of clear criteria; justification for final selections is documented</b></p>	<p>Interviews with contractors.</p> <p>Policies and procedures of the assessed organisation.</p> <p>Documentation on contracting of services.</p>
<p><b>Indicator 4.1.3</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>In <u>large scale organisations</u> training and/or other appropriate forms of assistance to local people and workers to meet the organisation's long-term staffing requirements are developed and supported.</b></p>	<p>Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit.</p> <p>Long-term training plans.</p> <p>Interviews with Forest Managers and workers.</p>
<p><b>Indicator 4.1.4</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>(Not applicable to SLIMF)</b></p> <p><b>Support is provided for local infrastructure and facilities at a level appropriate to the scale of the forest resources</b></p>	<p><i>Service provision and support for local infrastructure, facilities should, as a minimum, be consistent with meeting management plan objectives over the long term (e.g. provision of basic health, education and training facilities where these do not exist) as well as avoiding or mitigating any negative social impacts of the operations.</i></p> <p>Consultation with representatives of local communities</p> <p>Provision of training; schooling; medical; facilities; housing; accommodation</p>
<p><b>Indicator 4.1.5</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Where practicable, communities are given controlled access to forest and non-forest products on the FMU</b></p>	<p>Interviews with Forest Managers and local communities.</p> <p>Evidence of controlled harvesting activities</p>
<p><b>Indicator 4.1.6</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</b></p> <p><b>SLIMF:</b></p>	<p><i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i></p> <p>Employment policies and procedures.</p>

<b>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</b>	Interviews with Forest Managers, workers and Labour Union representatives. <u>SLIMF:</u> Interviews with workers and contractors
<b>Indicator 4.1.7</b>	<b>Verifiers &amp; Guidance:</b>
<b>All employees, contractors and sub-contractors must be paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region</b>	Benefits may include social security payments, pension, accommodation, food, etc. Records of payment Interviews with Forest Managers, workers and Labour Union representatives.
<b>Indicator 4.1.8</b>	<b>Verifiers &amp; Guidance:</b>
<b>No workers should be engaged in debt bondage or other forms of forced labour</b>	Interviews with Forest Managers, workers and Labour Union representatives
<b>Indicator 4.1.9</b>	<b>Verifiers &amp; Guidance:</b>
<b>Persons under 15 years are not employed in any forestry work</b>	<i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3.</i> Interviews with Forest Managers, workers and Labour Union representatives Observations in the work place.
<b>Indicator 4.1.10</b>	<b>Verifiers &amp; Guidance:</b>
<b>Persons under 18 years should not be employed at night or to carry out heavy work or hazardous operations, e.g. pesticide application, harvesting, except for the purposes of training</b>	<i>Where children and young persons are to be removed from employment in order to comply with this requirement, criterion 4.4 on social impact assessment and mitigation will apply. Organisations are expected to carry out a social impact assessment of the displacement of children from the workplace and effectively mitigate that impact e.g. provide suitable alternative sources of family income and ensure the children have access to adequate education facilities.</i>
<b>Criterion 4.2</b>	<b>Forest management <u>should</u> meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families</b>
<b>Indicator 4.2.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families and comply with such.</b> <b>For <u>large scale organisations</u> a written safety and health policy and management system are in place</b>	<i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i> Interviews with Forest Managers, workers and union representatives. Guidelines/regulations are readily available. Labour directives and inspection reports. Company OHS records
<b>Indicator 4.2.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest Managers have systematically assessed the risk associated with all tasks and equipment</b>	Interviews with Forest Managers, workers and union representatives.

<p>and prescribed appropriate safe procedures, the use of personal protective equipment (PPE), emergency procedures and key responsibilities.</p> <p>In <u>large scale organisations</u>, compliance with this requirement shall be supported by documentation</p> <p><b>SLIMF:</b></p> <p><u>All work done in the forest must comply with health and safety laws and regulations</u></p>	<p>Documented risk assessments.</p> <p><b>SLIMF:</b></p> <p>Equipment is available to workers</p> <p>Interviews with Forest Managers and workers</p> <p>Field observations</p>
<p><b>Indicator 4.2.3</b></p> <p>All workers have had relevant training in safe working practice and where required, hold the necessary skills certificates.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Training schedules and records</p> <p>Copies of skills certificates.</p>
<p><b>Indicator 4.2.4</b></p> <p>Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers</p>
<p><b>Indicator 4.2.5</b></p> <p>All necessary tools, machines, substances and equipment, including appropriate PPE, are available at the worksite and are in safe and serviceable condition</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations.</p>
<p><b>Indicator 4.2.6</b></p> <p>Managers take measures to ensure that workers use the PPE that is provided</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations</p>
<p><b>Indicator 4.2.7</b></p> <p>Health and safety records (including risk evaluations, accident records) are maintained and up-to-date</p> <p><b>SLIMF:</b></p> <p>Basic record is kept of health and safety related incidents</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records of accidents, incidents, instructions to supervisors and workers</p> <p><b>SLIMF:</b></p> <p>Records</p> <p>Interviews with Forest Manager and workers</p>
<p><b>Indicator 4.2.8</b></p> <p>All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers</p>
<p><b>Indicator 4.2.9</b></p> <p>Where located and provided on the FMU worker accommodation and nutrition comply, as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Managers and workers</p> <p>Inspection of facilities</p>

<b>Indicator 4.2.10</b>	<b>Verifiers &amp; Guidance:</b>
<p>There is evidence of a programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect forest workers or their families.</p> <p>For <u>large scale organisations</u> there is contribution towards or provision of a prevention and control programme for any illnesses and diseases endemic to the area that affect forest workers or their families</p> <p><u>SLIMF:</u></p> <p>There is evidence of a basic programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect workers or their families</p>	<p>Interviews with Forest Managers and workers.</p> <p>Interviews with social NGOs.</p> <p>Records of support.</p> <p>Health statistics for the region.</p> <p><u>SLIMF:</u></p> <p>Interviews with forest manager and workers</p>
<b>Criterion 4.3</b>	<b>The rights of the workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</b>
<b>Indicator 4.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<p>Workers are free to organise and or join a trade union of their choice without fear of intimidation or reprisal. This will at a minimum comply with the requirements of the ILO Convention No. 87: Convention concerning Freedom of Association and Protection of the Right to Organise</p>	<p>Interviews with Forest Managers, workers and labour union representatives.</p>
<b>Indicator 4.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<p>Workers are free to organise and bargain collectively. This will at a minimum comply with the requirements of International Labour Organisation convention 98, Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively</p>	<p>Interviews with Forest Managers, workers and labour union representatives</p>
<b>Indicator 4.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<p>There is an effective mechanism in place to provide information to, and enable the participation of workers in decision-making where this directly affects their working terms and conditions</p> <p><u>SLIMF:</u></p> <p>Workers or their representatives are accepted as participants in decision making</p>	<p>Interviews with Forest Managers, workers and labour union representatives</p>
<b>Criterion 4.4</b>	<b>Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</b>
<b>Indicator 4.4.1</b>	<b>Verifiers &amp; Guidance:</b>
<p>In conjunction with the local stakeholders affected and in accordance with the scale and</p>	<p><i>New operations will normally be subjected to formal impact assessments and these assessments must include the social</i></p>



<p><b>intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are evaluated.</b></p> <p><b>For <u>large scale organisations</u>, these impacts shall be documented</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</b></p> <p><b>The forest manager must try to avoid negative impacts of operations.</b></p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p> <p><b>The forest manager proactively seeks assistance from external organizations to carry out an assessment of social impacts and/or social impact monitoring and uses the results to plan future management.</b></p>	<p><i>environment. For ongoing operations it will be necessary to maintain communication with stakeholders and thus ensure the Forest Manager is aware of any current and/or potential impacts. Management plans must provide mitigatory measures to address such impacts, e.g. problems with dust or noise caused by operations are known and planning is adjusted to reduce or negate such</i></p> <p>Interviews with Forest Managers and local communities.</p> <p><u>SLIMF (Small Forests):</u></p> <p>Discussions with neighbours and forest manager</p> <p>Copies of newspaper advertisements, letters, posters and signs used to inform people of operations.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Copies of Social Impact Assessment reports</p> <p>Evidence of changes in management following results of an Social Impact Assessment <u>or</u> monitoring of social impacts.</p>
<p><b>Indicator 4.4.2</b></p> <p><b>(Not applicable to SLIMF)</b></p> <p><b>Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and local communities.</p> <p>Management plans</p>
<p><b>Indicator 4.4.3</b></p> <p><b>An up-to-date list of stakeholders is maintained</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders</p>
<p><b>Indicator 4.4.4</b></p> <p><b>(Not applicable to SLIMF)</b></p> <p><b>There is adequate and ongoing consultation with stakeholders (local people, workers and relevant organisations); in particular, stakeholders are aware that forest management plans and monitoring results are available for inspection, if high impact operations are planned, and that the FMU is being evaluated/monitored for certification</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p><b>Indicator 4.4.5</b></p> <p><b>Issues raised by stakeholders are treated constructively and objectively</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p><b>Indicator 4.4.6</b></p> <p><b>In <u>large scale operations</u>, communications with stakeholders on issues that require action and follow-up should be documented</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documentation of communication</p>

