



SGS QUALIFOR

FOREST MANAGEMENT GENERIC STANDARD

2005

This checklist presents the SGS Qualifor standard for forest certification against the FSC Principles and Criteria. This standard forms the basis for:

- § Scoping assessment
- § Certification assessment and re-assessment
- § Surveillance assessment
- § Information to stakeholders on the assessment criteria used by SGS Qualifor

This particular version of the checklist has been modified to incorporate many of the country-specific verifiers included in the New Zealand NIWG draft standard, dated November 2003. It is presented as a draft for comment, with the proposed additions in red.

Once comments are received and incorporated as necessary, the revised standard will be used as a basis for future SGS Qualifor evaluations in New Zealand, replacing the SGS NZ Plantations Checklist, dated June 2001.

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ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

The objective of local adaptation of the SGS Qualifor 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 QUALIFOR is not required to seek or develop a consensus with regard to the modification of our generic standard. SGS Qualifor 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 QUALIFOR 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 Qualifor 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:

The Qualifor Requirement: Indicator	This outlines the norm or indicators that Qualifor 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).
Verifiers	Verifiers 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.
Guidance	Guidance is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator.

The FSC Principle

PRINCIPLE 1. 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>Indicator 4.1.6</p> <p>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</p> <p><u>SLIMF:</u></p> <p>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Verifiers & Guidance:</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> <p>Interviews with Forest Managers, workers and Labor Union representatives.</p> <p><u>SLIMF:</u></p> <p>Interviews with workers and contractors</p>
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The year of the evaluation

The SGS Qualifor Indicator

The SGS Qualifor observation i.t.o. the indicator

The SGS Qualifor verifier

An SGS Qualifor Guideline (Italics)

The FSC Criterion

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

Indicator 1.1.1

There is no evidence of significant non-compliance with all national and local laws and administrative requirements

Verifiers & Guidance:

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.

SLIMF:

The forest manager knows what the legislation requires.

Field observation and documentation available show that legislation is being complied with in-field.

A legal non-compliance will be considered "significant" if:

- i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or*
- ii. it is an intentional or a blatant/self-evident disregard for the law.*

A legal non-compliance will not be considered "significant if the deviation is short-term, unintentional and without significant damage to the environment.

Indicator 1.1.2

Forest managers shall demonstrate awareness and compliance with relevant codes of practice, operational guidelines and other accepted norms or agreements.

Verifiers & Guidance:

Interviews with Forest Managers and field observations.

List of applicable laws, regulations and national guidelines.

New Zealand:

1.1.2 There is a system for ensuring all summaries or reference copies of legislation and regulations are up to date.

1.1.2.1 Compliance with this standard can be achieved by maintaining the capacity to view relevant legislation and a capacity to ensure that the certificate holder is aware of changes to legislation

1.1.3.1 The certificate holder interprets obligations of district and regional plans, and regional pest management strategies and incorporates those into operational requirements.

1.1.4.1 There is a system for checking if resource consent is required, obtaining consents, and communicating local authority rules and consent conditions to an operational level.

1.1.5.1 There is a system for monitoring compliance with performance standards in local authority consents and rules.

Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid	
Indicator 1.2.1	Verifiers & Guidance:
There is evidence that required payments have been made.	Invoices, tax returns, receipts. Interviews with and information supplied by regulatory authorities and other stakeholders. No evidence of non-payment
Indicator 1.2.2	Verifiers & Guidance:
Provision has been made to meet the costs of future fees	Specific provisions in financial planning and long-term budgets. <u>SLIMF:</u> Forest manager can explain how future costs will be provided for.
Criterion 1.3 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.	
Indicator 1.3.1	Verifiers & Guidance:
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 <u>SLIMF:</u> 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
Indicator 1.3.2	Verifiers & Guidance:
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. <u>SLIMF:</u> 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. <u>SLIMF:</u> Forest Managers are aware of the requirements and there are no objective evidence of non-compliance.
Indicator 1.3.3	Verifiers & Guidance:
(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

Indicator 1.3.4	Verifiers & Guidance:
(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.
Criterion 1.4	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
Indicator 1.4.1	Verifiers & Guidance:
Any identified conflicts are brought to the attention of SGS and involved or affected parties.	<i>SGS will assess the conflict and advise on resolution thereof, where such were possible.</i> Interviews with Forest Managers and other stakeholders. New Zealand: 1.4.1.1 Any identified conflicts are documented. Steps are taken to resolve conflict and any strategy devised for immediate and long-term compliance with FSC requirements are documented.
Criterion 1.5	Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities
Indicator 1.5.1	Verifiers & Guidance:
Forest Managers have taken reasonable measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.	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. New Zealand: 1.5.1.1 With respect to illegal activities, certificate holders shall provide appropriate assistance to the police consistent with legal obligations and the safety of personnel and the public.
Indicator 1.5.2	Verifiers & Guidance:
There are adequate personnel and surveillance resources to control such activities	Field observations provide no evidence of ongoing illegal activities
Criterion 1.6	Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria
Indicator 1.6.1	Verifiers & Guidance:

<p>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</p> <p><u>SLIMF:</u></p> <p>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</p>	<p>Written policy with appropriate statement is available</p> <p><u>SLIMF:</u></p> <p>The management plan</p> <p>Plans (written or informal) for investment, training, and sharing of income or other benefits</p> <p>Past management has been compatible with the P&C</p>
<p>Indicator 1.6.2</p> <p>(Not applicable to SLIMF)</p> <p>The policy is communicated throughout the organisation (including to contractors) and to external stakeholders</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and stakeholders.</p> <p>Evidence of distribution of policy to stakeholders.</p>
<p>Indicator 1.6.3</p> <p>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&C</p>	<p>Verifiers & Guidance:</p> <p><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></p> <p><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 main assessment report.</i></p> <p>Evidence of such other forest lands.</p> <p>Policies</p> <p>Interviews with Forest Managers.</p>
<p>Indicator 1.6.4</p> <p>Management of forest areas identified under 1.6.4 complies with the latest FSC Partial Certification Policy</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, policies, procedures and field observations.</p> <p>New Zealand:</p> <p>1.6.7 Any of the plantation forest areas over which the certificate holder has some responsibility and are not being certified, must have no "major conflicts" with the FSC Principles and Criteria. Major conflicts include -- GMO use - 6.8,</p> <p>- Planting on converted land - 6.10 or 10.9.</p>
<p>PRINCIPLE 2. TENURE AND RIGHTS RESPONSIBILITIES:</p> <p>Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>	
<p>Criterion 2.1</p>	<p>Forest management shall respect all national and local laws and administrative requirements</p>
<p>Indicator 2.1.1</p>	<p>Verifiers & Guidance:</p>

<p>There is documentation showing the owner/manager's legal rights to manage the land and/or utilise forest resources</p>	<p>Documentation with appropriate legal status. Maps clearly indicating the boundaries of the FMU.</p> <p>New Zealand: 2.1.1 Documents are present describing the legal status of the land and plantation forest. These may include:</p> <ul style="list-style-type: none"> • Land certificates & title • Registered rights such as leases or rights of way • Unregistered leases or licenses to occupy • Crown Forest Licences • Forestry Rights • Crown Leases • Give and take boundary agreements.
<p>Indicator 2.1.2</p> <p>The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.</p>	<p>Verifiers & Guidance:</p> <p>Policies and management plans make clear reference to management objectives that support this indicator.</p>
<p>Indicator 2.1.3</p> <p>Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS Qualifor standard or the objectives of the management plan.</p>	<p>Verifiers & Guidance:</p> <p>Provisions in agreement for tenure. FMU management plans. FMU long term strategies.</p>
<p>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.</p>	
<p>Indicator 2.2.1</p> <p>All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped</p>	<p>Verifiers & Guidance:</p> <p>Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives.</p>
<p>Indicator 2.2.2</p> <p>Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.</p>	<p>Verifiers & Guidance:</p> <p>Forest management plans Field observations</p> <p>New Zealand: 2.2.2 The forest manager will make all reasonable efforts to make stakeholders with recognised use rights aware of current and proposed forest operations that may affect their use rights.</p>
<p>Indicator 2.2.3</p>	<p>Verifiers & Guidance:</p>

<p>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</p>	<p>Written agreements. Free and informed consent communicated by representatives of local communities. Clear evidence of payment for tenure or use rights.</p>
<p>Indicator 2.2.4 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</p>	<p>Verifiers & Guidance: Interviews with local communities. Written agreements. Free and informed consent communicated by representatives of local communities. New Zealand: 2.2.4 There is a process for consulting with all easement rights holders about planned forest operations that might affect their activities.</p>
<p>Indicator 2.2.5 The forest is accessible to local rights holders to the extent that the forest's ecological function is not jeopardised.</p>	<p>Verifiers & Guidance: Interviews with local communities. Inspection of areas/resources where access and/or use has taken place.</p>
<p>Criterion 2.3 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</p>	
<p>Indicator 2.3.1 Appropriate documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist <u>SLIME:</u> 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. All reasonable measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided.</p>	<p>Verifiers & Guidance: 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> <u>SLIME:</u> Interviews with Forest Manager and local community groups</p>
<p>Indicator 2.3.2 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.</p>	<p>Verifiers & Guidance: Documented records of disputes</p>
<p>Indicator 2.3.3</p>	<p>Verifiers & Guidance:</p>

<p>Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify an operation from being certified.</p>	<p><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></p> <p>Interviews with Forest Managers and consultation with representatives of local communities.</p> <p>Complete record of a history of disputes.</p> <p>New Zealand: 2.3.3 There is a commitment to resolution of on-going disputes where the disputes are not vexatious or frivolous.</p>
<p>Indicator 2.3.4</p> <p>(Not applicable to SLIMF)</p> <p>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.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and consultation with representatives of local communities.</p> <p>Complete record of a history of disputes.</p>
<p>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:</p> <p>The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.</p>	
<p>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.</p>	
<p>Indicator 3.1.1</p> <p>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</p>	<p>Verifiers & Guidance:</p> <p>Management plans and maps.</p> <p>Consultation with representatives of indigenous peoples.</p> <p>New Zealand: 3.1.1.1 The manager maintains an up to date list of Tāngata Whenua, and their representative bodies, including contact persons and their contact details.</p>
<p>Indicator 3.1.2</p> <p>Rights identified in terms of Indicator 3.1.1 are respected.</p>	<p>Verifiers & Guidance:</p> <p>Consultation with representatives of indigenous peoples.</p> <p>New Zealand: 3.1.2 Tino Rangatiratanga – Provision shall be made for the right of Tāngata Whenua to exercise full authority and control over their lands, resources and taonga in accordance with the Treaty of Waitangi.</p>
<p>Indicator 3.1.3</p>	<p>Verifiers & Guidance:</p>

<p>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.</p>	<p><i>Affected communities should have the financial, technical and logistical capacity to enable “free and informed consent”</i></p> <p>Consultation with representatives of indigenous peoples.</p> <p>No evidence of disputes.</p> <p>Evidence that agreed payments for use right and/or resources are being made.</p> <p>New Zealand:</p> <p>3.1.3 Customary/traditional rights of Tāngata Whenua to own, manage or use forest resources (timber and non-timber) have been identified and are being met.</p> <p>3.1.3.1 There is an understanding and recognition of the principles of the Treaty of Waitangi, particularly regarding rights of Tāngata Whenua to land, water and traditional resources.</p> <p>3.1.3.2 Agreed use rights are documented in writing, or defined by clear (on both sides) verbal understandings (at least minuted as to date and parties to the verbal agreement, and signed by those parties), and are honoured.</p> <p>3.1.3.3 The certificate holder shall have a procedure whereby customary/traditional rights are recognised.</p> <p>3.1.3.4 Tāngata Whenua with relevant interests indicates that the manager respects customs and/or protocols.</p> <p>3.1.7 If requested by the Tāngata Whenua there is a hui between Tāngata Whenua and the manager (or persons with delegated responsibility) to review forest operations.</p> <p>3.1.7.1 Hui are conducted, and the manager holds records of hui dates, discussions, any agreed actions, and responsibility for implementation of actions.</p>
<p>Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples</p>	
<p>Indicator 3.2.1</p> <p>Any impacts of forest management on indigenous communities’ resources or tenure rights are identified and recorded</p> <p><u>SLIMF:</u></p> <p>Any impacts of forest management on indigenous communities’ resources or tenure rights are identified and known by the Forest Manager</p>	<p>Verifiers & Guidance:</p> <p>Records or impact assessments.</p> <p>Consultation with representatives of indigenous peoples</p>
<p>Indicator 3.2.2</p>	<p>Verifiers & Guidance:</p>

<p>Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights</p>	<p>Records of meetings. Consultation with indigenous peoples</p> <p>New Zealand:</p> <p>3.2.2.1 The certificate holder shall have a procedure whereby tenure rights are recognised at a stage in the planning process that enables modifications to be made to the plan as appropriate.</p> <p>3.2.2.2 There is a process that involves Tāngata Whenua for obtaining silent file information.</p>
<p>Indicator 3.2.3</p> <p>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</p>	<p>Verifiers & Guidance:</p> <p>Consultation with representatives of indigenous peoples. Records of dispute resolution</p>
<p>Indicator 3.2.4</p> <p>Actions are taken to prevent or mitigate adverse impacts</p>	<p>Verifiers & Guidance:</p> <p>Field inspections and records of corrective actions</p> <p>New Zealand:</p> <p>3.2.4.1 There is a process that involves Tāngata Whenua for identifying and registering mahinga kai (e.g. fisheries) with appropriate security of information concerning sites which are confidential.</p> <p>3.2.4.2 Resources of special historic or religious significance requiring protection, or specific management consideration, are indicated on maps included in management planning.</p> <p>3.2.4.3 Resources are protected, or appropriately managed, in the field.</p> <p>3.2.4.4 There is a process whereby Tāngata Whenua is permitted to access and use these resources.</p>
<p>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.</p>	
<p>Indicator 3.3.1</p>	<p>Verifiers & Guidance:</p>

<p>Sites of special cultural, historical, ecological, economic or religious significance are identified, described and mapped in co-operation with affected or interested stakeholders.</p> <p><u>SLIMF:</u></p> <p>Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.</p>	<p>Interviews with Forest Managers and consultation with stakeholders.</p> <p>Records and maps.</p> <p>Refer also to Indicator 7.8.1</p>
<p>Indicator 3.3.2</p> <p>Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested stakeholders</p> <p><u>SLIMF:</u></p> <p>Clear management objectives have been identified.</p>	<p>Verifiers & Guidance:</p> <p>Management plans and documents.</p> <p>Consultation with stakeholders</p> <p><u>SLIMF:</u></p> <p>Interviews with the Forest Manager and field observations</p> <p>New Zealand:</p> <p>3.3.2 Kaitiakitanga – Provision shall be made to enable Tāngata Whenua to undertake their duty of custodianship, stewardship and guardianship over their lands, resources and taonga in accordance with the Treaty of Waitangi.</p>
<p>Indicator 3.3.3</p> <p>Such areas are identified in working plans and demarcated in the field as appropriate</p>	<p>Verifiers & Guidance:</p> <p>Operational plans and maps and field observation.</p> <p>New Zealand:</p> <p>3.3.3.1 Sites of special significance requiring protection, or specific management consideration, are indicated on maps.</p> <p>3.3.3.2 Sites are protected, or appropriately managed, in the field.</p> <p>3.3.3.3 There is a process that involves Tāngata Whenua, for monitoring these sites.</p>
<p>Indicator 3.3.4</p> <p>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.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with operators and field observations.</p> <p>Consultation with stakeholders</p> <p>New Zealand:</p> <p>3.3.4.1 There is a process that involves Tāngata Whenua, for identification and registering of Wāhi Tapu/Taonga sites with appropriate security of information concerning sites which are confidential.</p> <p>3.3.4.2 There is a process for identification and registering of sites that may have historic or cultural interest to all New Zealanders.</p> <p>3.3.6.1 There is a process for training operators and contractors to identify such sites in the field.</p> <p>3.3.6.2 All Wāhi Tapu sites are provided with appropriate protection.</p> <p>3.3.6.3 Other sites of historic, cultural, or scientific interest are provided with protection appropriate to their status.</p> <p>3.3.6.4 There is a process that involves Tāngata Whenua, for monitoring these sites.</p>

Indicator 3.3.5	Verifiers & Guidance:
Appropriate rights of access to these areas is permitted	Consultation with stakeholders New Zealand: 3.3.5.1 There is a process to allow members of the Tāngata Whenua are permitted to visit Wāhi Tapu/Taonga as required by tikanga.
Criterion 3.4	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.
Indicator 3.4.1	Verifiers & Guidance:
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 <u>SLIMF:</u> 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	Documented records. Consultation with indigenous peoples. <u>SLIMF:</u> Interviews with Forest Manager and indigenous peoples/local communities New Zealand: 3.4.1.1 Documentation of traditional practices or knowledge that is being utilized commercially is held, along with permission from appropriate representatives of Tāngata Whenua, for said use.
Indicator 3.4.2	Verifiers & Guidance:
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	Records of meetings with representatives of indigenous peoples. Consultation with representatives of indigenous peoples. Agreements.
Indicator 3.4.3	Verifiers & Guidance:
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	Agreements. Consultation with representatives of indigenous peoples
Indicator 3.4.4	Verifiers & Guidance:
All agreed compensation is paid	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

Indicator 4.1.1

People in local communities are given opportunities in employment, training and contracting

SLIMF:

Local workers and contractors should be used wherever possible

Verifiers & Guidance:

Interviews with Forest Managers and workers.

Consultation with representatives of local communities and labour unions.

Training strategies.

Job advertisements in local publications

New Zealand:

4.1.3 The certificate holder shall promote employment and training opportunities that make provision for the following:

Provisions that demonstrate a commitment to hiring and contracting, locally, to the extent feasible in light of local capacity and required workplace skills, cost considerations and any legal obligations, relative to the employment of local people.

The forestry operator shall maintain a record of the type of training opportunities organised for the workforce.

Indicator 4.1.2

In large scale organisations, contracts are awarded through a transparent process on the basis of clear criteria; justification for final selections is documented

Verifiers & Guidance:

Interviews with contractors.

Policies and procedures of the assessed organisation.

Documentation on contracting of services.

Indicator 4.1.3

In large scale organisations 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 where appropriate

Verifiers & Guidance:

Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit.

Long-term training plans.

Interviews with Forest Managers and workers.

Indicator 4.1.4**Verifiers & Guidance:**

<p>(Not applicable to SLIMF)</p> <p>Support is provided for local infrastructure and facilities at a level appropriate to the scale of the forest resources</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>New Zealand:</p> <p>4.1.4.1 Contributions can be financial or in-kind. The standard can be satisfied if the certificate holder:</p> <p>a) contributes financially to Forests Industry Training via membership of NZFOA or NZFFA; or contributes financially towards the training programme; or</p> <p>b) provides in-kind support by using staff to provide the training; or</p> <p>c) provides in-kind support by providing the training venue, food etc; or</p> <p>d) pays contractors while they are being trained; or</p> <p>e) includes a training component in the contractors' hourly rate; or</p> <p>f) contributes in a similar manner appropriate to the scale of the operation.</p>
<p>Indicator 4.1.5</p> <p>Where possible and practicable, communities are given controlled access to forest and non-forest products on the FMU</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local communities.</p> <p>Evidence of controlled harvesting activities</p>
<p>Indicator 4.1.6</p> <p>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</p> <p><u>SLIMF:</u></p> <p>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Verifiers & Guidance:</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> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p><u>SLIMF:</u></p> <p>Interviews with workers and contractors</p>
<p>Indicator 4.1.7</p> <p>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</p>	<p>Verifiers & Guidance:</p> <p>Benefits may include social security payments, pension, accommodation, food, etc.</p> <p>Records of payment</p> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p>
<p>Indicator 4.1.8</p>	<p>Verifiers & Guidance:</p>

No workers should be engaged in debt bondage or other forms of forced labour	Interviews with Forest Managers, workers and Labour Union representatives
Indicator 4.1.9	Verifiers & Guidance:
Persons under 15 years are not employed in any forestry work	<p><i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3.</i></p> <p>Interviews with Forest Managers, workers and Labour Union representatives</p> <p>Observations in the work place.</p>
Indicator 4.1.10	Verifiers & Guidance:
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	<p><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></p>
Criterion 4.2	Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families
Indicator 4.2.1	Verifiers & Guidance:

Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families and comply with such.

For large scale organisations a written safety and health policy and management system are in place

Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.

Interviews with Forest Managers, workers and union representatives.

Guidelines/regulations are readily available.

Labour directives and inspection reports.

Company OHS records

New Zealand:

4.2.1 Certificate holders shall comply with the HSE Act and its associated regulations and the relevant codes of practice and best practice guidelines.

4:2:1.1 A Health and Safety and Management System is in place which systematically identifies and documents hazards, preventive measures, emergency procedures and key responsibilities that ensures health and safety requirements are taken in to account in the planning, organisation implementation and supervision of all operations.

4:2:1.2 All employees and contractors have access to adequate on-site first aid, appropriate shelter while working in the forestry management unit and there is a plan for emergency evacuation if required.

4:2:1.3 Health and Safety Policies and management systems shall ensure that adequate provisions are made for employees and contractors to:

- Have regular breaks during the course of work periods for the purposes of rest and meals.
- Ensure that work operations performed outside of daylight hours are carried out with lighting systems that meet OSH requirements.
- Have had relevant training in safe working practice and at least two of every crew hold a current first aid certificate.
- Have all necessary tools, machines, substances and equipment including appropriate personal protective equipment available at the work site and are in a safe and serviceable condition.

4.2.1.4 Health and Safety Policies and management systems shall also include the following provisions:

- Managers., employees and contractors understand their responsibilities under the HSE Act;
- There are up to date training records or other documented skills records for employees and contractors;
- There are up to date health & safety induction records for employees and contractors;
- Hazard identification is undertaken;
- Accident reports are documented and up to date;
- There are regular compliance checks against the relevant Code(s) of Practice;
- Communication from the regulatory authority is recorded and responded to;
- Contract provisions of service contractors include HSE Act compliance requirements;
- Health and safety training shall be undertaken having regard to the procedures set out in the Department of Labour's Safety and Health in Forestry Operations Code of Practice and Best Practice Guidelines.

<p>Indicator 4.2.2</p> <p>Forest Managers have systematically assessed the risk associated with all tasks and equipment and prescribed appropriate safe procedures, the use of personal protective equipment (PPE), emergency procedures and where appropriate, key responsibilities.</p> <p>In large scale organisations, compliance with this requirement shall be supported by documentation</p> <p><u>SLIMF:</u></p> <p><u>All work done in the forest must comply with health and safety laws and regulations</u></p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and union representatives.</p> <p>Documented risk assessments.</p> <p><u>SLIMF:</u></p> <p>Equipment is available to workers</p> <p>Interviews with Forest Managers and workers</p> <p>Field observations</p>
<p>Indicator 4.2.3</p> <p>All workers have had relevant training in safe working practice and where required or appropriate, hold the necessary skills certificates.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers.</p> <p>Training schedules and records</p> <p>Copies of skills certificates.</p>
<p>Indicator 4.2.4</p> <p>Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers</p>
<p>Indicator 4.2.5</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>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations.</p>
<p>Indicator 4.2.6</p> <p>Managers take all reasonable measures to ensure that workers use the PPE that is provided</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations</p>
<p>Indicator 4.2.7</p> <p>Health and safety records (including risk evaluations, accident records) are maintained and up-to-date</p> <p><u>SLIMF:</u></p> <p>Basic record is kept of health and safety related incidents</p>	<p>Verifiers & Guidance:</p> <p>Records of accidents, incidents, instructions to supervisors and workers</p> <p><u>SLIMF:</u></p> <p>Records</p> <p>Interviews with Forest Manager and workers</p>
<p>Indicator 4.2.8</p>	<p>Verifiers & Guidance:</p>

<p>All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.</p>	<p>Interviews with Forest Managers and workers</p>
<p>Indicator 4.2.9</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>Verifiers & Guidance:</p> <p>Interviews with Managers and workers</p> <p>Inspection of facilities</p>
<p>Indicator 4.2.10</p> <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 large scale organisations 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>Verifiers & Guidance:</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>
<p>Criterion 4.3 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).</p>	
<p>Indicator 4.3.1</p> <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>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives.</p> <p>New Zealand:</p> <p>4.3.1 Where the certificate holder directly employs labour they shall demonstrate compliance with the Employment Relations Act (2000), the Wages Protection Act (1983), the Holidays Act (1991), the Minimum Wages Act (1985) and the Code of Practice for Companies/Employers engaging Forestry Employees.</p>
<p>Indicator 4.3.2</p>	<p>Verifiers & Guidance:</p>

<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> <p>New Zealand:</p> <p>4.3.3 Employers who directly employ labour shall establish policy and procedures that include provisions ensuring that:</p> <ul style="list-style-type: none"> <input type="checkbox"/> The role and function of Unions is facilitated at all times. <input type="checkbox"/> Staff members with the responsibility/delegated authority to liaise/negotiate with Union(s) are confirmed and identified. <input type="checkbox"/> Where workers are Union members, wage bargaining arrangements shall proceed on the basis of collective bargaining. <input type="checkbox"/> All employees shall be qualified in skills that are relevant to the tasks they are performing or be under training to acquire such skills, in line with Forestry Industries Training standards. <input type="checkbox"/> Issues raised by Unions are treated constructively, objectively and in the spirit of good faith. <input type="checkbox"/> Where workers are Union members, wage bargaining shall proceed on the basis of collective agreement/s. <input type="checkbox"/> Resolution procedures dealing with employment relationship problems shall contain provisions to handle such matters by allowing for both dialogue between staff, unions and management, as a means of resolution procedure, as well as independent third party mediation assistance.
<p>Indicator 4.3.3</p> <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>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives</p>
<p>Criterion 4.4 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.</p>	
<p>Indicator 4.4.1</p>	<p>Verifiers & Guidance:</p>

<p>In conjunction with the local stakeholders affected and in accordance with the scale and intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are evaluated.</p> <p>For <u>large scale organisations</u>, these impacts shall be documented</p> <p><u>SLIMF (Small Forests):</u></p> <p>Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</p> <p>The forest manager must try to avoid negative impacts of operations.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>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.</p>	<p><i>New operations will normally be subjected to formal impact assessments and these assessments must include the social 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>Indicator 4.4.2</p> <p>(Not applicable to SLIMF)</p> <p>Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local communities.</p> <p>Management plans</p>
<p>Indicator 4.4.3</p> <p>An up-to-date list of stakeholders is maintained</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders</p>
<p>Indicator 4.4.4</p> <p>(Not applicable to SLIMF)</p> <p>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</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.4.5</p> <p>Issues raised by stakeholders are treated constructively and objectively</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.4.6</p>	<p>Verifiers & Guidance:</p>