<b>Criterion 4.5</b>		<b>Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage</b>
<b>Indicator 4.5.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Every effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent</b>	Records Consultation with stakeholders and interviews with Forest Managers	
<b>Indicator 4.5.2</b>	<b>Verifiers &amp; Guidance:</b>	
<b>(Not applicable to SLIMF)</b>	Records	
<b>Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for <u>large scale operations</u>.</b>	Consultation with stakeholders and interviews with Forest Managers	
<b>PRINCIPLE 5. BENEFITS FROM THE FOREST:</b>		
Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.		
<b>Criterion 5.1</b>		<b>Forest management should strive towards economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest</b>
<b>Indicator 5.1.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Optimal use is made of the potential annual yield of forest products</b>	Annual plan of operations, budgets and financial statements. Yield estimates	
<b>Indicator 5.1.2</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Current and future budgets include specific provision for environmental and social, as well as all operational costs</b>	<i>Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, payments for environmental services rendered and subsidies.</i>	
<b><u>SLIMF</u></b>	Financial planning records and statements.	
<b>The Forest Manager is aiming to be in an economically viable situation which permits long term forest management</b>	Interviews with Forest Managers	
<b>Indicator 5.1.3</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Where necessary, investments are made to maintain the ecological productivity of the forest</b>	Interviews with Forest Managers and environmental NGOs. Plans and maps. Observation of ecosystems.	
<b>Criterion 5.2</b>		<b>Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</b>
<b>Indicator 5.2.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>(Not applicable to SLIMF)</b>	Interviews with Forest Managers and consultation with local communities.	
<b>The owner/manager should promote the</b>		

development of markets for and sustainable harvesting of common, lesser known plantation-grown or natural forest species and non-timber forest products		
<b>Indicator 5.2.2</b>	<b>Verifiers &amp; Guidance:</b>	
Local processing and markets are provided access to forest products available from the FMU, unless there is a justifiable reason for not doing so <u>SLIMF</u> Local processing is used where it is viable.	Interviews with Forest Managers and consultation with local communities. Evidence of opportunities to support local processing and markets. <u>SLIMF:</u> Details of sales of timber and information about local processing options.	
<b>Criterion 5.3 Forest management <u>should</u> minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</b>		
<b>Indicator 5.3.1</b>	<b>Verifiers &amp; Guidance:</b>	
Strategic and tactical/operational harvest planning and harvest operations should be carried out in accordance with national best practice guidelines (where these do not exist or are inadequate, for tropical high forest the FAO Model Code of Forest Harvesting Practice will apply) <u>SLIMF:</u> Wood waste and damage to the remaining forest during harvesting and on site processing are minimised.	Harvest plans Forest Managers' knowledge of local BOPs <u>SLIMF:</u> Field inspections Harvest records and sales volumes	
<b>Indicator 5.3.2</b>	<b>Verifiers &amp; Guidance:</b>	
Harvesting techniques are designed to avoid log breakage, timber degrade and damage to the forest stand	Interviews with Forest Managers, supervisors and workers. Observation of harvesting operations	
<b>Indicator 5.3.3</b>	<b>Verifiers &amp; Guidance:</b>	
Waste generated through harvesting operations, is minimised whilst leaving adequate organic material on the forest floor for soil conservation	<i>When timber products are removed from the stand sufficient material in the form of tops, branches and solid wood should remain behind to assist the natural nutrient cycle.</i> Observation of harvesting and on-site processing operations.	
<b>Indicator 5.3.4</b>	<b>Verifiers &amp; Guidance:</b>	
Harvested and processed wood and/or products processed on-site are transported from the forest before any deterioration occurs	Observation of harvesting operations. Records of timber deliveries	
<b>Criterion 5.4 Forest management <u>should</u> strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b>		
<b>Indicator 5.4.1</b>	<b>Verifiers &amp; Guidance:</b>	

<p><b>The forest should be managed for more than one product, considering both timber and non-timber forest products. Local initiatives involving the use, processing and/or marketing of forest products are encouraged.</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Not applicable</b></p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p> <p><b>Forest management should aim to avoid dependence on a single forest product. Local initiatives involving the use, processing and or marketing of forest products are encouraged.</b></p>	<p>Interviews with Forest Managers.</p> <p>Forest management planning</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Sales records.</p> <p>Discussions with local communities and the forest manager</p>
<p><b>Indicator 5.4.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>The utilisation of non-timber forest products by local community enterprises is encouraged</b></p>	<p>Interviews with Forest Managers and consultation with local communities.</p> <p>Evidence of NTFP sales or licenses or permits issued.</p>
<p><b>Criterion 5.5 Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b></p>	
<p><b>Indicator 5.5.1</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Forest managers are aware of the range of forest services and resources</b></p>	<p>Interviews with Forest Managers</p>
<p><b>Indicator 5.5.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Forest management practices minimise negative impacts on services and other forest resources</b></p>	<p>Interviews with Forest Managers</p>
<p><b>Indicator 5.5.3</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Forest management practices maintain and where appropriate, enhance the value of forest services and resources:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Monitoring evidence that services and resources are maintained</b></li> <li>▪ <b>Practices to enhance services and resources are evident.</b></li> </ul>	<p>Interviews with Forest Managers</p>
<p><b>Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.</b></p>	
<p><b>Indicator 5.6.1</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Data on forest growth, regeneration and volumes harvested and thinned are reported regularly and analysed in comparison with predicted volumes and growth data (data accuracy is appropriate to scale and intensity of management)</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Harvest levels are sustainable over the long term</b></p>	<p>Evidence of enumerations, yield calculations and harvesting planning</p> <p><u>SLIMF:</u></p> <p>Management plan</p> <p>Field observations of harvesting sites compared to areas planned for harvesting.</p>

<p>(a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely.</p> <p><b>SLIMF (Low Intensity Forests):</b></p> <p>Harvest limits are established at sustainable levels, based on conservative estimates of tree growth and yield rates. The harvest limits are stated in the management plan.</p>	<p>Maps of tree location</p> <p>Harvest and sales records and plans over the relevant time span.</p> <p>Data on likely or actual growth rates of species harvested.</p>
<p><b>Indicator 5.6.2</b></p> <p>Sustainable harvest and thinning intensities and frequencies have been calculated for the FMU based on the most up-to-date available information and do not exceed calculated replenishment rates over the long term.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Timber resource planning</p>
<p><b>Indicator 5.6.3</b></p> <p>Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plans</p>
<p><b>PRINCIPLE 6. ENVIRONMENTAL IMPACT:</b></p> <p>Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</p>	
<p><b>Criterion 6.1</b>      <b>Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.</b></p>	
<p><b>Indicator 6.1.1</b></p> <p>(Not applicable to SLIMF)</p> <p>The owner/manager has systematically identified and assessed the potential environmental impacts of all activities (including on-site processing facilities) carried out in the forest; the impacts of forest plans have been considered at the landscape level, taking account of the interaction with adjoining land and other nearby habitats. For <u>large scale organisations</u>, the results of these impact assessments shall be documented.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>For all operations or activities carried out on the FMU, there should be an evaluation of the possibility of the following potentially negative impacts being caused: soil erosion and compaction; changes to soil productivity; changes to invasive exotic, native or naturalised flora or fauna species abundance, diversity or distribution. Habitat fragmentation, pesticide, lubricant, nutrient or fertiliser pollution (by runoff, spray drift or spillage) and sedimentation of watercourses or water bodies; changes to water flow and drainage regimes of watercourses, water bodies, visual changes to prominent landscapes. Working Instruction 01 regarding on-site processing plants must be used as reference.</i></p> <p>Interviews with Forest Managers, environmental NGOs and government conservation agencies.</p>
<p><b>Indicator 6.1.2</b></p> <p>Site-specific assessments of the potential environmental impacts of all forest operations are carried out prior to commencement of site disturbing operations, in a manner appropriate to the scale of the operations and the sensitivity</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>A "significant activity is an activity that has the potential to cause environmental impacts that are:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Permanent or long term; or</i></li> </ul>