In large scale operations , communications with stakeholders on issues that require action and follow-up should be documented	Documentation of communication
Criterion 4.5 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	
Indicator 4.5.1	Verifiers & Guidance:
Every reasonable effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent	Records Consultation with stakeholders and interviews with Forest Managers
Indicator 4.5.2	Verifiers & Guidance:
(Not applicable to SLIMF) Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for large scale operations .	Records Consultation with stakeholders and interviews with Forest Managers
PRINCIPLE 5. BENEFITS FROM THE FOREST:	
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.	
Criterion 5.1 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	
Indicator 5.1.1	Verifiers & Guidance:
Optimal use is made of the potential annual yield of forest products	Annual plan of operations, budgets and financial statements. Yield estimates. New Zealand: 5.1.1 Plantation managers will be free to maximise the economic return from plantation forests provided their operations meet statutory requirements and comply with Criterion 5.1.
Indicator 5.1.2	Verifiers & Guidance:
Current and future budgets include specific provision for environmental and social, as well as all operational costs SLIMF The Forest Manager is aiming to be in an economically viable situation which permits long term forest management	<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> Financial planning records and statements. Interviews with Forest Managers. New Zealand: 5.1.2 The costs and benefits of environmental and social effects are identified and an ongoing commitment to the National Plantation Standard is incorporated into an annual plan.
Indicator 5.1.3	Verifiers & Guidance:

<p>Where necessary, investments are made to maintain the ecological productivity of the forest</p>	<p>Interviews with Forest Managers and environmental NGOs. Plans and maps. Observation of ecosystems.</p>
<p>Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	
<p>Indicator 5.2.1 (Not applicable to SLIMF) Where possible, the owner/manager promotes the development of markets for and sustainable harvesting of common, lesser known plantation-grown or natural forest species and non-timber forest products</p>	<p>Verifiers & Guidance: Interviews with Forest Managers and consultation with local communities.</p>
<p>Indicator 5.2.2 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.</p>	<p>Verifiers & Guidance: 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. New Zealand: 5.2.2.1 Non-local processing is acceptable following consideration of financial viability, environmental effects, including transport, community viability and cohesiveness, and efficient use of products from the forest management unit.</p>
<p>Criterion 5.3 Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	
<p>Indicator 5.3.1 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.</p>	<p>Verifiers & Guidance: Harvest plans Forest Managers' knowledge of local BOPs <u>SLIMF:</u> Field inspections Harvest records and sales volumes New Zealand: 5.3.1.1 Harvest and on-site processing plans shall have in place strategies to reduce and contain waste. (This can be verified by a random sample of harvest and on-site processing plans and their implementations.)</p>
<p>Indicator 5.3.2 Harvesting techniques are designed to avoid log breakage, timber degrade and damage to the forest stand</p>	<p>Verifiers & Guidance: Interviews with Forest Managers, supervisors and workers. Observation of harvesting operations</p>

Indicator 5.3.3	Verifiers & Guidance:
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.
Indicator 5.3.4	Verifiers & Guidance:
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
Criterion 5.4	Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.
Indicator 5.4.1	Verifiers & Guidance:
The forest is managed for more than one product, considering both timber and non-timber forest products, where appropriate	Interviews with Forest Managers. Forest management planning <u>SLIMF (Low Intensity Forests):</u> Sales records. Discussions with local communities and the forest manager
<u>SLIMF (Small Forests):</u>	
Not applicable	
<u>SLIMF (Low Intensity Forests):</u>	New Zealand:
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.	5.4.1.1 Use of non-timber products from production areas shall be supported when these are operationally acceptable and compliant with any contractual obligations and have been assessed for their environmental effects on both the production areas and the surrounding reserve areas.
	5.4.1.2 5.4.2.1 A commitment is shown by the certificate holder to a range of measures to avoid risks by forest health surveillance, attention to the composition of plantations, and support for alternative species as per 10.3 and 10.4 .
Indicator 5.4.2	Verifiers & Guidance:
The utilisation of non-timber forest products by local community enterprises is encouraged	Interviews with Forest Managers and consultation with local communities. Evidence of NTFP sales or licenses or permits issued. New Zealand: 5.1.4 Social benefits shall include such activities as traditional cultural harvesting, provided the activity is legally permissible and consistent with Māori traditional practices.
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.
Indicator 5.5.1	Verifiers & Guidance:

<p>Forest managers are aware of the range of forest services and resources</p>	<p>Interviews with Forest Managers</p> <p>New Zealand:</p> <p>5.5.1 Forest management will identify water catchment areas and fisheries that may be compromised by management operations.</p>
<p>Indicator 5.5.2</p> <p>Forest management practices minimise negative impacts on services and other forest resources</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers</p>
<p>Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.</p>	
<p>Indicator 5.6.1</p> <p>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)</p> <p><u>SLIMF (Small Forests):</u></p> <p>Harvest levels are sustainable over the long term (a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely.</p> <p><u>SLIMF (Low Intensity Forests):</u></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>Verifiers & Guidance:</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>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>New Zealand:</p> <p>5.6.1 An annual statement of total wood volumes harvested from the forest management unit will be available.</p>
<p>Indicator 5.6.2</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>Verifiers & Guidance:</p> <p>Timber resource planning</p>
<p>Indicator 5.6.3</p> <p>Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</p>	<p>Verifiers & Guidance:</p> <p>Management plans</p>

PRINCIPLE 6. ENVIRONMENTAL IMPACT:

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.

Criterion 6.1 **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.**

Indicator 6.1.1

(Not applicable to SLIMF)

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 large scale organisations, the results of these impact assessments shall be documented.

Verifiers & Guidance:

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.

Interviews with Forest Managers, environmental NGOs and government conservation agencies.

Indicator 6.1.2**Verifiers & Guidance:**

<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 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"> § The building of new roads or substantial rerouting of existing roads; § Any form of flow restriction in streams and rivers; § Aforestation; § 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; § Recreational activities and associated infrastructure § Communication masts and associated infrastructure § Power lines § Water lines § Change of natural vegetation to commercial or any other use. § Erection of new fences § Use of natural areas and products for commercial gain or any other purpose § New waste disposal sites; § Implementation of new/modified activities/products that may have significant impacts on the environment. <p><u>SLIMF (Small Forests):</u></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><u>SLIMF (Low Intensity Forests):</u></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>	<p>A “significant activity is an activity that has the potential to cause environmental impacts that are:</p> <ul style="list-style-type: none"> § Permanent or long term; or § Affects a wide environment <p>An EIA is the formal 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 informal assessment for a project such as the planning of a harvesting operation. The purpose of an EIA is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</p> <p>Principles that a formal EIA should comply with are:</p> <p>Informed Decision Making: Decision-making should be based on reliable information.</p> <p>Accountability: Responsibilities must be clearly defined.</p> <p>Environment in the Broadest Sense: The environment includes all aspects (i.e. physical, social, political, economic, visual).</p> <p>Open Consultation: Consultation with all interested and affected parties must be done in a transparent manner.</p> <p>Specialist Input: Specialists in the particular field must support impact assessments.</p> <p>Alternatives: Consider all possible alternatives in terms of location and activities.</p> <p>Mitigatory Measures: Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</p> <p>Consider all Stages: 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>SLIMF:</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>Indicator 6.1.3</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>Verifiers & Guidance:</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>Indicator 6.1.4</p> <p>Timely corrective actions are considered and implemented to address both past and potential non-conformances.</p>	<p>Verifiers & Guidance:</p> <p><u>Corrective Actions:</u></p> <p>The first <u>objective</u> is, whenever there is a non-conformance:</p> <ul style="list-style-type: none"> § action is taken to correct any damage to the environment that may have occurred (corrective action); and § measures are instituted to prevent the non-conformance from recurring (preventive action). <p>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).</p> <p>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.</p> <p>Interviews with managers.</p> <p>Comparison of quality of ongoing operations and associated record of past CARs.</p>
<p>Indicator 6.1.5</p> <p>Corrective action requests (CARs) are recorded and closed out appropriately</p> <p><u>SLIMF:</u></p> <p>Timeous corrective actions are taken</p>	<p>Verifiers & Guidance:</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>Indicator 6.1.6</p> <p>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; where appropriate, local stakeholders are consulted prior to any introduction; all introductions are closely monitored</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, environmental NGOs and government agencies.</p> <p>Research briefs.</p> <p>Licences and permits.</p>
<p>Criterion 6.2</p> <p>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.</p>	
<p>Indicator 6.2.1</p>	<p>Verifiers & Guidance:</p>

<p>Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented</p> <p><u>SLIMF (Small Forests):</u></p> <p>Where known, rare, threatened and endangered species and their habitats are protected.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Where known, rare, threatened and endangered species and their habitats are mapped and protected.</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> <p>New Zealand:</p> <p>An evaluation of different indigenous ecosystem types within each Ecological District within which the certified forest occurs has been progressively undertaken.</p> <p>Coarse assessment of existing data is compiled to enable prioritising areas for protection in management areas.</p> <p>Comprehensive 'fine level' evaluations have been progressively undertaken appropriate to scale adjoining areas where harvesting operations are scheduled to occur within the next 5 years.</p> <p>Populations of rare, threatened or endangered species, or areas identified as being significant to their life cycle in production areas of the Forest Management Unit, are progressively identified in management plans and maps as either 'known presence' or 'reasonable expectation of finding'.</p>
<p>Indicator 6.2.2</p> <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><u>SLIMF:</u></p> <p>Other features which are important for conservation are identified and protected.</p>	<p>Verifiers & Guidance:</p> <p>Records and maps.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p><u>SLIMF:</u></p> <p>Maps showing conservation features</p> <p>Field observations and interviews with forest manager</p> <p>New Zealand:</p> <p>6.2.1 A policy and management plan for the protection of populations of rare, threatened and endangered species is prepared and progressively updated in consultation with the Department of Conservation and/or other competent experts.</p> <p>6.2.1.1 Suggestions supplied by DoC and/or other competent experts have been addressed in policies and plans.</p>
<p>Indicator 6.2.3</p>	<p>Verifiers & Guidance:</p>

<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> <p>New Zealand:</p> <p>6.2.8.1 Training is provided for employees/contractors to enable them to recognise and know what steps to take with rare and threatened species.</p> <p>6.2.8.2 Employees and contractors are encouraged to report the presence of threatened species.</p>
<p>Indicator 6.2.4</p> <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>Verifiers & Guidance:</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> <p>New Zealand:</p> <p><i>Suggest: Where reserve areas (including areas of other species) are less than 10% of the area of the FMU, Forest Managers must provide evidence of current management practices for reserve areas. They should also scope the potential for off-site management assistance.</i></p> <p>6.1.3 Landscape assessments have been progressively conducted for certified areas. Assessments are to include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Representative Indigenous reserve areas <input type="checkbox"/> Indigenous habitat for rare, endangered or threatened species <input type="checkbox"/> Riparian zones for water quality and in-stream wildlife <input type="checkbox"/> Wildlife corridors <input type="checkbox"/> Visual landscape elements as identified in the District Plan, or as specifically raised through community consultation.
<p>Indicator 6.2.5</p> <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>SLIMF:</p> <p>Conservation management and protection activities have been determined and are demarcated on maps</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps, including annual plan of operations.</p> <p>Field observations</p> <p>New Zealand:</p> <p>6.2.4.1 Within one year of identification and protection, pest and weed control plans are implemented in priority areas. Priority areas are areas that are significant to the life cycle of nationally threatened species.</p> <p>6.2.4.2 Within three years of identification and protection, pest and weed control plans are implemented over all reserve areas designated as requiring management for rare, threatened and endangered species.</p>

Indicator 6.2.6	Verifiers & Guidance:
<p>Authorised hunting, fishing, grazing and collecting activities are managed to ensure they do not exceed sustainable levels and inappropriate activities are prevented</p>	<p>Policies and procedures.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observations and records of collection.</p> <p>New Zealand:</p> <p>6.1.5 Known sport fish and game bird habitats within the certified forest area are documented.</p> <p>6.1.5.1 Areas outside of production stands such as reserves and waterways valued for sport fish and game birds have been identified and appropriate management practices are determined.</p> <p>6.1.5.2 Subject to operational requirements, access and where possible assistance will be provided to Fish & Game representatives to carry out population surveys of sport fish and game birds.</p>
Criterion 6.3	<p>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <ul style="list-style-type: none"> § Forest regeneration and succession. § Genetic, species and ecosystem diversity. § Natural cycles that affect the productivity of the forest ecosystem.
Indicator 6.3.1	Verifiers & Guidance:
<p>The status of the FMU with regard to:</p> <ul style="list-style-type: none"> § regeneration and succession § genetic, species and ecosystem diversity § natural cycles <p>is known or estimated.</p>	<p><i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i></p> <ul style="list-style-type: none"> § <i>Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</i> § <i>Impacts of past management e.g. logging, collection of NTFPs, soil erosion</i> § <i>Distribution and status of plant communities;</i> § <i>Conservation status of native floral and faunal assemblages, species and their habitats;</i> § <i>Spread of invasive species</i> § <i>Ongoing soil erosion</i> § <i>Water quality</i> <p>Records and maps</p> <p>Interviews with Forest Managers and local experts.</p>
Indicator 6.3.2	Verifiers & Guidance:

<p>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</p>	<p>Interviews with Forest Managers and local experts</p> <p>New Zealand:</p> <p>6.3.4 Where no resource consent is required, the certificate holder shall comply with the standards set out below.</p> <ol style="list-style-type: none"> 1. All vegetation felled within the riparian zone shall be felled away from the water body, except edge vegetation or vegetation leaning over a water body, which if necessary may be felled in accordance with safety practices. 2. Where vegetation is cleared within a designated riparian zone regeneration of suitable vegetation shall be encouraged as soon as practicable. 3. All practicable steps shall be taken to avoid dragging logs or trees through the bed of a flowing river, lake or wetland or the sea. 4. No storage or mixing of fuels, oils, agrichemicals or similar substances shall be undertaken in areas where a deliberate or inadvertent discharge could enter any water body. 5. All disturbed vegetation, soil or debris shall be deposited or contained to prevent the movement of the disturbed matter so that it does not result in: <ul style="list-style-type: none"> <input type="checkbox"/> the diversion, damming or blockage of any river or stream; <input type="checkbox"/> the passage of fish being impeded; <input type="checkbox"/> the destruction of any habitat in a water body or coastal water; <input type="checkbox"/> flooding or erosion; <input type="checkbox"/> downstream property damage.
<p>Indicator 6.3.3</p> <p>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained and where appropriate, there is a programme for restoration of degraded sites</p>	<p>Verifiers & Guidance:</p> <p><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></p> <p>Interviews with Forest Managers, local experts.</p> <p>Plans and maps and field observations.</p>
<p>Indicator 6.3.4</p> <p>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)</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps</p> <p>Interviews with Forest Managers, local experts</p>
<p>Criterion 6.4</p> <p>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.</p>	
<p>Indicator 6.4.1</p>	<p>Verifiers & Guidance:</p>

<p>For the protection and recording of representative samples of existing ecosystems in the landscape, refer to Criterion 6.2.</p>	<p>New Zealand:</p> <p>6.4.1 To maintain biodiversity, certificate holders shall recognise the long-term goal of establishing a representative network of reserve areas of sufficient size to protect natural biodiversity according to Tikanga and scientific evidence.</p> <p>6.4.2 The network of representative indigenous areas within the forest management unit are progressively mapped and recorded on management plans.</p> <p>6.4.2.1 Indigenous ecosystems within the Forest Management Unit that border areas to be harvested in the first 5 years shall be identified and protected.</p> <p>6.4.2.2 All existing indigenous forest remnants over 5 ha and other natural areas over 1 ha shall be progressively identified and protected as reserve areas.</p> <p>6.4.8 Reserve areas are monitored to ensure they are viable and management changes implemented if necessary to promote viability.</p>
<p>Criterion 6.5 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.</p>	
<p>Indicator 6.5.1</p> <p>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</p> <p><u>SLIMF:</u></p> <p>All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.</p>	<p>Verifiers & Guidance:</p> <p><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></p> <p>Records, plans and maps.</p> <p>Interviews with Forest Managers and field observations.</p> <p><u>SLIMF:</u></p> <p>Interviews with Forest Managers and field observations</p> <p>Maps showing new roads and locations of new and ongoing operations</p> <p>New Zealand:</p> <p>6.5.1.1 Documents (such as harvest plans, resource consent applications, contracts), appropriate to the scale and intensity, environmental sensitivity, and impact of the operations, exist that identify:</p> <ul style="list-style-type: none"> • The operation • Potential impacts • Methods to avoid, remedy and mitigate impacts.
<p>Indicator 6.5.2</p> <p>Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning</p>	<p>Verifiers & Guidance:</p> <p><i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p>
<p>Indicator 6.5.3</p>	<p>Verifiers & Guidance:</p>

<p>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</p> <p><u>SLIME:</u></p> <p>Buffer zones are maintained along watercourses and around water bodies and comply with national and regional best practice guidelines</p>	<p><i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p>
<p>Indicator 6.5.4</p> <p>Operators are aware of and able to implement adequate emergency procedures for clean up following accidental oil and chemical spillages</p>	<p>Verifiers & Guidance:</p> <p>Operational plans, interviews with staff and field observations.</p> <p>No evidence of significant spillages.</p>
<p>Criterion 6.6</p> <p>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.</p>	
<p>Indicator 6.6.1</p> <p>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.</p>	<p>Verifiers & Guidance:</p> <p><i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i></p> <p>Records of chemicals in use.</p> <p>Receipts and invoices.</p> <p>Procedures for the safe and appropriate use of chemicals</p>
<p>Indicator 6.6.2</p> <p>Prohibited pesticides are not used except where:</p> <p>§ a derogation of policy has been obtained from the FSC Secretariat; or</p> <p>§ a temporary exemption has been authorised in terms of FSC-IP-0001, by the SGS Qualifor Programme Director/Manager, prior to use.</p>	<p>Verifiers & Guidance:</p> <p><i>See FSC List of Chemicals Prohibited in Certified Forests; prohibited chemicals include those prohibited under national legislation or international agreement.</i></p> <p><i>SGS Qualifor may grant temporary exemptions (in terms of par 5.2.6 of FSC-IP-0001)subject to strict conditions, e.g. where no alternatives are identified after appropriate consultation with experts. Where a temporary exemption is approved a minor CAR will be raised and the motivation and support for such exemption will be specifically reported in the public summary of the assessment report. The Forest Manager will be informed that the exemption is temporary until clarification had been obtained from the FSC Secretariat.</i></p> <p>Chemical records</p> <p>New Zealand:</p> <p>6.6.2.1 Demonstrate by means of records of chemical use and/or contractual arrangements with spraying contractors.</p>
<p>Indicator 6.6.3</p>	<p>Verifiers & Guidance:</p>

<p>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:</p> <ul style="list-style-type: none"> § reduction of use is stated as a long-term objective; § a range of methods for pesticide control providing justification for chemical-use as an option; § procedures that promote the optimal use of chemicals (timing, follow-up, equipment, etc) § clear measurable targets for long term chemical use; with reduction as the objective; <p>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</p> <p>SLIMF:</p> <p>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</p>	<p><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></p> <p><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></p> <p>This requirement applies to nurseries located on the certified FMU.</p> <p>Chemical use records.</p> <p>New Zealand:</p> <p>6.6.3.1 There are records of chemical formulation and volume used.</p> <p>6.6.3.2 Each of the chemical formulations used is justified for use based upon a documented comparative analysis of alternative chemical and non-chemical means of achieving the required result. (Note that FOA will post on its website the most recent analysis of chemical and non-chemical silvicultural methods.)</p> <p>The certificate holder's avoidance or minimising of chemical use shall be demonstrated by a documented yearly review of the certificate holder's chemical use to ensure compliance with any formally notified revision of Annex 6.1 by the Chemical Standing Committee.</p>
<p>Indicator 6.6.4</p> <p>(Not applicable to SLIMF)</p> <p>Where pesticides are the preferred method of control for environmental or social reasons, the consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts</p>	<p>Verifiers & Guidance:</p> <p><i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i></p> <p>Interviews with Forest Managers and local experts.</p> <p>Documented justification.</p> <p>New Zealand:</p> <p>6.6.4.1 Demonstrate participation in research/trials related to reduced chemical and non-chemical pest management. This can include, but is not restricted to, participation in research and investigations initiated according to priorities established by the NIWG Chemical Standing Committee.</p>
<p>Indicator 6.6.5</p>	<p>Verifiers & Guidance:</p>

<p>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'</p>	<p>Procedures and records. Interviews with staff New Zealand: 6.6.5 There is compliance, including documentation where required, with NZS8409:1999 Code of Practice for the Management of Agrichemicals (or updates). 6.7.4 Documentary evidence of contractual obligations and/or procedures for the training of staff in chemical spill response will be available. The contractual obligation or procedure will detail:</p> <ul style="list-style-type: none"> • Siting of chemical storage in a manner facilitating recovery in the event of a spill. • Materials and equipment required on site in the event of a spill. • Procedures for containment and recovery of spilled chemicals. • Safe storage, transport and eventual recycling/disposal of recovered chemical. • Those requiring notification in the event of a spill and means by which they may be contacted.
<p>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.</p>	
<p>Indicator 6.7.1 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 possible</p>	<p>Verifiers & Guidance: Field observations and interviews with staff</p>
<p>Indicator 6.7.2 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.</p>	<p>Verifiers & Guidance: <i>Waste includes:</i> § Surplus chemicals § Chemical containers § Plastic waste § Fuels and lubricants § Worn vehicle tyres § Used vehicle batteries § Waste produced from processing operations § Domestic Evidence that waste has been disposed off in an acceptable manner.</p>
<p>Indicator 6.7.3</p>	<p>Verifiers & Guidance:</p>

<p>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'</p>	<p>Interviews with staff</p> <p>New Zealand:</p> <p>6.7.3 A procedure or contractual obligation for the recovery and recycling or appropriate disposal of used hydro-carbons shall be produced.</p> <p>6.6.10 GrowSafe or equivalent NZQA Unit Standard certificates for applicators and other certification is current.</p>
<p>Indicator 6.7.4</p>	<p>Verifiers & Guidance:</p>
<p>On-site facilities for easy collection of waste are provided</p>	<p>Presence of waste receptacles or other</p>
<p>Criterion 6.8 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.</p>	
<p>Indicator 6.8.1</p>	<p>Verifiers & Guidance:</p>
<p>The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing excessive cost</p>	<p>Interviews with Forest Managers.</p> <p>Policies and procedures.</p>
<p>Indicator 6.8.2</p>	<p>Verifiers & Guidance:</p>
<p>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</p>	<p>Documentation</p> <p>New Zealand:</p> <p>6.8.1 Use of biological control agents shall be restricted to those approved for use and release under the Hazardous Substances & New Organisms Act. Any use or release shall be in strict accordance with the conditions placed on such use or release by the Environmental Risk Management Authority.</p>
<p>Indicator 6.8.3</p>	<p>Verifiers & Guidance:</p>
<p>All activities where biological control agents are used are documented and monitored</p>	<p>Documentation</p>
<p>Indicator 6.8.4</p>	<p>Verifiers & Guidance:</p>
<p>No genetically modified organisms are used in management, production or research programmes within the FMU.</p>	<p>Interviews with staff.</p> <p>Records of biological material sources and supplies</p>
<p>Criterion 6.9 The use of exotic species shall be controlled and actively monitored to avoid adverse ecological impacts</p>	
<p>Indicator 6.9.1</p>	<p>Verifiers & Guidance:</p>

<p>Exotic species are assessed for adverse ecological impacts and such impacts avoided</p>	<p>Records of scientific studies. Interviews with Forest Managers</p> <p>New Zealand:</p> <p>6.9.1 The certificate holder shall comply with any applicable Regional Pest Management Strategy where this identifies a wilding species as a pest.</p>
<p>Indicator 6.9.2</p> <p>Unwanted regeneration is monitored, and if necessary controlled</p>	<p>Verifiers & Guidance:</p> <p>Monitoring records</p> <p>New Zealand:</p> <p>6.9.3 In the absence of a species being identified in the Regional Pest Management Strategy, the certificate holder shall remove 'wildings' in adjoining properties before seed production where:</p> <ul style="list-style-type: none"> • the adjoining property owner is agreeable to any wilding control activities required on his or her land, and • wildings are clearly identified as the progeny of species planted within the plantation area; and • wilding spread has occurred from the certified plantations.
<p>Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <ol style="list-style-type: none"> a) entails a very limited portion of the forest management unit; and b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. 	
<p>Indicator 6.10.1</p>	<p>Verifiers & Guidance:</p>

Forest conversion, if any, is limited to small areas (and its extent is acceptable to conservation organisations, regulatory authorities) and/or is of negligible environmental impact

Clear felling and replanting of a natural or semi-natural forest with a mixture 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.

The clearance of isolated single trees or pockets of natural vegetation less than 0.001 ha to consolidate plantation blocks or for essential infrastructure development is only permitted where acknowledged experts and regulatory authorities have been consulted and find it acceptable.

Interviews with Forest Managers, local experts and government agencies.

Plans and maps.

Field observations.

New Zealand:

6.10.1 Conversion of the following areas to plantation forestry shall not be permitted:

(a) Any area of 5 hectares or greater which has an actual or emerging predominance of naturally occurring indigenous tree species of any height.

(For the purposes of this clause an indigenous tree species is defined as any woody plant which ultimately forms part of the canopy of a naturally occurring forest or any indigenous tree species that attains a diameter at breast height of 30cm or greater.)

(b) Any natural indigenous forest vegetation of between 1 and 5 hectares in area with an average canopy height of at least 6 m which is practical to protect.

(This recognises that in some instances some small pockets of native vegetation within a plantation forest management area cannot practically be protected from disturbance. However, viable stands will be excluded from clearance and every reasonable effort made to ensure such areas are not damaged in subsequent forestry operations.)

(c) Any vegetation recommended for protection in a survey report in the Protected Natural Areas Programme or classified as a Site of Special Wildlife Interest (SSWI) in a published report of the former Wildlife Service.

(d) Significant Natural Areas (Areas recognised as significant indigenous vegetation or significant habitats of indigenous fauna) as defined in an operative District Plan under the Resource Management Act 1991.

(e) Indigenous habitat of rare, threatened or endangered species.

(f) Geopreservation Sites as listed in the Geopreservation inventory.

(g) Wetlands (as defined in the Resource Management Act 1991)

(h) Indigenous forested riparian margins.

(i) Dunelands where the primary vegetation is indigenous.

(j) Geothermal areas where there are indigenous plant communities adapted to geothermal conditions.

Indicator 6.10.2

Verifiers & Guidance:

<p>Conversion and aforestation do not occur in conservation zones, protection areas (see 6.2) or areas retained as representative of existing ecosystems (see 6.2)</p>	<p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans and maps.</p> <p>Field observations.</p> <p>New Zealand:</p> <p>6.10.2 The following lands shall not be considered for conversion to plantation forestry unless consultation is undertaken with interested parties to the National Initiative. Where a resource consent is required under the Resource Management Act consultation can be undertaken by that process:</p> <p>(i) High Country tussock scrublands or herbfields as defined in the Ministry for the Environment's LENZ publication and repeated in Annex 6.10.</p> <p>(ii) Coastal scrub and coastal herb fields with an indigenous plant content of greater than 30% within the area being considered.</p>
<p>Indicator 6.10.3</p> <p>Conservation benefits of conversion to non-forest land use or aforestation or compensatory conservation activities planned have been identified and assessed in cooperation with acknowledged experts; in the case of compensatory conservation activities, their extent is acceptable to conservation organisations, regulatory authorities</p>	<p>Verifiers & Guidance:</p> <p><i>Conversion may, for example, have a net conservation benefit where an area is converted back to its original natural or semi-natural habitat type such as open wetland or grassland.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>New Zealand:</p> <p>Compliance with FSC Policies:</p> <ol style="list-style-type: none"> 1. FSC-POL-20-003 (Excision of areas from the scope of certification), and 2. FSC-ADV-30-602 (Conversion of plantation to no forest land).
<p>Indicator 6.10.4</p> <p>Conservation benefits are substantial, additional, secure, and long term</p>	<p>Verifiers & Guidance:</p> <p>Scientific evidence and interviews with Forest Managers and local experts</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.

Criterion 7.1 The management plan and supporting documents shall provide:

- a) management objectives;
- 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;
- c) rationale for rate of annual harvest and species selection;
- d) provisions for monitoring of forest growth and dynamics;
- e) environmental safeguards based on environmental assessments;
- f) plans for the identification and protection of rare, threatened and endangered species;
- g) maps describing the forest resource base including protected areas, planned management activities and land ownership;
- h) description and justification of harvesting techniques and equipment to be used.

Indicator 7.1.1

There is a management plan (or overview linking different planning documents)

SLIMF:

Management plans may consist of brief notes and a map

Verifiers & Guidance:

Management plan

SLIMF:

Checking the plan exists and contains all the information required.

Field checks that the plan has been implemented in the past and is currently still followed.

Indicator 7.1.2

Management objectives are clearly described

SLIMF:

An outline is provided of objectives and how these will be achieved

Verifiers & Guidance:

Management plan

Indicator 7.1.3

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

SLIMF:

The forest is broadly described

Verifiers & Guidance:

Management plan

Indicator 7.1.4**Verifiers & Guidance:**

<p>Rate of harvest, species selection, management prescriptions (for production and conservation zones) and operational techniques are documented and justified</p> <p><u>SLIMF:</u></p> <p>Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided</p>	<p>Management plan</p> <p><u>SLIMF:</u></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>Indicator 7.1.5</p> <p>Provisions for monitoring forest growth and dynamics are described</p> <p><u>SLIMF:</u></p> <p>The plans include provisions for monitoring forest regrowth</p>	<p>Verifiers & Guidance:</p> <p>Management plan</p>
<p>Indicator 7.1.6</p> <p>Refer Criterion 6.1 for description of environmental safeguards</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.7</p> <p>Refer 6.2 for conservation planning and provision for RTE species.</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.8</p> <p>Refer Criterion 6.6 for pest management</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.9</p> <p>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.</p> <p><u>SLIMF:</u></p> <p>Refer Criterion 6.2</p>	<p>Verifiers & Guidance:</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>New Zealand:</p> <p>May be included in the RPMS.</p>
<p>Indicator 7.1.10</p>	<p>Verifiers & Guidance:</p>

<p>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</p> <p>SLIMF:</p> <p>There are appropriate maps showing the forest resource base including protected areas, watercourses, roads and ownership.</p>	<p>Maps and associated records</p>
<p>Indicator 7.1.11</p> <p>Harvesting techniques and equipment are described and justified</p> <p>SLIMF:</p> <p>The plan describes harvesting methods and silviculture to ensure responsible management</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p> <p>New Zealand:</p> <p>7.1.9.1 There are plans for all harvest settings containing sufficient detail, related to the scale and level of operational difficulty, so that environmental and safety risks are identified and addressed.</p>
<p>Indicator 7.1.12</p> <p>For <u>large scale operations</u>, 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 <u>small-scale operations</u> 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>SLIMF:</p> <p>Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
<p>Indicator 7.1.13</p> <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>SLIMF:</p> <p>Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>

Criterion 7.2		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.
Indicator 7.2.1	Verifiers & Guidance:	
In large scale organisations, staff members with responsibility for the overall compilation and updating of the management plan are identified	Company procedures	
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Indicator 7.2.2	Verifiers & Guidance:	
(Not applicable to SLIMF)	Publications	
New scientific and technical developments in production forestry and biodiversity conservation are available at the FMU or Forest Managers have access to this information	Interviews with Forest Managers	
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Indicator 7.2.3	Verifiers & Guidance:	
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.	
SLIMF:	Evidence of revised planning	
There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of plans.		
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Indicator 7.2.4	Verifiers & Guidance:	
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	
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Indicator 7.2.5	Verifiers & Guidance:	
In large scale operations a timetable for the periodic revision of the management plan is documented and adhered to	Management revision timetable and status of current management plan	
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Criterion 7.3		Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan
Indicator 7.3.1	Verifiers & Guidance:	
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	
SLIMF:	Interviews with workers and management	
Forest workers at all levels of skill and responsibility are appropriately trained in the tasks they are assigned to.	Field observations	
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Indicator 7.3.2	Verifiers & Guidance:
<p>(Not applicable to SLIMF)</p> <p>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</p>	<p>Training records</p> <p>Interviews with staff</p>
Indicator 7.3.3	Verifiers & Guidance:
<p>All activities are supervised and monitored sufficiently to ensure that plans, policies, procedures and contract specifications (for contractors) are adequately implemented</p>	<p>Operational procedures</p> <p>Interviews with staff.</p>
Indicator 7.3.4	Verifiers & Guidance:
<p>Evidence of formal or informal training exists in the field</p>	<p>Interviews with workers and field observations</p>
Indicator 7.3.5	Verifiers & Guidance:
<p>In large scale organisations a formal long-term training plan should be available</p>	<p>Strategic training plan</p>
<p>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.</p>	
Indicator 7.4.1	Verifiers & Guidance:
<p>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</p> <p><u>SLIMF:</u></p> <p>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.</p>	<p>Public Summary of Management Plan</p> <p><u>SLIMF:</u></p> <p>Management Plan is available</p>
<p>PRINCIPLE 8. MONITORING AND ASSESSMENT:</p> <p>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.</p>	
<p>Criterion 8.1 The scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment should determine the frequency and intensity of monitoring. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessments of change.</p>	
Indicator 8.1.1	Verifiers & Guidance:

<p>All activities that require monitoring are identified.</p> <p>For <u>large scale organisations</u> these shall be documented in a monitoring programme.</p>	<p>Interviews with Management and environmental specialists/stakeholders</p> <p>Monitoring programme</p> <p>New Zealand:</p> <p>8.1.1 The certificate holder maintains a monitoring plan that describes:</p> <p>a. elements to be monitored;</p> <p>b. monitoring indicator(s) for each element;</p> <p>c. rationale for the selection of each element and monitoring Indicator(s);</p> <p>d. consistent and replicable monitoring procedures;</p> <p>e. the frequency and intensity of monitoring, consistent with the nature of the monitoring indicator(s), management activities, environmental sensitivity of the site, assessed risks, stakeholder concerns, performance history and changing environmental conditions; and,</p> <p>f. relevant baseline information.</p>
<p>Indicator 8.1.2</p> <p>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</p> <p><u>SLIMF:</u></p> <p>Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.</p>	<p>Verifiers & Guidance:</p> <p>Monitoring programmes</p> <p><u>SLIMF:</u></p> <p>Manager's field notes</p> <p>Manager's description of how monitoring is done.</p>
<p>Indicator 8.1.3</p> <p>(Not applicable to SLIMF)</p> <p>Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.</p>	<p>Verifiers & Guidance:</p> <p>Monitoring procedures</p> <p>Interviews with Forest Managers and local experts</p>
<p>Indicator 8.1.4</p> <p>Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties</p>	<p>Verifiers & Guidance:</p> <p>Monitoring records, reports and archival system.</p> <p>Internal audit records</p> <p>CAR records</p>
<p>Indicator 8.1.5</p> <p>Corrective actions identified through the monitoring process are appropriately implemented and closed out</p>	<p>Verifiers & Guidance:</p> <p>Corrective action documentation</p>

Criterion 8.2	Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: <ul style="list-style-type: none"> § yield of all forest products harvested; § growth rates, regeneration and condition of the forest; § composition and observed changes in the flora and fauna; § environmental and social impacts of harvesting and other operations; § costs, productivity, and efficiency of forest management.
Indicator 8.2.1 Yields of all forest products harvested are recorded	Verifiers & Guidance: Harvesting records
Indicator 8.2.2 A timber resource inventory is conducted, appropriate to the scale and intensity of forest management <u>SLIMF:</u> The manager knows what information they need in order to judge progress towards their objectives. The information is collected and recorded. In all cases this will include: <ul style="list-style-type: none"> § Amount of products harvested § Effects of operations as identified under C6.1 § Changes in features identified under C6.2 § At least annual monitoring of high conservation values identified under C 9.1 § Invasive exotic species 	Verifiers & Guidance: <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> Documented inventory <u>SLIMF:</u> Discussions with forest manager. Evidence of the manager's knowledge of the forest and proactive approach to field observation and field notes Review of manager's field notes, observations or reports on HCVs. Available maps and reports from other sources
Indicator 8.2.3 Where non-timber products are used, a resource inventory is conducted, appropriate to the scale and intensity of forest management <u>SLIMF:</u> The presence sustainable harvest levels of non-timber forest products is known and	Verifiers & Guidance: Documented Inventory <u>SLIMF:</u> Interviews with the Forest Manager and field observations
Indicator 8.2.4	Verifiers & Guidance:

<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>Data</p> <p><u>SLIMF:</u></p> <p>Interviews with Forest Managers</p> <p>New Zealand:</p> <p>8.2.4.1. Appropriate to the scale and intensity of the operations, the environmental and social impacts to be monitored include:</p> <p>Direct and indirect employee numbers;</p> <p>Health & Safety statistics;</p> <p>Number of visitor days;</p> <p>Number of access permits issued;</p> <p>Numbers of requests for access.</p>
<p>Indicator 8.2.5</p> <p>Indicators of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected</p> <p><u>SLIMF:</u></p> <p>The forest manager is aware of the social impacts of operations and mitigate these where they are negative</p>	<p>Verifiers & Guidance:</p> <p>Data</p> <p>Interviews with Forest Managers and consultation with local communities</p>
<p>Indicator 8.2.6</p> <p>Data are collected on any wild mammals culled</p>	<p>Verifiers & Guidance:</p> <p>Data</p>
<p>Indicator 8.2.7</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>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and supervisors.</p> <p>Field observations</p> <p>Post-harvest monitoring record</p>
<p>Indicator 8.2.8</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>Verifiers & Guidance:</p> <p>Data and records</p>
<p>Indicator 8.2.9</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>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and contractors.</p> <p>Audit documents</p>
<p>Indicator 8.2.10</p>	<p>Verifiers & Guidance:</p>

Waste disposal sites within the FMU are regularly checked	Interviews with Forest Managers and field observations
Criterion 8.3 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.”	
Indicator 8.3.1 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.	Verifiers & Guidance: <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.
Indicator 8.3.2 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	Verifiers & Guidance: Delivery notes, receipts and stock records
Indicator 8.3.3 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)	Verifiers & Guidance: Sales invoices
Indicator 8.3.4 Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders	Verifiers & Guidance: Sales records, invoices
Indicator 8.3.5 Use of the FSC trademark is in accordance with policy and has been approved by SGS Qualifor	Verifiers & Guidance: Samples of trademark use
Criterion 8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.	
Indicator 8.4.1 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	Verifiers & Guidance: Interviews with local experts and Forest Managers. Forest planning documents

Indicator 8.4.2	Verifiers & Guidance:
<p>There is evidence that monitoring results are used to improve forest management</p> <p><u>SLIMF:</u></p> <p>Refer Indicators 7.2.3 and 7.2.4</p>	<p>Interviews with local experts and Forest Managers</p>
<p>Criterion 8.5 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.</p>	
Indicator 8.5.1	Verifiers & Guidance:
<p>Regular summaries of monitoring results and analysis by FMU are available to the public</p> <p><u>SLIMF:</u></p> <p>Refer Indicator 7.4.1</p>	<p>Public summary</p>
<p>PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS:</p> <p>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.</p>	
<p>Criterion 9.1 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</p>	
Indicator 9.1.1	Verifiers & Guidance:
<p>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</p> <p><u>SLIMF:</u></p> <p>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</p>	<p><i>This requirement must be applied to all forests undergoing assessment. HCVMs possess one or more the following attributes:</i></p> <ul style="list-style-type: none"> § <i>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;</i> § <i>Rare, threatened or endangered ecosystems;</i> § <i>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);</i> § <i>Forests fundamental to meeting basic economic or bio-physiological needs of local communities or critical to local community cultural identity.</i> <p>Interviews with Forest Managers and local experts. Evidence of assessments.</p>
Indicator 9.1.2	Verifiers & Guidance:
<p>For large scale organisations the assessment procedure should be documented and records of consultation maintained</p>	<p>Documented procedures and records</p>