<p>of the site. Where such activities are considered “significant”, these site-specific assessments are documented. “Significant” activities shall include, but not be restricted to:</p> <ul style="list-style-type: none"> <li>▪ The building of new roads or substantial rerouting of existing roads;</li> <li>▪ Any form of flow restriction in streams and rivers;</li> <li>▪ Aforestation;</li> <li>▪ Change in genus in the reforestation of more than 100 ha during the same planting season within an operational/management unit, where an FMU comprises more than one;</li> <li>▪ Recreational activities and associated infrastructure</li> <li>▪ Communication masts and associated infrastructure</li> <li>▪ Power lines</li> <li>▪ Water lines</li> <li>▪ Change of natural vegetation to commercial or any other use.</li> <li>▪ Erection of new fences</li> <li>▪ Use of natural areas and products for commercial gain or any other purpose</li> <li>▪ New waste disposal sites;</li> <li>▪ Implementation of new/modified activities/products that may have significant impacts on the environment.</li> </ul> <p><b><u>SLIMF (Small Forests):</u></b></p> <p>Before starting any operation, the possible negative environmental impacts are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p> <p>Before starting any operation, the possible negative environmental impacts at the site and landscape levels are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p>	<ul style="list-style-type: none"> <li>▪ <i>Affects a wide environment</i></li> </ul> <p>An EIA is the <b>formal</b> procedure that is followed to collect, organise, analyse, interpret and communicate data that are relevant to making a decision. The procedure can however be followed as an <b>informal</b> assessment for a project such as the planning of a harvesting operation. The <b>purpose of an EIA</b> is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</p> <p>Principles that a <b>formal</b> EIA should comply with are:</p> <p><b>Informed Decision Making:</b> Decision-making should be based on reliable information.</p> <p><b>Accountability:</b> Responsibilities must be clearly defined.</p> <p><b>Environment in the Broadest Sense:</b> The environment includes all aspects (i.e. physical, social, political, economic, visual).</p> <p><b>Open Consultation:</b> Consultation with all interested and affected parties must be done in a transparent manner.</p> <p><b>Specialist Input:</b> Specialists in the particular field must support impact assessments.</p> <p><b>Alternatives:</b> Consider all possible alternatives in terms of location and activities.</p> <p><b>Mitigatory Measures:</b> Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</p> <p><b>Consider all Stages:</b> The assessment should consider all stages of the development, from the planning phase through to closure.</p> <p>Interviews with Forest Managers also testing their basic knowledge of EIAs.</p> <p>Records of assessments and decisions.</p> <p>Environmental management plans.</p> <p><b><u>SLIMF:</u></b></p> <p>Manager’s knowledge of the site and impacts of operations</p> <p>Field observations</p> <p>Management plan</p> <p>Documented environmental statement or assessment where legally required</p>
<p><b>Indicator 6.1.3</b></p> <p>All potential environmental impacts identified during assessments are considered during operations and planning and ensure that adverse impacts are avoided or mitigated</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>See also requirements 6.5.1 and 6.5.2.</p> <p>Interviews with Forest Managers, supervisors and workers also testing their knowledge of minimum requirements.</p> <p>Field observations and operational plans. For <u>large scale operations</u>, these provisions and controls will be documented in plans.</p>
<p><b>Indicator 6.1.4</b></p> <p>Timely corrective actions are considered and implemented to address both past and potential non-conformances.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b><u>Corrective Actions:</u></b></p> <p>The first <u>objective</u> is, whenever there is a non-conformance:</p> <ul style="list-style-type: none"> <li>▪ <i>action is taken to correct any damage to the environment</i></li> </ul>

	<p><i>that may have occurred (corrective action); and</i></p> <ul style="list-style-type: none"> <li>▪ <i>measures are instituted to prevent the non-conformance from recurring (preventive action).</i></li> </ul> <p><i>The <u>second objective</u> is to ensure that preventative action is taken where there is obvious potential for an activity to develop into a non-conformance with subsequent environmental impact(s).</i></p> <p><i>The <u>third objective</u> is to ensure that CARs are reviewed periodically to identify persistent problem areas and to ensure that such problem areas are appropriately addressed, in either a corrective or a preventative manner.</i></p> <p>Interviews with managers.</p> <p>Comparison of quality of ongoing operations and associated record of past CARs.</p>
<p><b>Indicator 6.1.5</b></p> <p><b>Corrective action requests (CARs) are recorded and closed out appropriately</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>Timeous corrective actions are taken</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><u>Records of CARs</u></p> <p><u>SLIMF:</u></p> <p>Interviews with the forest Manager and workers and field observations</p>
<p><b>Indicator 6.1.6</b></p> <p><b>Non-native plant (non-tree) and animal species are introduced and/or native species re-introduced only if consultation with acknowledged experts and regulatory authorities establishes that they are non-invasive and will bring environmental benefits; local stakeholders are consulted prior to any introduction; all introductions are closely monitored</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers, environmental NGOs and government agencies.</p> <p>Research briefs.</p> <p>Licences and permits.</p>
<p><b>Criterion 6.2</b>      <b>Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</b></p>	
<p><b>Indicator 6.2.1</b></p> <p><b>Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Where known, rare, threatened and endangered species and their habitats are protected.</b></p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p> <p><b>Where known, rare, threatened and endangered species and their habitats are mapped and protected.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Where survey data are incomplete, it should be assumed that relevant species ARE present.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Refer also to 7.1.7</p> <p><u>SLIMF (Small Forests):</u></p> <p>Manager's knowledge of rare, threatened and endangered species in the area.</p> <p>Records from other sources of species found on the site.</p> <p>Field observations of nesting and feeding areas of rare, threatened and endangered species.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Manager's and workers' knowledge of rare, threatened and endangered species in the area.</p>

	<p>Reports of training for forest workers on protection issues.</p> <p>Field observations of nesting and feeding areas of rare, threatened and endangered species.</p> <p>Reports of the conservation status of the FMU from other sources.</p>
<b>Indicator 6.2.2</b>	<b>Verifiers &amp; Guidance:</b>
<p>Where appropriate, there is co-operation with acknowledged experts, conservation organisations and regulatory authorities in identifying conservation zones and protection areas for rare, threatened and endangered species present; these habitats are demarcated on maps, and, where necessary, on the ground</p> <p><b>SLIMF:</b></p> <p>Other features which are important for conservation are identified and protected.</p>	<p>Records and maps.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p><b>SLIMF:</b></p> <p>Maps showing conservation features</p> <p>Field observations and interviews with forest manager</p>
<b>Indicator 6.2.3</b>	<b>Verifiers &amp; Guidance:</b>
<p>Rare, threatened and endangered species are protected during operations</p>	<p>Operational plans.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p>
<b>Indicator 6.2.4</b>	<b>Verifiers &amp; Guidance:</b>
<p>(Not applicable to SLIMF)</p> <p>Conservation zones and protection areas, representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</p> <p>Landscape scale conservation considerations are evident in field activities, staff/contractor actions and/or in coordination with adjoining landowners, conservation organizations or government conservation agencies.</p>	<p><i>Where less than 10% of the total area of large FMUs has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation with local experts and/or government agencies.</i></p> <p><i>For smaller FMUs the conservation zones and protection areas should exist within the FMU or in nearby landscapes.</i></p> <p>Plans and maps and records of completed work.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p>
<b>Indicator 6.2.5</b>	<b>Verifiers &amp; Guidance:</b>
<p>Conservation management and protection activities are demarcated on maps, implemented and their impact monitored.</p> <p>For <u>large scale organisations</u> these will be also be documented in plans.</p> <p><b>SLIMF:</b></p> <p>Conservation management and protection activities have been determined and are demarcated on maps</p>	<p>Plans and maps, including annual plan of operations.</p> <p>Field observations</p>
<b>Indicator 6.2.6</b>	<b>Verifiers &amp; Guidance:</b>
<p>Authorised hunting, fishing, grazing and collecting activities are managed to ensure they</p>	<p>Policies and procedures.</p>