Criterion 9.2		The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.	
Indicator 9.2.1		Verifiers & Guidance:	
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		Management plans and maps	
<u>SLIMF:</u>		Consultation with stakeholders and/or government agencies or evidence of input by these agents	
The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations and regulatory authorities.			
Indicator 9.2.2		Verifiers & Guidance:	
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 reasonable efforts should be made to establish co-management agreements with these stakeholders		Interviews with Forest Managers, local experts and communities.	
		Affected communities/persons are listed on the stakeholder list (refer Criterion 4.4).	
Criterion 9.3		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.	
Indicator 9.3.1		Verifiers & Guidance:	
All biological and/or social attributes of any HCVF identified are described in the management plan		Management plan	
Indicator 9.3.2		Verifiers & Guidance:	
The plan describes the specific measures to be taken to enhance the identified attributes (see also Criterion 7.1)		Management plan	
Indicator 9.3.3		Verifiers & Guidance:	
All measures are described in the public summary of the plan		Management plan	
Indicator 9.3.4		Verifiers & Guidance:	

<p>When an HCVF has been identified for biological values, management should:</p> <p>§ maintain natural patterns of distribution and abundance of species,</p> <p>§ maintain natural evolutionary and ecological processes (biotic and abiotic, including disturbance),</p> <p>§ avoid fragmentation, and set aside core areas for strict protection</p>	<p>Management plans and maps.</p> <p>Interviews with Forest Managers and local experts.</p> <p>Field observations.</p>
<p>Indicator 9.3.5</p> <p>Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)</p>	<p>Verifiers & Guidance:</p> <p>Management plans and maps.</p> <p>Interviews with Forest Managers and local experts</p>
<p>Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	
<p>Indicator 9.4.1</p> <p>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</p> <p><u>SLIMF:</u></p> <p>Refer Indicator 8.2.2</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local experts</p> <p>New Zealand:</p> <p>9.4.1.1 Annual monitoring will be conducted for any HCVFs identified in the FMU.</p> <p>The New Zealand Plantation Forest Standards Technical Committee has agreed that:</p> <ol style="list-style-type: none"> 1. "High Conservation Value Forests" are a rare occurrence outside New Zealand's established natural reserve system and identified SNAs by the Department of Conservation through its Protected Natural Area Programme. 2. Protection of HCVFs requires site specific management in accordance with Criteria 9.2-9.4 3. The concept of High Conservation Value Forests does not apply to production areas within plantation forests 4. [If High Conservation Value Forests are managed to the requirements of Principle 6 then this constitutes compliance with Principle 9.]
<p>Indicator 9.4.2</p> <p>Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management</p> <p><u>SLIMF:</u></p> <p>Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management</p>	<p>Verifiers & Guidance:</p> <p>Records of monitoring</p>
<p>Indicator 9.4.3</p> <p>Managers are aware of research developments which might contribute to management of HCVFs</p>	<p>Verifiers & Guidance:</p> <p>Scientific evidence.</p> <p>Interviews with Forest Managers and local experts</p>

<p>Indicator 9.4.4</p> <p>Managers are actively monitoring research developments which might contribute to management of HCVFs</p> <p><u>SLIMF:</u></p> <p>Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs</p>	<p>Verifiers & Guidance:</p> <p>Scientific evidence.</p> <p>Interviews with Forest Managers and local experts</p>
<p>PRINCIPLE 10. PLANTATIONS:</p> <p>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.</p>	
<p>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.</p>	
<p>Indicator 10.1.1</p> <p>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)</p>	<p>Verifiers & Guidance:</p> <p><i>“Natural forest” can be also be interpreted as natural vegetation.</i></p> <p>Forest Management Plan</p> <p>Interviews with Forest Managers and local experts.</p>
<p>Indicator 10.1.2</p> <p>The achievement of the objectives can be clearly demonstrated</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local experts.</p> <p>Field observations</p>
<p>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.</p>	
<p>Indicator 10.2.1</p>	<p>Verifiers & Guidance:</p>

<p>Natural vegetation areas within the FMU are identified and demarcated on maps and such areas within the landscape are known and considered during planning</p>	<p>Maps</p> <p>New Zealand:</p> <p>10.2.1 A network of Riparian Zones are to be progressively identified and protected within the FMU. Riparian zones are to be identified on all waterbodies that have permanent water when forested or adjoining waterbodies greater than 3m wide</p> <p>10.2.1.1 Riparian zones with existing indigenous vegetation greater than 20m wide on average are identified and managed for terrestrial biodiversity.</p> <p>10.2.1.2 All riparian zones bordering areas due for harvest are mapped and management plans prepared before harvesting occurs.</p> <p>10.2.1.3 All significant in-stream values are identified and management plans prepared</p>
<p>Indicator 10.2.2</p> <p>For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2</p>	<p>Verifiers & Guidance:</p> <p>New Zealand:</p> <p>10.2.4 Nothing in 10.2 precludes the harvesting of plantation trees in the riparian zone that were planted prior to the first certification.</p> <p>10.2.6 The need for wildlife corridors for rare, threatened, and endangered species shall be assessed within the ecological landscape and managed appropriately.</p> <p>10.2.6.1 Management of wildlife corridors within production areas in accordance with the needs of identified species shall be detailed in harvest plans.</p> <p>10.2.6.2 Indigenous wildlife corridors shall be managed as reserve areas where necessary for the protection of rare, threatened, and endangered species.</p>
<p>Indicator 10.2.3</p> <p>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.</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 10.2.4</p> <p>The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.</p>	<p>Verifiers & Guidance:</p> <p>Maps and field observations</p> <p>New Zealand:</p> <p>10.2.7.1 Planning of planting and harvesting has taken account of forestry impacts on the visual aspects of significant natural features, backdrops to urban areas, tourist and state highways and other issues of local significance. A willingness to negotiate solutions with the community of interest is to be demonstrated.</p> <p>10.2.7.1 A willingness to appreciate and negotiate solutions over mana whenua visual perceptions of the landscape is to be demonstrated.</p> <p>10.2.7.1 Visual landscape protection areas are documented on management plans. These may include indigenous reserve areas or low impact harvest amenity areas.</p>

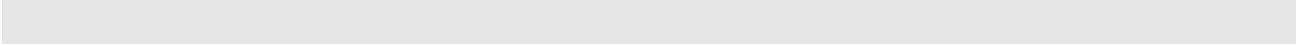
Criterion 10.3	Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.
Indicator 10.3.1 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	Verifiers & Guidance: Forest plans and maps Field observations
Indicator 10.3.2 Maximum clear-cut size is defined. Documented justification should be provided where there are potential adverse environmental or socio-economic impacts <u>SLIMF:</u> Maximum clear-cut size is defined and justified.	Verifiers & Guidance: Policies and procedures. <u>SLIMF:</u> Interviews with Forest Managers and field observations <i>New Zealand:</i> <i>Suggest</i> <i>The Certificate holder can demonstrate a process that examines the environmental and social impacts of clear fell coupe size.</i>
Criterion 10.4	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.
Indicator 10.4.1 Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives <u>SLIMF:</u> The species chosen for plantations are suited to the site and matched to the objectives.	Verifiers & Guidance: Scientific evidence and interviews with local experts <u>SLIMF:</u> Discussions with manager about plantation objectives Plans for future planting <i>New Zealand:</i> <i>10.4.1.2 Appropriate to size and scale, operational scale trials of exotic species other than radiata and Douglas-fir are being carried out. (This may be met by participating in a collaborative trial.)</i>
Indicator 10.4.2 Exotic species are used only where they outperform native species in meeting management objectives	Verifiers & Guidance: Scientific evidence and interviews with local experts <i>New Zealand:</i> <i>10.4.2 Exotic species shall be monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts</i> <i>10.4.2.1 This standard may be met by taking part in NZFOA's Forest Health Surveillance Programme or a similar programme.</i>

Indicator 10.4.3	Verifiers & Guidance:
Information is available on seed sources and these can be traced to the stand data	Plant records
Criterion 10.5 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.	
Indicator 10.5.1	Verifiers & Guidance:
<p>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</p> <p><u>SLIMF:</u></p> <p>Improvements to the ecological value of the plantation are made where conservation features exist.</p>	<p>SLIMF:</p> <p>Field observations of conservation features</p> <p>Plans for future improvements</p> <p>New Zealand:</p> <p>10.5.1.1 Coarse assessment of existing data is compiled to enable prioritising areas for protection in management areas that are to be harvested in the next 5 years.</p> <p>10.5.1.2 Comprehensive "fine level" evaluations have been progressively undertaken appropriate to scale for known ecosystems where adjoining harvesting operations which are scheduled to occur within the next 5 years.</p>
Criterion 10.6 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	
Indicator 10.6.1	Verifiers & Guidance:
<p>There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species;</p> <p><u>Small growers</u> and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the managed area.</p>	<p>Interviews with Forest Managers and local experts.</p> <p>Documented site information.</p> <p>Evidence that site information is being used in planning of operations.</p> <p>New Zealand:</p> <p>10.6.2 Plantations should be routinely monitored for reductions in productivity by monitoring the growth of the crop trees, and any reductions investigated to determine if they relate to changes in soil quality.</p>
Indicator 10.6.2	Verifiers & Guidance:
Where soils are degraded from previous activities, there are plans to restore them	<p>Soil degradation through erosion, oil and chemical spills, etc.</p> <p>Interviews with Forest Managers and field observations.</p>
Indicator 10.6.3	Verifiers & Guidance:
Major water resources within the forest area are identified	Maps and interviews with Forest Managers
Indicator 10.6.4	Verifiers & Guidance:
For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5	

Criterion 10.7	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 should 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.
Indicator 10.7.1 The principal forest pests and diseases are identified. For <u>large scale organisations</u> these shall be documented.	Verifiers & Guidance:
Indicator 10.7.2 In terms of pest and/or weed control and management, refer to Criterion 6.6	Verifiers & Guidance:
Indicator 10.7.3 Appropriate control and remedial action is taken in the event of a pest or disease problem. For <u>large scale organisations</u> these actions shall be documented.	Verifiers & Guidance: Interview with Forest Managers and staff. Documentation New Zealand: 10.7.2. A forest health surveillance programme is in place. Appropriate action is taken in relation to any issues raised in forest health. Pest control is part of an integrated pest management strategy. 10.7.2.2 The certificate holder contributes to New Zealand's biosecurity programmes through membership of NZFOA, or an equivalent biosecurity contribution.
Indicator 10.7.4 Where appropriate, adequate measures are taken to protect the forest from fire. For <u>large scale organisations</u> there is regular monitoring of fire readiness that test all procedures	Verifiers & Guidance: <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. New Zealand: 10.7.1 Fire plans and / or other documentation set out steps to prevent and suppress fires. There is correspondence and other evidence of involvement with the Rural Fire Authority. There is a system for documenting important records and ensuring compliance with the Forest & Rural Fires Act.

Criterion 10.8	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 should 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.
Indicator 10.8.1	Verifiers & Guidance:
For potential on-site impacts, see Criteria 6.1 and 6.5	
Indicator 10.8.2	Verifiers & Guidance:
(Not applicable to SLIMF) 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	Off-site impacts may include: § Spread of exotic plantation species. § Unwanted natural regeneration of native plantation species § Effects on water resources § Effects on soil fertility § Impacts on the aesthetics of the landscape Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.
Indicator 10.8.3	Verifiers & Guidance:
For exotic or invasive species issues, see Criterion 10.4	
Indicator 10.8.4	Verifiers & Guidance:
For social impacts, see Criteria 2.1 and 2.2	
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 of such conversion.
Indicator 10.9.1	Verifiers & Guidance:
The plantation does not occupy land converted from natural forest since November 1994	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. Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence. Interviews with Forest Managers and Government Agencies. Plantations plans and maps.

Indicator 10.9.2	Verifiers & Guidance:
If the plantation was converted since November 1994, there is adequate evidence that the current manager/owner was not responsible	Legal evidence of ownership or use-right



GLOSSARY OF TERMS

Words in the P&C are used as defined in most standard English language dictionaries. The precise meaning and local interpretation of certain phrases (such as local communities) should be decided in the local context by forest managers and certifiers. In this document, the words below are understood as follows:

alternatives	Considered during an impact assessment and would include options in terms of time, location and/or activity.
assessor	Qualifications recognised by SGS Qualifor as set out in the controlled SGS Qualifor document <i>Qualifications for Assessment Staff</i> (AD 11)
authority	A body that has legal powers and rights. NOTE: An authority can be regional, national or local.
bilateral arrangement	Recognition arrangement that covers the acceptance of each other's results by two parties.
biological control agents	Living organisms used to eliminate or regulate the population of other living organisms.
biological diversity	The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems.
biological diversity values	The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components.
body	A legal or administrative entity that has specific tasks and composition. NOTE: Examples of bodies are organizations, authorities, companies and foundations.
broad support	Agreement characterised by a wide and strong majority in favour of a proposal
chain of custody	The channel through which products are distributed from their origin in the forest to their end-use.
chemicals	The range of fertilizers, insecticides, fungicides, and hormones, which are used in forest management.
civil rights	Right or rights belonging to a person by reason of citizenship
civil rights violations	Infringement of the right or rights belonging to a person by reason of citizenship
client	Organization commissioning an evaluation. NOTE: The client may be the auditee, or any other organization, which has the regulatory or contractual right to commission an audit.
code of practice	A document that recommends practices or procedures for the design, manufacture, installation, maintenance or utilization of equipment, structures or products
community forestry	Forest management where local communities control the management and use of forest and tree resources.
community n.	1a all the people living in a specific locality. 1b a specific locality, including its inhabitants. 2 a body of people having a religion, a profession, etc. in common.
comparable standards	Standards on the same products, processes or services, approved by different standardizing bodies, in which different requirements are based on the same characteristics and assessed by the same methods, thus permitting unambiguous comparison of differences in the requirements.
compatibility	Suitability of products, processes or services for use together under specific conditions to fulfil relevant requirements without causing unacceptable interactions.