do not exceed sustainable levels and inappropriate activities are prevented	Interviews with Forest Managers, local experts and government agencies. Field observations and records of collection.
<b>Criterion 6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including:</b> <ul style="list-style-type: none"> <li>▪ Forest regeneration and succession.</li> <li>▪ Genetic, species and ecosystem diversity.</li> <li>▪ Natural cycles that affect the productivity of the forest ecosystem.</li> </ul>	
<b>Indicator 6.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>The status of the FMU with regard to:</b> <ul style="list-style-type: none"> <li>▪ regeneration and succession</li> <li>▪ genetic, species and ecosystem diversity</li> <li>▪ natural cycles</li> </ul> <b>is known or estimated.</b>	<i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i> <ul style="list-style-type: none"> <li>▪ Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</li> <li>▪ Impacts of past management e.g. logging, collection of NTFPs, soil erosion</li> <li>▪ Distribution and status of plant communities;</li> <li>▪ Conservation status of native floral and faunal assemblages, species and their habitats;</li> <li>▪ Spread of invasive species</li> <li>▪ Ongoing soil erosion</li> <li>▪ Water quality</li> </ul> Records and maps Interviews with Forest Managers and local experts.
<b>Indicator 6.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</b>	Interviews with Forest Managers and local experts
<b>Indicator 6.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained and where appropriate, there is a programme for restoration of degraded sites</b>	<i>Enhancement, maintenance and restoration activities should be prepared to provide for the restoration of degraded natural areas, weed infestation, erosion, borrow pits, waste sites, quarries, etc.</i> Interviews with Forest Managers, local experts. Plans and maps and field observations.
<b>Indicator 6.3.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>In natural and semi-natural forest, natural regeneration is preferred where adequate for the meeting of management objectives; where artificial regeneration is planned, environmental impact has been assessed (refer Criterion 6.1)</b>	Plans and maps Interviews with Forest Managers, local experts

<b>Criterion 6.4</b>		<b>Representative samples of existing ecosystems within landscapes shall be protected in their natural state and recorded on maps, appropriate to the scale of operations and the uniqueness of the resource.</b>
<b>Indicator 6.4.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>For the protection and recording of representative samples of existing ecosystems in the landscape, refer to Criterion 6.2.</b>		
<b>Criterion 6.5</b>		
<b>Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</b>		
<b>Indicator 6.5.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>All environmentally sensitive forest operations are identified (see 6.1) and written guidelines defining acceptable practice are available to forest managers and supervisors; operational guidelines must meet or exceed national or regional best practice requirements</b> <b><u>SLIMF:</u></b> <b>All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.</b>	<i>Forest operations include: site preparation, fire belt management, planting, weed control, stand management, harvesting and extraction, road surfacing material extraction and excavation site closure, road network design, road design, construction, maintenance and closure.</i> Records, plans and maps. Interviews with Forest Managers and field observations. <b><u>SLIMF:</u></b> Interviews with Forest Managers and field observations Maps showing new roads and locations of new and ongoing operations	
<b>Indicator 6.5.2</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning</b>	<i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i> Operational plans, interviews with staff and field observations.	
<b>Indicator 6.5.3</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Buffer zones are maintained along watercourses and around water bodies. These buffer zones are demarcated on maps and comply with specifications made in national and regional best practice guidelines</b> <b><u>SLIMF:</u></b> <b>Buffer zones are maintained along watercourses and around water bodies and comply with national and regional best practice guidelines</b>	<i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i> Operational plans, interviews with staff and field observations.	
<b>Indicator 6.5.4</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Operators are aware of and able to implement adequate emergency procedures for clean up following accidental oil and chemical spillages</b>	Operational plans, interviews with staff and field observations. No evidence of significant spillages.	

<b>Criterion 6.6</b>		<b>Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</b>	
<b>Indicator 6.6.1</b>		<b>Verifiers &amp; Guidance:</b>	
<b>There is an up-to-date list of all pesticides used in the organisation that documents trade name, and active ingredient. Where not provided by the product label, authorised applications, application methods and rates will also be documented.</b>		<i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i>	
		Records of chemicals in use.	
		Receipts and invoices.	
		Procedures for the safe and appropriate use of chemicals	
<b>Indicator 6.6.2</b>		<b>Verifiers &amp; Guidance:</b>	
<b>Prohibited pesticides are not used except where:</b>		<i>Refer SGS Work Instruction 16 for:</i>	
<ul style="list-style-type: none"> <li>▪ a derogation of policy has been obtained from the FSC Secretariat; or</li> <li>▪ a temporary exemption has been authorised in terms of FSC-POL-30-001 and its associated documents.</li> </ul>		<ul style="list-style-type: none"> <li>▫ <i>Current list of prohibited pesticides;</i></li> <li>▫ <i>Derogations;</i></li> <li>▫ <i>Temporary derogations; and</i></li> <li>▫ <i>Use of prohibited chemicals for emergency situations.</i></li> </ul>	
		Chemical records	
<b>Indicator 6.6.3</b>		<b>Verifiers &amp; Guidance:</b>	
<b>Where chemicals are used on an ongoing basis the owner/manager must prepare and implement a strategy that will have at least the following components:</b>		<i>Usage, and reduction targets should be expressed on a per hectare basis and sub-divided according to operations and catchment/drainage basin; targets should be quantitative</i>	
<ul style="list-style-type: none"> <li>▪ reduction of use is stated as a long-term objective;</li> <li>▪ a range of methods for pesticide control providing justification for chemical-use as an option;</li> <li>▪ procedures that promote the optimal use of chemicals (timing, follow-up, equipment, etc)</li> <li>▪ clear measurable targets for long term chemical use; with reduction as the objective;</li> </ul>		<i>Some organisations may be allowed to increase use of certain chemical pesticides in the short or medium term, where the use of these pesticides is justified on social or environmental grounds, see 6.6.</i>	
<b>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</b>		This requirement applies to nurseries located on the certified FMU.	
<b><u>SLIMF:</u></b>		Documented long term strategy	
<b>Record is kept of the amount of chemicals used on the FMU and there is indication that alternative methods are being considered leading to a reduction in use of the long term</b>		Chemical use records.	
<b>Indicator 6.6.4</b>		<b>Verifiers &amp; Guidance:</b>	
<b>(Not applicable to SLIMF)</b>		<i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i>	
<b>Where pesticides are the preferred method of control for environmental or social reasons, the</b>			

consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts	Interviews with Forest Managers and local experts. Documented justification.
<b>Indicator 6.6.5</b> All transport, storage, handling, application and emergency procedures for clean up following accidental spillages of chemical pesticides comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'	<b>Verifiers &amp; Guidance:</b> Procedures and records. Interviews with staff
<b>Criterion 6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed in an environmentally appropriate manner at off-site locations.</b>	
<b>Indicator 6.7.1</b> The owner/manager should ensure that non-organic wastes (e.g. oil, tyres, containers, etc.), including those generated by contractors working on the FMU are recycled where recycling is possible	<b>Verifiers &amp; Guidance:</b> Field observations and interviews with staff
<b>Indicator 6.7.2</b> The owner/manager should ensure that waste that cannot be re-cycled, including that generated by contractors working on the FMU, is disposed of in environmentally appropriate ways.	<b>Verifiers &amp; Guidance:</b> <i>Waste includes:</i> <ul style="list-style-type: none"> <li>▪ Surplus chemicals</li> <li>▪ Chemical containers</li> <li>▪ Plastic waste</li> <li>▪ Fuels and lubricants</li> <li>▪ Worn vehicle tyres</li> <li>▪ Used vehicle batteries</li> <li>▪ Waste produced from processing operations</li> <li>▪ Domestic</li> </ul> Evidence that waste has been disposed off in an acceptable manner.
<b>Indicator 6.7.3</b> The owner/manager should ensure that the handling and disposal of chemicals and chemical containers, including that generated by contractors working on the FMU, should comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'	<b>Verifiers &amp; Guidance:</b> Interviews with staff
<b>Indicator 6.7.4</b> On-site facilities for easy collection of waste are provided	<b>Verifiers &amp; Guidance:</b> Presence of waste receptacles or other

<b>Criterion 6.8</b>		<b>Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</b>	
<b>Indicator 6.8.1</b>	<b>The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing excessive cost</b>	<b>Verifiers &amp; Guidance:</b>	
		Interviews with Forest Managers. Policies and procedures.	
<b>Indicator 6.8.2</b>	<b>Any use of biological control agents must be supported by documented justification which details: alternative methods of pest or disease control considered, ecological impact assessment, relevant organisations and regulatory authorities consulted</b>	<b>Verifiers &amp; Guidance:</b>	
		Documentation	
<b>Indicator 6.8.3</b>	<b>All activities where biological control agents are used are documented and monitored</b>	<b>Verifiers &amp; Guidance:</b>	
		Documentation	
<b>Indicator 6.8.4</b>	<b>No genetically modified organisms are used in management, production or research programmes within the FMU.</b>	<b>Verifiers &amp; Guidance:</b>	
		Interviews with staff. Records of biological material sources and supplies	
<b>Criterion 6.9</b>		<b>The use of exotic species shall be controlled and actively monitored to avoid adverse ecological impacts</b>	
<b>Indicator 6.9.1</b>	<b>Exotic species are assessed for adverse ecological impacts and such impacts avoided</b>	<b>Verifiers &amp; Guidance:</b>	
		Records of scientific studies. Interviews with Forest Managers	
<b>Indicator 6.9.2</b>	<b>Unwanted regeneration is monitored, and if necessary controlled</b>	<b>Verifiers &amp; Guidance:</b>	
		Monitoring records	
<b>Criterion 6.9 P&amp;C V5</b>			
<b>The Organization* shall not convert natural forest* or High Conservation Value* areas to plantations* or to non-forest land use, nor transform plantations on sites directly converted from natural forest to non-forest land use, except when the conversion:</b>			
<ul style="list-style-type: none"> <li>a) affects a very limited portion* of the Management Unit*, and</li> <li>b) will produce clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and Page 18 of 33 FSC Principles and Criteria for Forest Stewardship FSC-STD-01-001 V5-3 EN</li> <li>c) does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.</li> </ul>			
<b>Indicator 6.9.1 – P&amp;C V5</b>	<b>There is no conversion of natural forest or High</b>	<b>Verifiers &amp; Guidance:</b>	

<p>Conservation Value Areas to plantations, or to non-forest land-use, nor transformation of plantations on sites directly converted from natural forest to non-forest land-use, except when it:</p> <ol style="list-style-type: none"> <li>1) Affects a very limited portion of the Management Unit, and</li> <li>2) Will produce clear, substantial, additional, secure, long-term conservation and social benefits in the Management Unit, and</li> <li>3) Does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.</li> </ol>	<p><i>This Criterion &amp; Indicators is added into the SGS Generic Standard P&amp;C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans and maps.</p> <p>Field observations.</p>
<p><b>Criterion 6.10 – P&amp;C V5</b></p>	
<p>Management Units* containing plantations* that were established on areas converted from natural forest* between 1 December 1994 and 31 December 2020 shall not qualify for certification, except where:</p> <ol style="list-style-type: none"> <li>a) the conversion affected a very limited portion* of the Management Unit and is producing clear, substantial, additional, secure long term conservation* benefits in the Management Unit, or</li> <li>b) The Organization* which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or</li> <li>c) The Organization which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in the applicable FSC Remedy Framework.</li> </ol>	
<p><b>Indicator 6.10.1 P&amp;C V5</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p>Based on Best Available Information, accurate data is compiled on all conversions between 1 December 1994 and 31 December 2020 within the Management Unit.</p>	<p><i>This Criterion &amp; Indicators is added into the SGS Generic Standard P&amp;C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>
<p><b>Indicator 6.10.2 P&amp;C V5</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p>Areas converted from natural forest to plantation between 1 December 1994 and 31 December 2020 are not certified, except where:</p> <ol style="list-style-type: none"> <li>1) The conversion affected a very limited portion of the Management Unit and is producing clear, substantial, additional, secure long-term conservation benefits in the Management Unit, or</li> <li>2) The Organization which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or</li> <li>3) The Organization which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in</li> </ol>	<p><i>This Criterion &amp; Indicators is added into the SGS Generic Standard P&amp;C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>

<p>the applicable FSC Remedy Framework, or</p> <p>4) The Organization qualifies as a small-scale smallholder.</p>	
<p><b>Criterion 6.11 – P&amp;C V5</b></p> <p>Management Units* shall not qualify for certification if they contain natural forests* or High Conservation Value* areas converted after 31 December 2020, except where the conversion:</p> <p>a) affected a very limited portion* of the Management Unit, and</p> <p>b) is producing clear, substantial, additional, secure long-term conservation* and social benefits in the Management Unit, and</p> <p>c) did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.</p>	
<p><b>Indicator 6.11.1 P&amp;C V5</b></p> <p>Based on Best Available Information, accurate data is compiled on all conversions of natural forests and High Conservation Value Areas after 31 December 2020 within the Management Unit.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>This Criterion &amp; Indicators is added into the SGS Generic Standard P&amp;C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>
<p><b>Indicator 6.11.2 P&amp;C V5</b></p> <p>Areas where natural forests or High Conservation Value Areas have been converted after 31 December 2020 are not certified, except where the conversion:</p> <p>1) Affected a very limited portion of the Management Unit, and</p> <p>2) Is producing clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and</p> <p>3) Did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>This Criterion &amp; Indicators is added into the SGS Generic Standard P&amp;C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>

**PRINCIPLE 7. MANAGEMENT PLAN:**

A management plan - appropriate to the scale and intensity of the operations - shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.

<b>Criterion 7.1 The management plan and supporting documents shall provide:</b>	
<ul style="list-style-type: none"> <li>a) management objectives;</li> <li>b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;</li> <li>c) rationale for rate of annual harvest and species selection;</li> <li>d) provisions for monitoring of forest growth and dynamics;</li> <li>e) environmental safeguards based on environmental assessments;</li> <li>f) plans for the identification and protection of rare, threatened and endangered species;</li> <li>g) maps describing the forest resource base including protected areas, planned management activities and land ownership;</li> <li>h) description and justification of harvesting techniques and equipment to be used.</li> </ul>	
<b>Indicator 7.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<p>There is a management plan (or overview linking different planning documents)</p> <p><b>SLIMF:</b></p> <p>Management plans may consist of brief notes and a map</p>	<p>Management plan</p> <p><b>SLIMF:</b></p> <p>Checking the plan exists and contains all the information required.</p> <p>Field checks that the plan has been implemented in the past and is currently still followed.</p>
<b>Indicator 7.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<p>Management objectives are clearly described</p> <p><b>SLIMF:</b></p> <p>An outline is provided of objectives and how these will be achieved</p>	<p>Management plan</p>
<b>Indicator 7.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<p>Forest resources, attributes of any high conservation value forest, environmental limitations, special characteristics of the forest, land use and ownership status, socio-economic conditions, and adjacent lands are described</p> <p><b>SLIMF:</b></p> <p>The forest is broadly described</p>	<p>Management plan</p>
<b>Indicator 7.1.4</b>	<b>Verifiers &amp; Guidance:</b>
<p>Rate of harvest, species selection, management prescriptions (for production and conservation zones) and operational techniques are</p>	<p>Management plan</p> <p><b>SLIMF:</b></p>



<p><b>documented and justified</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided</b></p>	<p>Harvest limits are established at sustainable limits and are based on conservative estimates of tree growth and yield.</p> <p>Silvicultural prescriptions take into account factors such as DBH, seed trees for each species, etc.</p>
<p><b>Indicator 7.1.5</b></p> <p><b>Provisions for monitoring forest growth and dynamics are described</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>The plans include provisions for monitoring forest regrowth</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plan</p>
<p><b>Indicator 7.1.6</b></p> <p><b>Refer Criterion 6.1 for description of environmental safeguards</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Indicator 7.1.7</b></p> <p><b>Refer 6.2 for conservation planning and provision for RTE species.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Indicator 7.1.8</b></p> <p><b>The pest management strategy is documented and describes and justifies objectives, control methods and precautions.</b></p> <p><b>Refer also Criterion 6.6 for chemical use in pest management</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Indicator 7.1.9</b></p> <p><b>Any control of wild animals is based on a written strategy, which describes and justifies objectives, cull targets, control methods and precautions; control is carried out in consultation with all relevant stakeholders.</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>Refer Criterion 6.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Written strategy and communication with interested and affected parties.</p> <p>Interviews with Forest Managers and consultation with local stakeholders, experts and government agencies.</p>
<p><b>Indicator 7.1.10</b></p> <p><b>There are appropriate maps (at a scale appropriate for planning and supervision activities) showing the forest resource base including protected areas, watercourses, roads and other features important for forest management. Maps should be prepared prior to commencement of harvesting and road construction</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>There are appropriate maps showing the forest resource base including protected areas,</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Maps and associated records</p>

watercourses, roads and ownership.		
Indicator 7.1.11	<p>Harvesting techniques and equipment are described and justified</p> <p><b>SLIMF:</b></p> <p>The plan describes harvesting methods and silviculture to ensure responsible management</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
Indicator 7.1.12	<p>For <b>large scale operations</b>, planning includes short (operational/annual), medium (tactical/3-5 yearly) and long (strategic, rotation/harvesting cycle) term plans covering all operations and these shall be documented.</p> <p>For <b>small-scale operations</b> a long-term plan covering harvesting operations will be documented. The requirement for documented planning in small-scale operations will be decided by the scale, duration and intensity of the operation.</p> <p><b>SLIMF:</b></p> <p>Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
Indicator 7.1.13	<p>Plans are being implemented and any deviation from prescription or rate of progress is adequately justified; overall objectives will still be achieved and the ecological integrity of the forest maintained</p> <p><b>SLIMF:</b></p> <p>Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
<b>Criterion 7.2</b>	<b>The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic considerations.</b>	
Indicator 7.2.1	<p>In <b>large scale organisations</b>, staff members with responsibility for the overall compilation and updating of the management plan are identified</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Company procedures</p>
Indicator 7.2.2	<p>(Not applicable to SLIMF)</p> <p>New scientific and technical developments in production forestry and biodiversity conservation are available at the FMU or Forest Managers have access to this information</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Publications</p> <p>Interviews with Forest Managers</p>

<b>Indicator 7.2.3</b>	<b>Verifiers &amp; Guidance:</b>
There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of policies, procedures and plans.	Interviews with Forest Managers, scientific evidence. Evidence of revised planning
<b>SLIMF:</b>	
There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of plans.	
<b>Indicator 7.2.4</b>	<b>Verifiers &amp; Guidance:</b>
There is evidence that changing environmental, social and economic considerations have been included in the revision of the management plan	Interviews with Forest Managers, scientific evidence. Evidence of revised planning
<b>Indicator 7.2.5</b>	<b>Verifiers &amp; Guidance:</b>
In <b>large scale operations</b> a timetable for the periodic revision of the management plan is documented and adhered to	Management revision timetable and status of current management plan
<b>Criterion 7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan</b>	
<b>Indicator 7.3.1</b>	<b>Verifiers &amp; Guidance:</b>
Forest workers at all levels of skill and responsibility are appropriately educated and trained in the tasks they are assigned to and company policy and procedures.	Training records Interviews with workers and management Field observations
<b>SLIMF:</b>	
Forest workers at all levels of skill and responsibility are appropriately trained in the tasks they are assigned to.	
<b>Indicator 7.3.2</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF)	Training records Interviews with staff
Managers and supervisors (including those employed by contractors) have received adequate education, training or experience to ensure that they are able to plan and organize forestry operations in accordance with organisations' plans, policies and procedures	
<b>Indicator 7.3.3</b>	<b>Verifiers &amp; Guidance:</b>
All activities are supervised and monitored sufficiently to ensure that plans, policies, procedures and contract specifications (for contractors) are adequately implemented	Operational procedures Interviews with staff.
<b>Indicator 7.3.4</b>	<b>Verifiers &amp; Guidance:</b>

Evidence of formal or informal training exists in the field	Interviews with workers and field observations
Indicator 7.3.5	Verifiers & Guidance:
In large scale organisations a formal long-term training plan should be available	Strategic training plan
Criterion 7.4	While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above.
Indicator 7.4.1	Verifiers & Guidance:
There are publicly available statements that provide an up-to-date summary of the primary management plan elements listed in 7.1 at company level	Public Summary of Management Plan
<u>SLIMF:</u> The management plan, or a summary of it (which includes the information required by Indicators 7.1.2 to 7.1.11 is available for the public to see on request.	<u>SLIMF:</u> Management Plan is available
<b>PRINCIPLE 8. MONITORING AND ASSESSMENT:</b>	
Monitoring shall be conducted - appropriate to the scale and intensity of forest management - to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.	
Criterion 8.1	The scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment <u>should</u> determine the frequency and intensity of monitoring. Monitoring procedures <u>should</u> be consistent and replicable over time to allow comparison of results and assessments of change.
Indicator 8.1.1	Verifiers & Guidance:
All activities that require monitoring are identified.	Interviews with Management and environmental specialists/stakeholders
For large scale organisations these shall be documented in a monitoring programme.	Monitoring programme
Indicator 8.1.2	Verifiers & Guidance:
The frequency, intensity and expense of monitoring are defined and is appropriate to the scale and intensity of the forest management operations and the sensitivity of the receiving environment	Monitoring programmes
<u>SLIMF:</u> Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.	<u>SLIMF:</u> Manager's field notes Manager's description of how monitoring is done.
Indicator 8.1.3	Verifiers & Guidance:

<p><b>(Not applicable to SLIMF)</b></p> <p><b>Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.</b></p>	<p>Monitoring procedures</p> <p>Interviews with Forest Managers and local experts</p>
<p><b>Indicator 8.1.4</b></p> <p><b>Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Monitoring records, reports and archival system.</p> <p>Internal audit records</p> <p>CAR records</p>
<p><b>Indicator 8.1.5</b></p> <p><b>Corrective actions identified through the monitoring process are appropriately implemented and closed out</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Corrective action documentation</p>
<p><b>Criterion 8.2 Forest management <u>should</u> include the research and data collection needed to monitor, at a minimum, the following indicators:</b></p> <ul style="list-style-type: none"> <li>▪ yield of all forest products harvested;</li> <li>▪ growth rates, regeneration and condition of the forest;</li> <li>▪ composition and observed changes in the flora and fauna;</li> <li>▪ environmental and social impacts of harvesting and other operations;</li> <li>▪ costs, productivity, and efficiency of forest management.</li> </ul>	
<p><b>Indicator 8.2.1</b></p> <p><b>Yields of all forest products harvested are recorded</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Harvesting records</p>
<p><b>Indicator 8.2.2</b></p> <p><b>A timber resource inventory is conducted, appropriate to the scale and intensity of forest management</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>The manager knows what information they need in order to judge progress towards their objectives. The information is collected and recorded.</b></p> <p><b>In all cases this will include:</b></p> <ul style="list-style-type: none"> <li>▪ Amount of products harvested</li> <li>▪ Effects of operations as identified under C6.1</li> <li>▪ Changes in features identified under C6.2</li> <li>▪ At least annual monitoring of high conservation values identified under C 9.1</li> <li>▪ Invasive exotic species</li> </ul>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Data are collected on growth rates, regeneration, and yield of all forest products harvested as well as the condition of the forest (data accuracy is appropriate to scale and intensity of management)</i></p> <p>Documented inventory</p> <p><b><u>SLIMF:</u></b></p> <p>Discussions with forest manager.</p> <p>Evidence of the manager's knowledge of the forest and proactive approach to field observation and field notes</p> <p>Review of manager's field notes, observations or reports on HCVs.</p> <p>Available maps and reports from other sources</p>
<p><b>Indicator 8.2.3</b></p> <p><b>Where non-timber products are used, a resource inventory is conducted, appropriate to the scale</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documented Inventory</p>

<p>and intensity of forest management</p> <p><b>SLIMF:</b></p> <p>The sustainable harvest levels of non-timber forest products is known</p>	<p><b>SLIMF:</b></p> <p>Interviews with the Forest Manager and field observations</p>
<p><b>Indicator 8.2.4</b></p> <p>(Not applicable to SLIMF)</p> <p>Data are collected on the composition and observed changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Data</p> <p><b>SLIMF:</b></p> <p>Interviews with Forest Managers</p>
<p><b>Indicator 8.2.5</b></p> <p>Indicators of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected</p> <p><b>SLIMF:</b></p> <p>The forest manager is aware of the social impacts of operations and mitigate these where they are negative</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Data</p> <p>Interviews with Forest Managers and consultation with local communities</p>
<p><b>Indicator 8.2.6</b></p> <p>Data are collected on any wild mammals culled</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Data</p>
<p><b>Indicator 8.2.7</b></p> <p>Post-harvest monitoring is carried out to assess waste and damage to the site.</p> <p>For <u>large scale operations</u> this monitoring shall be documented.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and supervisors.</p> <p>Field observations</p> <p>Post-harvest monitoring record</p>
<p><b>Indicator 8.2.8</b></p> <p>The owner/manager records and analyses data on the costs, productivity and efficiency of forest management activities; the results of such analyses are incorporated into plans</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Data and records</p>
<p><b>Indicator 8.2.9</b></p> <p>Contractors' performance is monitored, including compliance with contract specifications.</p> <p>In <u>large scale organisations</u>, formal auditing of contractors shall be carried out on a regular basis and records thereof maintained</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and contractors.</p> <p>Audit documents</p>
<p><b>Indicator 8.2.10</b></p> <p>Waste disposal sites within the FMU are regularly checked</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and field observations</p>

<b>Criterion 8.3</b>		<b>Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the “chain of custody.”</b>	
<b>Indicator 8.3.1</b>	<b>Verifiers &amp; Guidance:</b>		
There is a procedure for identifying all products (timber and non-timber) leaving the forest so that the recipient can easily determine the forest of origin.  For <u>large scale organisations</u> this procedure shall be documented.	<i>The scope of a joint FM/CoC certificate covers harvesting and transportation of roundwood to the first point of sale, unloading or processing. On site processing e.g. charcoal burning, use of a mobile saw-bench, or purchase and harvesting of standing timber by a third party (e.g. sawmill, harvesting contractor, timber merchant) must be covered by a separate chain of custody certificate if the products are to be sold as certified.</i>  Interview with Forest Managers  Procedures.		
<b>Indicator 8.3.2</b>	<b>Verifiers &amp; Guidance:</b>		
Documentation of origin and destination of all certified forest products is available for products held at landing areas, stacking areas and processing sites on the FMU	Delivery notes, receipts and stock records		
<b>Indicator 8.3.3</b>	<b>Verifiers &amp; Guidance:</b>		
Sales invoices and other documentation related to sales of certified material include the chain of custody certificate number, in the correct format (SGS-FM/CoC-XXXX) and indicating the FSC category “FSC 100%”.	Sales invoices		
<b>Indicator 8.3.4</b>	<b>Verifiers &amp; Guidance:</b>		
Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders	Sales records, invoices		
<b>Indicator 8.3.5</b>	<b>Verifiers &amp; Guidance:</b>		
Use of the FSC trademark is in accordance with policy and has been approved by SGS	Samples of trademark use		
<b>Criterion 8.4</b>		<b>The results of monitoring shall be incorporated into the implementation and revision of the management plan.</b>	
<b>Indicator 8.4.1</b>	<b>Verifiers &amp; Guidance:</b>		
The results of research and monitoring programmes are regularly analysed and incorporated into planning on a regular basis  <u>SLIMF:</u> Refer Indicators 7.2.3 and 7.2.4	Interviews with local experts and Forest Managers.  Forest planning documents		
<b>Indicator 8.4.2</b>	<b>Verifiers &amp; Guidance:</b>		
There is evidence that monitoring results are used to improve forest management	Interviews with local experts and Forest Managers		

<b>SLIMF:</b> Refer Indicators 7.2.3 and 7.2.4	
<b>Criterion 8.5</b> While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.	
<b>Indicator 8.5.1</b>	<b>Verifiers &amp; Guidance:</b>
Results and/or summaries of monitoring programmes (including those listed in Criterion 8.2) are available to the public within the accepted norms of commercial confidentiality. <b>SLIMF:</b> Refer Indicator 7.4.1	Public summary
<b>PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS:</b>	
Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.	
<b>Criterion 9.1</b> Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management	
<b>Indicator 9.1.1</b>	<b>Verifiers &amp; Guidance:</b>
The FMU has been adequately assessed (in consultation with conservation organisations, regulatory authorities and other local and national stakeholders) and any HCVMs and their biological and/or socio-economic or cultural attributes have been identified <b>SLIMF:</b> The FMU has been adequately assessed (in consultation with conservation organisations and regulatory authorities) and any HCVMs and their biological and/or socio-economic or cultural attributes have been identified	<i>This requirement must be applied to all forests undergoing assessment. HCVMs possess one or more the following attributes:</i> <ul style="list-style-type: none"> <li>▪ Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values and/or large landscape level forests where viable populations of most/all naturally occurring species exist in natural patterns of distribution and abundance;</li> <li>▪ Rare, threatened or endangered ecosystems;</li> <li>▪ Forests that provide basic ecological services in critical situations (e.g. water quality or flow, protection against erosion or natural disasters such as cyclones or hurricanes, pollinators);</li> <li>▪ Forests fundamental to meeting basic economic or bio-physiological needs of local communities or critical to local community cultural identity.</li> </ul> Interviews with Forest Managers and local experts. Evidence of assessments.
<b>Indicator 9.1.2</b>	<b>Verifiers &amp; Guidance:</b>
For <u>large scale organisations</u> the assessment procedure should be documented and records of consultation maintained	Documented procedures and records



<b>Criterion 9.2</b>		<b>The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b>	
<b>Indicator 9.2.1</b>	<p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations, regulatory authorities and other local and national stakeholders</p> <p><b>SLIMF:</b></p> <p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations and regulatory authorities.</p>	<b>Verifiers &amp; Guidance:</b>	
		<p>Management plans and maps</p> <p>Consultation with stakeholders and/or government agencies or evidence of input by these agents</p>	
<b>Indicator 9.2.2</b>	<p>When an HCVF has been identified for its socio-economic or cultural attributes, there should be joint analysis and decision-making with the stakeholders directly affected; all efforts should be made to establish co-management agreements with these stakeholders</p>	<b>Verifiers &amp; Guidance:</b>	
		<p>Interviews with Forest Managers, local experts and communities.</p> <p>Affected communities/persons are listed on the stakeholder list (refer Criterion 4.4).</p>	
<b>Criterion 9.3</b>		<b>The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b>	
<b>Indicator 9.3.1</b>	<p>All biological and/or social attributes of any HCVF identified are described in the management plan</p>	<b>Verifiers &amp; Guidance:</b>	
		<p>Management plan</p>	
<b>Indicator 9.3.2</b>	<p>The plan describes the specific measures to be taken to enhance the identified attributes (see also Criterion 7.1)</p>	<b>Verifiers &amp; Guidance:</b>	
		<p>Management plan</p>	
<b>Indicator 9.3.3</b>	<p>All measures are described in the public summary of the plan</p>	<b>Verifiers &amp; Guidance:</b>	
		<p>Management plan</p>	
<b>Indicator 9.3.4</b>	<p>When an HCVF has been identified for biological values, management should:</p> <ul style="list-style-type: none"> <li>▪ maintain natural patterns of distribution and abundance of species,</li> <li>▪ maintain natural evolutionary and ecological processes (biotic and abiotic, including disturbance),</li> <li>▪ avoid fragmentation, and set aside core areas for</li> </ul>	<b>Verifiers &amp; Guidance:</b>	
		<p>Management plans and maps.</p> <p>Interviews with Forest Managers and local experts.</p> <p>Field observations.</p>	

strict protection		
Indicator 9.3.5		<b>Verifiers &amp; Guidance:</b> Management plans and maps. Interviews with Forest Managers and local experts
<b>Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)</b>		
<b>Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b>		
Indicator 9.4.1		<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers and local experts
<b>Monitoring indicators and frequency are defined in consultation with acknowledged experts, local and national stakeholders to monitor effectiveness of each measure described in the plan</b>  <b>SLIMF:</b> Refer Indicator 8.2.2		
Indicator 9.4.2		<b>Verifiers &amp; Guidance:</b> Records of monitoring
<b>Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management</b>  <b>SLIMF:</b> Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management		
Indicator 9.4.3		<b>Verifiers &amp; Guidance:</b> Scientific evidence. Interviews with Forest Managers and local experts
<b>Managers are aware of research developments which might contribute to management of HCVFs</b>		
Indicator 9.4.4		<b>Verifiers &amp; Guidance:</b> Scientific evidence. Interviews with Forest Managers and local experts
<b>Managers are actively monitoring research developments which might contribute to management of HCVFs</b>  <b>SLIMF:</b> Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs		

**PRINCIPLE 10. PLANTATIONS:**

Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.

**Criterion 10.1** The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

**Indicator 10.1.1**

The management plan of the plantation explicitly states the management objectives for the plantation itself, as well as for natural forest conversion and restoration (see also Criterion 7.1)

**Verifiers & Guidance:**

*"Natural forest"* can be also be interpreted as natural vegetation.  
Forest Management Plan  
Interviews with Forest Managers and local experts.

**Indicator 10.1.2**

The achievement of the objectives can be clearly demonstrated

**Verifiers & Guidance:**

Interviews with Forest Managers and local experts.  
Field observations

**Criterion 10.2** The design and layout of plantations **should** promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands within the natural landscape.

**Indicator 10.2.1**

Natural vegetation areas within the FMU are identified and demarcated on maps and such areas within the landscape are known and considered during planning

**Verifiers & Guidance:**

Maps

**Indicator 10.2.2**

For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2

**Verifiers & Guidance:****Indicator 10.2.3**

Buffer zones are maintained along watercourses and around water bodies; these buffer zones are demarcated on maps and comply with specifications made in national and regional best practice guidelines. Refer indicator 6.5.3.

**Verifiers & Guidance:****Indicator 10.2.4**

The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.

**Verifiers & Guidance:**

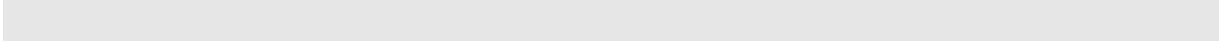
Maps and field observations

<b>Criterion 10.3</b>		<b>Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity <u>may</u> include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</b>
<b>Indicator 10.3.1</b>	<b>Plantation planning and reestablishment make provision for diversity in species and/or provenances and/or clones to achieve optimal economic, ecological and social stability; restructuring of even-aged and/or stands low in diversity is carried out where necessary</b>	<b>Verifiers &amp; Guidance:</b> Forest plans and maps Field observations
<b>Indicator 10.3.2</b>	<b>Maximum clear-cut size is defined. Documented justification should be provided where there are potential adverse environmental or socio-economic impacts</b> <b><u>SLIMF:</u></b> <b>Maximum clear-cut size is defined and justified.</b>	<b>Verifiers &amp; Guidance:</b> Policies and procedures. <b><u>SLIMF:</u></b> Interviews with Forest Managers and field observations
<b>Criterion 10.4</b>		<b>The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</b>
<b>Indicator 10.4.1</b>	<b>Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives</b> <b><u>SLIMF:</u></b> <b>The species chosen for plantations are suited to the site and matched to the objectives.</b>	<b>Verifiers &amp; Guidance:</b> Scientific evidence and interviews with local experts <b><u>SLIMF:</u></b> Discussions with manager about plantation objectives Plans for future planting
<b>Indicator 10.4.2</b>	<b>Exotic species are used only where they outperform native species in meeting management objectives</b>	<b>Verifiers &amp; Guidance:</b> Scientific evidence and interviews with local experts
<b>Indicator 10.4.3</b>	<b>Information is available on seed sources and these can be traced to the stand data</b>	<b>Verifiers &amp; Guidance:</b> Plant records

<b>Criterion 10.5</b>		<b>A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.</b>
<b>Indicator 10.5.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>There is sufficient evidence that an appropriate proportion of the overall forest management area is managed so as to restore the site to a natural forest cover. Refer Criterion 6.2</b>	<u>SLIMF:</u> Field observations of conservation features Plans for future improvements	
<u>SLIMF:</u> Improvements to the ecological value of the plantation are made where conservation features exist.		
<b>Criterion 10.6</b>		
<b>Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns</b>		
<b>Indicator 10.6.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species;</b>	Interviews with Forest Managers and local experts. Documented site information.	
<b>Small growers and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the managed area.</b>	Evidence that site information is being used in planning of operations.	
<b>Indicator 10.6.2</b>		
<b>Where soils are degraded from previous activities, there are plans to restore them</b>	<b>Verifiers &amp; Guidance:</b> Soil degradation through erosion, oil and chemical spills, etc. Interviews with Forest Managers and field observations.	
<b>Indicator 10.6.3</b>		
<b>Major water resources within the forest area are identified</b>	<b>Verifiers &amp; Guidance:</b> Maps and interviews with Forest Managers	
<b>Indicator 10.6.4</b>		
<b>For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Criterion 10.7</b>		
<b>Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management <u>should</u> make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</b>		
<b>Indicator 10.7.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>The principle forest pests and diseases are identified.</b>		

<b>For large scale organisations these shall be documented.</b>	
<b>Indicator 10.7.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>There is a documented pest and invasive plant management strategy.</b> <b>(For chemical use, refer to criterion 6.6)</b>	
<b>Indicator 10.7.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Effective control and remedial action is taken in the event of a pest, disease or invasive plant problem.</b> <b>For large scale organisations these actions shall be documented.</b>	Interview with Forest Managers and staff. Documentation
<b>Indicator 10.7.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where required, effective measures are taken to protect the forest from fire.</b> <b>For large scale organisations there is regular monitoring of fire readiness that test all procedures</b>	<i>These measure will include documented* procedures for fire suppression that include definition of responsibilities and reporting lines.</i> Interviews with staff and records of training. Fire readiness and control procedures.
<b>Criterion 10.8</b> Appropriate to the scale and diversity of the operation, monitoring of plantations, shall include regular assessment of potential on-site and off-site impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species <u>should</u> be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.	
<b>Indicator 10.8.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>For potential on-site impacts, see Criteria 6.1 and 6.5</b>	
<b>Indicator 10.8.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b> <b>Potential biophysical off-site impacts shall be monitored on a regular basis. Evidence of consultation with affected parties in terms of these impacts should be available</b>	<i>Off-site impacts may include:</i> <ul style="list-style-type: none"> <li>▪ Spread of exotic plantation species.</li> <li>▪ Unwanted natural regeneration of native plantation species</li> <li>▪ Effects on water resources</li> <li>▪ Effects on soil fertility</li> <li>▪ Impacts on the aesthetics of the landscape</li> </ul> Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.
<b>Indicator 10.8.3</b>	<b>Verifiers &amp; Guidance:</b>

<b>For exotic or invasive species issues, see Criteria 6.9 and 10.7</b>		
<hr/>		
<b>Indicator 10.8.4</b>	<b>Verifiers &amp; Guidance:</b>	
<b>For social impacts, see Criteria 2.1, 2.2, 4.2 and 4.4.</b>		
<hr/>		
<b>Criterion 10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.</b>		
<b>Indicator 10.9.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>The plantation does not occupy land converted from natural forest since November 1994</b>	<p><i>Clear felling and replanting of a natural or semi-natural forest with a mixture of native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i></p> <p><i>Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence.</i></p> <p>Interviews with Forest Managers and Government Agencies. Plantations plans and maps.</p>	
<hr/>		
<b>Indicator 10.9.2</b>	<b>Verifiers &amp; Guidance:</b>	
<b>If the plantation was converted since November 1994, there is adequate evidence that the current manager/owner was not responsible</b>	Legal evidence of ownership or use-right	
<hr/>		

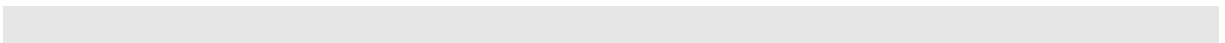


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## APPENDIX A

### REGULATIONS AND STANDARDS APPLICABLE IN "INSERT NAME OF COUNTRY"

<b>A.</b>	<b>NATIONAL LEGISLATION</b>
	<b>Forestry, Agriculture and Environment:</b>
1.	
2.	
	<b>Cultural and social:</b>
3.	
4.	
<b>B.</b>	<b>REGULATIONS PERTINENT TO FORESTRY RELATED TO AND EMERGING FROM NATIONAL LEGISLATION AND OTHER LEGISLATIVE INSTITUTIONS:</b>
5.	
6.	
<b>C.</b>	<b>INTERNATIONAL AGREEMENTS PERTINENT TO FORESTRY</b>
7.	Convention on Biological Diversity
8.	Convention on the International Trade in Endangered Species (CITES)
9.	International Labour Organisation (ILO) (insert all ILO conventions relevant to the country)
10.	
<b>D.</b>	<b>LOCAL STANDARDS AND BEST OPERATING PRACTICES</b>
11.	
12.	





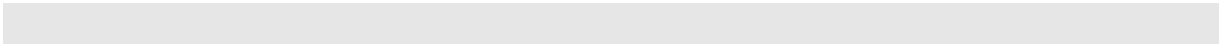
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## APPENDIX B

### LIST OF RARE THREATENED AND ENDANGERED SPECIES LISTED FOR "INSERT NAME OF COUNTRY"

As an alternative to completing the table below, provide a reference to a website where this information can be found.

	SCIENTIFIC NAME	COMMON NAME	STATUS
<b>A.</b>	<b>FLORA</b>		
1.			
2.			
3.			
<b>B.</b>	<b>FUANA (MAMMALS)</b>		
4.			
<b>C.</b>	<b>FUANA (REPTILES)</b>		
5.			
<b>D.</b>	<b>FUANA (BIRDS)</b>		
6.			
<b>E.</b>	<b>FUANA (FISH)</b>		
7.			



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## APPENDIX C

### LIST OF ISSUES OF CONTENTION RAISED BY STAKEHOLDERS IN TERMS OF THIS STANDARD

Issue Nr	Issue

End of Standard