conditions	Remedial actions which must be undertaken according to an agreed schedule subsequent to accreditation being obtained; see pre-conditions.
conformity	Fulfilment by a product, process or service of specified requirements
conformity assessment	Any activity concerned with determining directly or indirectly that relevant requirements are fulfilled. NOTE: Typical examples of conformity assessment activities are sampling, testing and inspection; evaluation, verification and assurance of conformity (supplier's declaration, certification); registration, accreditation and approval as well as their combinations.
consensus	General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE: Consensus need not imply unanimity.
consent	To express willingness; to give permission; to agree. It also means a voluntary agreement; a permission. (See also, "Free and informed consent")
controlled wood	Wood or wood fibre which is identified by a company for exclusion of the wood categories outlined in FSC-STD-30-010 FSC requirements for forest managers for controlled wood
Corrective Action Request (CAR)	The formal document which details non-conformity with the requirements of the certification scheme and which specifies actions that must be taken to achieve conformity. CARs may be issued by FSC to certification bodies, or by certification bodies to certificate holders. CARs are the means by which the certification body ensures that continuous improvement actually takes place. CARs can be either minor or major. <ul style="list-style-type: none"> q A minor CAR is raised when a single observed lapse has been identified in a procedure required as part of the forestry organization's management system. q A major CAR is raised when there is an absence, or a total breakdown, of a procedure required as part of the assessed organization's management system."
criterion (pl. criteria)	A means of judging whether a Principle (of Forest Management) has been fulfilled, i.e. "a category of conditions or processes by which forest management can be assessed- a criterion is characterized by a set of related indicators which are monitored periodically"
customary rights	Rights which result from a long series of habitual or customary actions, constantly repeated, which have by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit.
customary rights:	Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (FSC Principles ad Criteria, February 2000)
deemed-to-satisfy provision	A provision that indicates one or more means of compliance with a requirement of a normative document.
delegate v.	1a commit (authority, power, etc.) to an agent or deputy. 1b entrust (a task) to another person. 2 send or authorize (a person) as a representative; depute. NOTE: In most cases, local communities and indigenous peoples are not the primary initiators or actors in forestry. Therefore, there will usually be an element of delegating control of forestry to a forest manager in FSC-certified operations. Implicit in the concept of free and informed consent in this context is the right to set conditions for delegation of control. Conditional delegated control means specific conditions for granting, withholding, or withdrawing consent for delegation of control are set. The conditions could also set benchmarks to be met by the forest manager. Those with authority to delegate control retain the right to revoke the delegation. The right to delegate control in the manner of their choosing is one of the "legal or customary rights" referred to in Principle 2. (See also "free and informed consent", and "customary rights").

dispute n.	<p>A dispute exists when the parties have exhausted consultative avenues to resolve their differences and the following occurs:</p> <p>a person or persons whose rights or interests are directly affected by the forest manager's activities gives written notice to the manager, indicating that they wish to pursue a dispute resolution process and specifying;</p> <p>which rights or interests are affected;</p> <p>by which management activities;</p> <p>in which location; and</p> <p>what modifications are considered appropriate to avoid or mitigate impacts on the rights or interests; OR</p> <p>the manager gives written notice to the disputant, in order to trigger the dispute resolution process and bring closure to the disagreement.</p> <p>NOTE: The last bullet here is intended to protect the forest manager against potential frivolous or injurious attempts to discredit their certification. It gives the manager the option of initiating the dispute resolution process, to cut short discussion. The alert certifying body, will, of course, need to aim at clarity between claims of injury from all sides.</p> <p>See also definition for Outstanding dispute.</p>
district	Area, county, locality
ecosystem	A community of all plants and animals and their physical environment, functioning together as an interdependent unit.
endangered species	Any species, which is in danger of extinction throughout all or a significant portion of its range.
environment	The environment is considered in its broadest sense and includes all aspects (i.e. physical, social, political, economic, visual).
evaluation	A third party examination and assessment of an FMU's management systems to determine the degree of conformity against a specified standard; and to validate their effective implementation.
evaluation for conformity	A systematic examination of the extent to which a product, process or service fulfils specified requirements.
exotic species	An introduced species not native or endemic to the area in question.
extension of scope	The extension of a certification to cover new forms of management activity and/or new areas of land
forest integrity	The composition, dynamics, functions and structural attributes of a natural forest.
forest management enterprise	<p>An organization or other single legal entity engaged in forest management.</p> <p>NOTE: The forest management enterprise may be responsible for forest management over one or more forest management units.</p>

forest management unit (FMU)	A clearly defined forest area with mapped boundaries, managed by a single managerial body to a set of explicit objectives, which are expressed in a self-contained multiyear management plan.
	Examples of forest management units:
	<ul style="list-style-type: none"> q An FMU may be a community managed forest; a privately owned estate incorporating several blocks of woodland that are managed within a consolidated management plan;
	<ul style="list-style-type: none"> q A management subdivision of a national forest service covered by a consolidated management plan;
	<ul style="list-style-type: none"> q The forest of a region or country consisting of many independent forest owners would not be an FMU (because it is not managed by a single, recognised managerial body according to a self-contained, multi-year management plan);
	<ul style="list-style-type: none"> q The regional subdivision of a national forest service could be an FMU if it is managed according to a set of explicit objectives expressed in a self-contained multi-year management plan.
	NOTE 1: A single, large FMU may be divided into several smaller FMUs by the development of independent management plans for each of the smaller areas. Conversely, several smaller FMUs may be consolidated to create a single, large FMU if the management plans are integrated into a single plan covering the whole area and managed by the same managerial body.
	NOTE 2: It is not a requirement that all the forest area within an FMU be contiguous. An FMU may consist of a number of separate sites or blocks of forest.
	NOTE 3: Where a forest forms part of a larger estate that is used for purposes other than forest management, e.g. farming, the area included within the FMU considered for certification will include such other land (streams and rivers, native vegetation, roads, etc.) that are physically within and/or logically associated with the forest.
forest management/manager	The people responsible for the operational management of the forest resource and of the enterprise, as well as the management system and structure, and the planning and field operations.
forest operations	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.
forest stewardship	Forest management, which, in conformity with the FSC Principles and Criteria for Forest Stewardship, is environmentally responsible, socially beneficial, and economically viable.
forest stewardship certification	Certification of forest management enterprises for conformity with the FSC Principles and Criteria for Forest Stewardship.
Forest Stewardship Standard	The normative document which specifies the requirements with which a forest management enterprise must conform in order to obtain FSC certification. Such a standard must include the exact language of the FSC Principles and Criteria for Forest Stewardship, together with the additional indicators necessary to permit implementation at the level of the forest management unit.
forest zone	Category of forest derived from the Holdridge Life Zones data set. FSC classifies forest zones as boreal, temperate, subtropical or tropical.
free and informed consent	<p><i>Consent</i> has two aspects to it: the consent must be <i>freely given</i>, and it must be <i>knowledgeably given</i>. Consent itself means to express willingness; to give permission; to agree. It also means a voluntary agreement, permission.</p> <p>NOTE: Freely given consent is consent that is voluntarily given, without manipulation, undue influence or coercion. Key to “freely given consent” is maintaining the essential dignity and individual/community’s right to choose. Informed consent involves explicitly informing a participant in the process, its potential benefits and risks, the alternatives to participating, and the right to withdraw from the process at any time. Key to “informed consent” is the quality, timeliness and appropriateness of information used to decide consent. Implicit in the right of free and informed consent in this context is the right to set specific conditions for granting, withholding, or withdrawing consent. The conditions could also set benchmarks to be met by the forest manager. The right to grant, withhold or withdraw consent is one of the “legal and customary rights” referred to in Principles 2 and 3.</p>

FSC accreditation	Formal recognition that a certification body is competent to evaluate forest management enterprises for conformity with FSC-recognised standards of forest stewardship, and/or is competent to evaluate suppliers as supplying products sourced from certified forest management enterprises.
FSC accreditation criteria	The set of requirements by which FSC determines whether a certification body can be accredited. In this manual, the requirements are divided into individual sections, which are subdivided into threshold requirements. Each threshold requirement defines the level of performance, which the certification body must achieve in order to be accredited.
FSC certification report	The report written by the certification body which: <ul style="list-style-type: none"> q describes the evaluation of a supplier for the purpose of certification; q describes the methodology used for the evaluation which is based on FSC Principles; q lists the findings from the evaluation; and q makes a recommendation as to whether certification should be granted.
FSC certification scheme	The complete system of certification of forest management enterprises and verification of chain of custody of forest products from these enterprises, including the accreditation of certification bodies authorised by FSC.
FSC international standard	A standard developed by FSC approved by the FSC Board of Directors and applicable internationally.
FSC logo	The FSC logo consists of a half tree, half tick (or check), together with the initials FSC. It is designed for use on labels, claims and forest products certified with the FSC certification scheme. The FSC logo is an internationally registered trademark and its use is controlled by legally binding contracts.
FSC Principles and Criteria	The 10 Principles and 56 associated Criteria specified in the document 'FSC Principles and Criteria of Forest Stewardship (February 2000). The FSC Principles and Criteria are endorsed by the FSC members as the international basis for the definition of forest stewardship and for the development of regional, national or sub-national Forest Stewardship Standards.
FSC product group	A group of products specified by a manufacturer, which share the same set of input materials in approximately the same proportions, and which are grouped together for the purpose of FSC chain of custody control and labelling. FSC product groups may be more or less narrowly defined. <p>Examples of product groups include:</p> <ul style="list-style-type: none"> q a line of furniture made of wood of a single species; q a particular furniture item (e.g. a desk) made according to a single specification; q a range of paper items made with the same paper stock; q a variety of dimensions of sawn wood of a single species.
FSC product group list	The list of all FSC product groups that a supplier requests be included within the scope of its FSC chain of custody certificate.
FSC trademarks	The initials 'FSC', the words 'Forest Stewardship Council', and the FSC Logo are registered trademarks.
FSC-certified	Certified by an FSC-accredited certification body as complying with specified FSC standards.
FSC-certified forest management unit	A forest management unit certified by an FSC-accredited certification body as complying with a specified FSC Forest Stewardship Standard.
FSC-certified product	A product that has been certified by an FSC-accredited certification body as complying with specified FSC standards.
genetically modified (GM) tree	GMO derived from a tree species. Clones, hybrids formed by natural processes, or the products of traditional tree breeding, selection, grafting, vegetative propagation or tissue culture are not GMOs, unless produced by GMO techniques.
genetically modified organisms	Biological organisms, which have been induced by various means to consist of genetic structural changes.

group certificate	A certificate issued to a group manager covering a number of forest management units (FMUs) or other sites owned or managed by several distinct legal entities.
group certification	An arrangement by which forest management units (FMUs) or other sites owned or managed by a number of distinct legal entities (group members) may be evaluated and subsequently certified within the scope of a single certificate.
group manager	The legal entity that applies for group certification, and holds any group certificate that is issued. The group manager may be an individual (e.g. a 'resource manager'), a cooperative body, an owner association, or other similar legal entity. The group manager is responsible to the certification body for ensuring that the requirements of certification are complied with for all the forest management units or other sites within the scope of the certificate.
group member	A legal entity, which owns one or more forest management units or other sites, that are included in the scope of a group certification. NOTE: Managers who manage forest management units on behalf of third parties may not be members of a group, i.e. 'groups of group managers' are not permitted.
High Conservation Value Forests	High Conservation Value Forests are those that possess one or more of the following attributes: <ul style="list-style-type: none"> q forest areas containing globally, regionally or nationally significant - concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or q large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance; q forest areas that are in or contain rare, threatened or endangered ecosystems; q forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control); q forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health); and/or q critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).
High Conservation Values	The attributes specified above as indicators of High Conservation Value Forest.
high-risk forest area	Forest areas having a high risk of supplying wood from the categories outlined in FSC-STD-30-010 FSC requirements for forest managers for controlled wood.
illegally harvested wood	Wood that has been harvested in violation of national laws including the acquisition of the harvesting rights from the rightful owner, the harvesting methods used, and payment of all relevant fees and royalties.
income	Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, and payments for environmental services rendered.
indicator	A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a forest management unit complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the forest management unit and are the primary basis of forest evaluation.
indigenous lands and territories	The total environment of the lands, air, water, sea, sea-ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used.

indigenous peoples	<p>The existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant." (Working definition adopted by the UN Working Group on Indigenous Peoples) (FSC-AC, February 2000). More recently, (March 2002) the FSC Board has agreed to incorporate ILO Convention 169 into FSC requirements. This Convention relates to 'Indigenous and Tribal Peoples' and applies to:</p> <p>tribal peoples in independent countries whose social, cultural and economic conditions distinguish them from other sections of the national community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations;</p> <p>peoples in independent countries who are regarded as indigenous on account of their descent from the populations which inhabited the country, or a geographical region to which the country belongs, at the time of conquest or colonisation or the establishment of present state boundaries and who, irrespective of their legal status, retain some or all of their own social, economic, cultural and political institutions.</p> <p>Self-identification as indigenous or tribal shall be regarded as a fundamental criterion for determining the groups to which the provisions of this Convention apply. "</p>
inspection	Evaluation for conformity by measuring, observing, testing or gauging the relevant characteristics; conformity evaluation by observation and judgement accompanied as appropriate by measurement, testing or gauging.
instruction	A provision that conveys an action to be performed.
international standard	Standard that is adopted by an international standardizing/standards organization and made available to the public .
key habitats	Habitats where red listed or endangered animals and plants exist or could be expected to exist.
landscape	A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area.
large scale forest	"large-scale forests" shall include at least those for which the total area included in the scope of evaluation (either as a single Forest Management Unit or as a collection or group of separate Forest Management Units) is greater than 10 000 hectares, unless the whole area meets the requirements for classification as a low-intensity managed forest
large-scale operations	FMUs that form part of an organisation where there is more than one layer of management and specific measures are necessary to maintain effective communication of policies, procedures and standards.
lead assessor	Qualifications recognised by SGS Qualifor as set out in the controlled SGS Qualifor document <i>Qualifications for Assessment Staff</i> (AD 11)
lead auditor	Person qualified to manage and perform audits.
legal entity	An entity having legal personality, that is, capable of enjoying and being subject to legal rights and duties.
legal rights	Those rights conferred by act of legislation, court or other instrument of government capable of defining indigenous rights as law.
license (for certification)	A document, issued under the rules of a certification system, by which a certification body grants to a person or body the right to use certificates or marks of conformity for its products, processes or services in accordance with the rules of the relevant certification scheme.
licensee (for certification)	A person or body that has obtained a license from a certification body; a person or body to which a license has granted
local adj.	<p>1 belonging to or existing in a particular place or places.</p> <p>2 of or belonging to the neighbourhood</p>

local civil society groups	Those groups representing local and community interests.
local language	At least one of the official languages of the country in which the certified FMU is located, or the most widely spoken language of the indigenous people in the area in which the certified FMU is located.
local laws	Includes all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms
long term	The time-scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions.
low-risk forest area	Forest areas having a low risk of supplying wood from the categories as outlined in FSC-STD-30-010 FSC requirements for forest managers for controlled wood.
major failure in an FSC Principle	Non-compliance(s) with the requirements of a Forest Stewardship Standard sufficient to disqualify a candidate from certification, or lead to withdrawal of a certificate.
major non-compliance	A non-compliance for which the effects prejudice the achievement of the objectives of the standard. A number of minor non-compliances against one requirement may be considered to have a cumulative effect, and therefore be considered a major non-compliance.
mark of conformity (for certification)	a protected mark, applied or issued under the rules of a certification system, indicating that adequate confidence is provided that the relevant product, process or service is in conformity with a specific standard or other normative document.
means of verification	A potential source of information or evidence that allows an auditor to evaluate compliance with an indicator.
member of a certification system	A certification body that operates under the rules of the system and has the opportunity to take part in the management of the system.
minor non-compliance	A temporary, unusual or non-systematic non-compliance, for which the effects are limited;
mitigatory measures	Measures that will reduce or negate negative impacts and enhance the positive impacts of planned activities.
multilateral arrangement	Recognition arrangement that covers the acceptance of each other's results by more than two parties.
multiple FMU certification	A certification for which the scope includes more than one forest management unit (FMU) managed by the same forest management enterprise.
native species	A species that occurs naturally in the region; endemic to the area.
natural cycles	Nutrient and mineral cycling as a result of interactions between soils, water, plants, and animals in forest environments that affect the ecological productivity of a given site.
natural forest	Forest areas where many of the principal characteristics and key elements of native ecosystems such as complexity, structure and diversity are present, as defined by FSC approved national and regional standards of forest management.
non-compliance	Non-fulfilment of a requirement of a standard. A non-compliance may be considered minor or major-

non-compliance with a Forest Stewardship Standard	Failure to meet the threshold requirement(s) of an indicator of a Forest Stewardship Standard. Such non-compliance may be considered 'minor' or 'major'
	<u>Minor non-compliance</u> with a Forest Stewardship Standard: a non-compliance may be considered minor if:
	<ul style="list-style-type: none"> q . it is a temporary lapse; or q . it is unusual/ non-systematic; or q . the impacts of the non-compliance are limited in their temporal and spatial scale; and q . prompt corrective action has been taken to ensure that it will not be repeated; and q . it does not result in a fundamental failure to achieve the objective of the relevant FSC Criterion.
	<u>Major non-compliance</u> with a Forest Stewardship Standard a non-compliance shall be considered major if, either alone or in combination with further non-compliances of other indicators, it results in, or is likely to result in a fundamental failure to achieve the objective of the relevant FSC Criterion in the Forest Management Unit(s) within the scope of the evaluation. Such fundamental failure shall be indicated by noncompliances which:
	<ul style="list-style-type: none"> q . continue over a long period of time; or q . are repeated or systematic; or q . affect a wide area; or q . are not corrected or adequately responded to by the forest managers once they have been identified.
non-timber forest products	All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products.
open consultation	Consultation with all interested and affected parties conducted in a transparent manner.
organization	<p>Company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions, administration and legal personality.</p> <p>NOTE 1: For organizations with more than one operating unit, a single operating unit may be defined as an organization if it meets the specified requirements.</p> <p>NOTE 2: Definition adapted from ISO 14050- 1998 (E/F) by the addition of the requirement that the organization has its own legal personality.</p>
origin	Forest area from where the wood or wood fibre came.
other forest types	Forest areas that do not fit the criteria for plantation or natural forests and which are defined more specifically by FSC-approved national and regional standards of forest stewardship.
Outstanding dispute (of substantial magnitude involving a significant number of interests)	A dispute that involves local rights holders, local forest workers, or local residents; the legal or customary rights of indigenous peoples; a range of issues and/or interests; potential impacts to the disputant(s) that are irreversible or cannot be mitigated; and are related to meeting the FSC Standards.
participant in a certification system	A certification body that operates under the rules of the system without having the opportunity to take part in the management of the system.
personnel	Employed staff and consultants and contractors.
plantation	Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments.
planted forests	Forests that have been established by artificial regeneration (seeds, seedlings or cuttings).

precautionary approach	Tool for the implementation of the precautionary principle. The certification body shall determine whether the number and impact of a series of minor noncompliances identified during sampling is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-compliances shall constitute a major non-compliance.
pre-conditions	Remedial actions which must be undertaken prior to accreditation being obtained; see conditions.
principle	An essential rule or element; in FSC's case, of forest stewardship.
Programme Administrator	SGS Qualifor (South Africa) person, responsible for the administration of the programme
Programme Director and Manager	Persons directly responsible for the SGS Qualifor programme, based in South Africa
project manager	The person in the office of an SGS Qualifor affiliate or partner (holding the contract with a client) directly responsible for managing a particular project.
Qualifor Project Database (Lotus Notes)	The database available on the SGS Lotus Notes system as indicated as "Qualifor Project Tracking" and used for maintaining information on certification projects and certificates.
Qualifor Project Directory (G-drive)	The directories on the G-drive of the SGS South Africa computer system that is used to store electronic copies of all certification related correspondence and documentation. These are stored in numerical format per project number.
reciprocity	<p>A bilateral relationship where both parties have the same rights and obligations towards each other.</p> <p>NOTE 1: Reciprocity can exist within a multilateral arrangement comprising a network of bilateral reciprocal relationships.</p> <p>NOTE 2: Though rights and obligations are the same, opportunities emanating from them may differ; this may lead to unequal relations between the parties.</p>
recognition arrangement	<p>Agreement that is based on the acceptance by one party of results, presented by another party, from the implementation of one or more designated functional elements of a conformity assessment system.</p> <p>NOTE 1: Typical examples of recognition arrangements are testing arrangements, inspection arrangements and certification arrangements.</p> <p>NOTE 2: Recognition arrangements may be established at, for example, national, regional or international level.</p> <p>NOTE 3: An agreement limited to declaration of equivalence of procedures without acceptance of results does not meet the above definition.</p>
recommendation	A provision that conveys advice or guidance.
registration	Procedure by which a body indicates relevant characteristics of a product, process or service, or particulars of a body or person, in an appropriate, publicly available list.
regulation	A document providing binding legislative rules that is adopted by an authority.
requirement	A provision that conveys criteria to be fulfilled. The term "requirement" describes an action, which is absolutely essential; the term "guideline" describes an action, which is advisory.
respect v.tr	<p>1a to avoid interfering with, harming, degrading, insulting, injuring or interrupting.</p> <p>1b to treat with consideration.</p>
SGS Qualifor	The international SGS office in SGS South Africa holding the FSC accreditation.
shall v.aux	expressing a command or duty
significant impact	<p>An impact or other activity that:</p> <ul style="list-style-type: none"> q continue over a long period of time; or q repeatedly; and/or q . affect a wide area;

silviculture	The art of producing and tending a forest by manipulating its establishment, composition and growth to best fulfil the objectives of the owner. This may, or may not, include timber production.
SLIMF (small or low intensity managed forest)	A forest management unit, which meets specific FSC requirements, related to size and/or intensity of timber harvesting, and can therefore be evaluated by certification bodies using streamlined evaluation procedures. The applicable FSC requirements are defined in FSC-STD-01-003 SLIMF Eligibility Criteria.
SLIMF group	A group of forest management units each of which meets the criteria as a SLIMF.
Small-scale operations	The total FMU considered for certification may not have more than one management level, typically the owner managing his/her own property or employing a manager to do so
source	The forest management unit of origin of wood/fibre.
specialist input	Specialists in the particular field providing information that may support a plan, procedure, policy or operational activity.
stakeholder	Individuals and organizations with a legitimate interest in the goods and services provided by an FMU; and those with an interest in the environmental and social effects of an FMU's activities, products and services. They include- those individuals and organizations which exercise statutory environmental control over the FMU; local people; employees; investors and insurers; customers and consumers; environmental interest and consumer groups and the general public.
standard	Document, established by consensus and approved by a recognised body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context. NOTE 1: Standards should be based on the consolidated results of science, technology and experience, and aimed at the promotion of optimum community benefits. NOTE 2: In science and technology, the English word "standard" is used with two different meanings- as a normative document as in French "norme" and also as a measurement standard (in French "étalon"...). Here the first meaning shall apply, see also standards, below.
standardisation	Activity of establishing, with regard to actual or potential problems, provisions for common and repeated use, aimed at the achievement of the optimum degree of order in a given context. NOTE 1: In particular, the activity consists of the processes of formulating, issuing and implementing standards. NOTE 2: Important benefits of standardization are improvement of the suitability of products, processes and services for their intended purposes, prevention of barriers of trade and facilitation of technological cooperation.
standardising body	A body that has recognized activities in standardization.
standards body	Standardizing body recognized at national, regional or international level that has as a principal function, by virtue of its statutes, the preparation, approval or adoption of standards that are made available to the public. NOTE: A standards body may also have other principal functions.
state of the art	The developed stage of technical capability at a given time as regards products, processes and services, based on the relevant consolidated findings of science, technology and experience.
statement	A provision that conveys information.
succession	Progressive changes in species composition and forest community structure caused by natural processes (nonhuman) over time.
supplier	The party that is responsible for ensuring that products meet and, if applicable, continue to meet, the requirements on which the certification is based. EXAMPLES: a forest management enterprise: or q an applicant for chain of custody certification.

supplier's declaration	A procedure by which a supplier gives written assurance that a product, process or service conforms to specified requirements.
surveillance	Periodic re-examination and validation; (see also evaluation, conformity surveillance. Note that evaluation is for first time accreditation or certification; surveillance takes place thereafter.
team leader	A SGS Qualifor lead assessor responsible for carrying out the Reassessment. Team leaders may also be project managers for the project.
technical regulation	A regulation that provides technical requirements, either directly or by referring to or incorporating the content of a standard, technical specification or code of practice. NOTE: A technical regulation may be supplemented by technical guidance that outlines some means of compliance with the requirements of the regulation, i.e. deemed-to-satisfy provision.
technical specification	A document that prescribes technical requirements to be fulfilled by a product, process or service. NOTE 1: A technical specification should indicate, whenever appropriate, the procedure(s) by means of which it may be determined whether the requirements are fulfilled. NOTE 2: A technical specification may be a standard, a part of a standard or independent of a standard.
tenure	Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the "bundle of rights and duties" of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc).
third party	Person or body that is recognized as being independent of the parties involved, as concerns the issue in question.
threatened species	Any species, which is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.
Trademark Coordinator	The SGS Qualifor Programme Manager: Chain-of-Custody, responsible for maintenance of trademark use within the Qualifor programme
Trademark Officer	A person who has undergone the necessary training and after a 6 month probation has been appointed by the Trademark Coordinator to consider and approve applications for use of the FSC trademark.
traditional knowledge	Includes, but is not limited to knowledge of: local behaviour, distribution or cycles of fish, wildlife and plant life; broader climatic changes or cycles; local ecosystem or geomorphologic responses to natural or human disturbances; local population densities or changes in fish and wildlife; qualitative information about the utility of a variety of medicinal, edible, or material resource plants; requirements or activities needed to maintain or enhance local ecosystems.
treatment, equal	Treatment accorded to products, processes or services from one party that is no less favourable than that accorded to like products, processes or services from any other party, in a comparable situation.
treatment, national	Treatment accorded to products, processes or services originating in other countries that is no less favourable than that accorded to like products, processes or services of national origin, in a comparable situation.
treatment, national and equal	Treatment accorded to products, processes or services originating in other countries that is no less favourable than that accorded to like products, processes or services of national origin or originating in any other party, in a comparable situation.
turnover	Total revenue of an organization derived from the provision of goods and services, less trade discounts, VAT, and any other taxes based on this revenue.
type approval	Approval based on type evaluation.

type evaluation	Evaluation for conformity on the basis of one or more specimens of a product representative of the production.
unilateral arrangement	Recognition arrangement that covers the acceptance of one party's results by another party.
use-rights	Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques.
verification of conformity	Confirmation, by examination of evidence that a product, process or service fulfils specified requirements.
workers	Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit