

## **QMI-SAI GLOBAL GENERIC STEWARDSHIP STANDARD FOR INTERNATIONAL FOREST MANAGEMENT CERTIFICATION UNDER THE FOREST STEWARDSHIP COUNCIL**

The following generic standard has been developed for use by QMI (the certification body) in countries that do not yet have an FSC-accredited regional, national or sub-national standard. Development of this generic standard is guided by the requirements outlined in FSC standard FSC-STD-20-003 *Local adaptation of certification body generic Forest Stewardship Standards*). Requirements for local adaptation of this generic standard are outlined in [blue text](#) throughout the standard (below). These requirements must be completed for countries with no existing FSC-accredited standard.

The QMI generic Forest Management standard shall comply with the latest versions of all approved FSC international policies, standards, guidelines and advice notes that apply to the interpretation of the FSC Principles and Criteria, as published on the official FSC website, and subject to relevant guidance from FSC in relation to standards effective dates.

The generic standard is structured as a hierarchy of the FSC Principles, FSC Criteria, associated indicators, and specific measurable outcomes or levels of performance for each indicator. Evaluation of compliance with the standard shall be performed at the Forest Management Unit (FMU) level for each indicator of the standard, and in comparison with any performance thresholds specified for each indicator. Examples of means of verification for each indicator are included in the standard. Specific performance thresholds for each indicator shall be developed at the time of local adaptation of this generic standard.

Indicators shall apply to all forests covered by the scope of this standard unless otherwise specified. Indicators must be specified for each criterion unless the criterion is considered to be inapplicable within the specified geographical scope. An explanation shall be provided if any FSC Criterion is considered to be inapplicable.

Small and/or low intensity managed forests (SLIMFs) may be made exempt from some indicators and/or alternative indicators may be developed for application on such forests. In such cases, this shall be clearly indicated in the standard.

In this Standard, a small forest management unit has a total area of 100 hectares or less, or may be up to 1,000 hectares total area where there is demonstrated broad support of national stakeholders in the country concerned to include forests greater than 100 hectares. A low intensity forest management unit is as defined in FSC-STD-01-003 *SLIMF Eligibility Criteria*.

This Standard may also be applied to groups of SLIMFs provided that the group is composed entirely of members who each meet the eligibility criteria for single small or low intensity forest management units, as described in the paragraph above.

<b>PRINCIPLE 1 – COMPLIANCE WITH LAWS AND FSC PRINCIPLES</b>			
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.			
<b>CRITERION 1.1</b> – Forest management shall respect all national and local laws and administrative requirements.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.1.1 All national, state/provincial, and local laws are being met, including environmental, labour and forestry laws.	<ul style="list-style-type: none"> <li>• Compliance records.</li> <li>• Interviews with federal, state/provincial and municipal staff to verify compliance record.</li> </ul>	<ul style="list-style-type: none"> <li>• A list of key legislation and requirements must be included as an Annex to the standard.</li> <li>• A list of regulatory authorities should be included.</li> </ul>	
1.1.2 Staff members, contractors, sub-licensees, and others associated with the applicant understand the legal and administrative obligations pertaining to forest and are kept up-to-date with respect to new regulations and developments.	<ul style="list-style-type: none"> <li>• Records of legislation</li> <li>• Accessibility of records to staff, contractors, sub-licensees and others.</li> <li>• Knowledge of staff members related to regulations/ legislation, and other legal responsibilities.</li> <li>• Presence of a system for ensuring that staffs, contractors, sub-licensees and others are kept up-to-date with respect to legal responsibilities.</li> <li>• Records indicating legislation-related training.</li> <li>• Interviews with authorities responsible for collecting of revenues (where applicable).</li> </ul>		
1.1.3 Any compliance issues with laws are, or are being, resolved promptly with the designated government authority.	<ul style="list-style-type: none"> <li>• Records of corrective action.</li> <li>• Interviews with personnel.</li> </ul>		

<b>CRITERION 1.2 – All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.2.1 All applicable and legally prescribed fees, royalties, taxes and other charges have been paid.	<ul style="list-style-type: none"> <li>• Receipts, accounts, etc.</li> <li>• Interviews with authorities responsible for collecting revenues</li> </ul>	<ul style="list-style-type: none"> <li>• Applicable fees, royalties, charges, etc. should be noted.</li> </ul>	

<b>CRITERION 1.3</b> – In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.3.1 The applicant is aware and understands the administrative and legal obligations of all binding international agreements.	<ul style="list-style-type: none"> <li>• Applicant’s copies of relevant international agreements.</li> <li>• Description of activities carried out by the applicant in relation to international agreements.</li> <li>• Interviews with staff at relevant levels of government regarding applicant’s adherence to international agreements.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Applicable international agreements must be listed in an Annex to the standard.</b></li> </ul>	

<b>CRITERION 1.4</b> – Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.4.1 Situations in which the applicant's compliance with laws and/or international agreements conflict with the FSC Principles, Criteria or Indicators are documented and provided to the audit team.	<ul style="list-style-type: none"> <li>• Interviews with forest managers.</li> <li>• Records of communication with FSC.</li> </ul>		
1.4.2 The applicant works with the FSC and appropriate regulatory bodies to resolve discrepancies.	<ul style="list-style-type: none"> <li>• Interviews with regulatory agencies.</li> <li>• Documentation.</li> </ul>		

<b>CRITERION 1.5 – Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.5.1 The defined forest area is protected from illegal harvesting, settlement and other unauthorized activities.	<ul style="list-style-type: none"> <li>• Program of routine inspections of the forest.</li> <li>• Documented procedures for identifying illegal activities from legitimate activities.</li> <li>• Inspection records.</li> <li>• Interviews with municipal and or federal government agencies involved with regulating settlement or development.</li> </ul>		<ol style="list-style-type: none"> <li>1) Observed level of compliance with regional regulatory forest practices.</li> <li>2) Comparison of audit field observations with Client inspections to assess degree of variance</li> </ol>
1.5.2 A system exists for documenting and reporting incidents of illegal harvesting, settlement and other unauthorized activities.	<ul style="list-style-type: none"> <li>• Procedures for reporting illegal activities.</li> <li>• Records of illegal activities.</li> <li>• Interviews with regulatory authorities.</li> </ul>		

<b>CRITERION 1.6 – Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
1.6.1 Long-term commitment to the FSC Principles and Criteria is demonstrated.	<ul style="list-style-type: none"> <li>• Written disclosure of all forest areas over which applicant has some responsibility.</li> <li>• Written statement of commitment to FSC P&amp;C approved by management.</li> <li>• Evidence of future intent to apply FSC P&amp;C on all forest areas not covered by the evaluation and over which the applicant has some responsibility.</li> </ul>		
1.6.2 Evidence that forest lands not covered by (excised from) the FM certificate do not compromise the applicant or certificate holder's demonstration of a long-term commitment to adhere to the <i>FSC P&amp;C; FSC-POL-20-002 Partial Certification &amp; FSC-POL-20-003 Excision of Areas from the Scope of Certification.</i>	<ul style="list-style-type: none"> <li>• Interviews with local stakeholders</li> <li>• Assessment of the impacts of management actions conducted the on excised forest lands on the eco-system function of the FMU.</li> </ul>		<p>1) If the excision of the forest lands from the FMU constitutes a serious failure of the applicant or certificate holder to meet the intent of Principle 1, then: i) a certificate shall not be issued, or, ii) a condition or corrective action request shall be specified.</p> <p>2) If a condition or corrective action request is not complied with, an issued certificate shall be withdrawn.</p>

**PRINCIPLE 2 – TENURE AND USE RIGHTS AND RESPONSIBILITIES**

Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.

**CRITERION 2.1** – Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.

<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
2.1.1 Availability of written documentation of long-term forest use rights.	<ul style="list-style-type: none"> <li>• Proof of ownership or title.</li> <li>• Documentation of legal boundaries.</li> </ul>		

<b>CRITERION 2.2</b> – Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
2.2.1 Local communities with legal or customary tenure or use rights have been identified.	<ul style="list-style-type: none"> <li>• Documentation (including verbal) of legal or customary tenure or use rights.</li> <li>• Maps illustrating areas of legal or customary tenure or use rights.</li> </ul>	<ul style="list-style-type: none"> <li>• Local communities with legal or customary tenure or use rights are to be identified.</li> </ul>	
2.2.2 All identified legal or customary tenure or use rights are respected and recognized in forest management.	<ul style="list-style-type: none"> <li>• Consultation with local community representatives.</li> <li>• Customary uses of the forest are sustained by the owner on a permissive basis.</li> <li>• Interview evidence and/or documentation of free and informed consent to delegate control over forest operations.</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation with representative organizations should occur – particularly where the forest is traditionally valued for aesthetic, spiritual or recreational reasons.</li> </ul>	<ol style="list-style-type: none"> <li>1) Confirmation via field audit observations.</li> <li>2) Absence of significant disputes.</li> </ol>
2.2.3 Tenure and control remains with local communities with legal or customary tenure or use rights unless delegated with free and informed consent to other agencies.	<ul style="list-style-type: none"> <li>• Documented discussions and/or agreements</li> </ul>		

<b>CRITERION 2.3</b> – Appropriate Mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
2.3.1 Appropriate mechanisms exist for the resolution of disputes over tenure claims and use rights.	<ul style="list-style-type: none"> <li>• Documentation of on dispute resolution process.</li> <li>• Documentation of the outcomes of dispute resolution, including evidence that process was followed.</li> <li>• Records of supporting and dissenting viewpoints.</li> </ul>	<ul style="list-style-type: none"> <li>• Any existing dispute resolution mechanisms should be identified.</li> <li>• Outputs from dispute resolution mechanisms reviewed against evidence obtained from municipal or federal government agencies regarding tenures claims and use rights.</li> </ul>	Auditor assessment of outcomes from dispute resolution mechanisms to determine level of conformance with Crit. 2.3
2.3.2 Records are maintained of all disputes and resolutions.	<ul style="list-style-type: none"> <li>• Records of disputes.</li> <li>• Documentation of steps taken to resolve disputes.</li> </ul>	<ul style="list-style-type: none"> <li>• Any known disputes should be identified.</li> </ul>	<b>(Note: unresolved disputes could disqualify from certification)</b>
2.3.3 Large-scale operations are begun only after conflicts have been resolved or all reasonable attempts to resolve issues have been made.	<ul style="list-style-type: none"> <li>• No evidence of unresolved disputes relating to current operations.</li> <li>• Documentation of consultations or agreements with tenure holders, groups or individuals with forest use rights and forest managers.</li> </ul>		Any outstanding disputes of substantial magnitude which involve a significant number of interests will normally disqualify the operation from certification.

**PRINCIPLE 3 – INDIGENOUS PEOPLES’ RIGHTS**

The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.

**CRITERION 3.1** – Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.

<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
<p>3.1.1 The applicant demonstrates a good working knowledge of Indigenous communities, and their legal and customary rights and interests related to forest lands within the forest management planning area.</p>	<ul style="list-style-type: none"> <li>• Documentation of awareness of characteristics of Indigenous populations – demographics, locations, governance, traditional use areas, existence of negotiations and/or legal action related to rights and interests, etc.</li> <li>• Copies of treaties and/or other recognized legal agreements</li> <li>• Records of consultations with local community representatives.</li> </ul>	<ul style="list-style-type: none"> <li>• Local communities with customary tenure or use rights in the area should be identified.</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with affected Indigenous peoples to understand the impact of forest management on their legal and customary rights and interests within the FMU planning area.</li> <li>• Review of evidence obtained during interviews to assess applicants knowledge and accommodation of Indigenous communities, and their legal and customary rights and interests related to forest lands within the forest management planning area.</li> </ul>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>3.1.2 Free and informed consent has been given by the Indigenous peoples where control of forest management is delegated to other agencies,</p>	<ul style="list-style-type: none"> <li>• Evidence that free and informed consent was given (e.g. agreements) to delegate control over forest operations.</li> <li>• All conditions, including exceptions and limitations, associated with the consent are followed.</li> </ul>		<p>Level of Concurrence as demonstrated through interviews with affected Indigenous Peoples.</p>
<p>3.1.3 A dispute resolution process has been jointly developed with the affected Indigenous communities and is being implemented.</p>	<ul style="list-style-type: none"> <li>• Knowledge of the dispute resolution mechanism.</li> <li>• Documentation of the dispute resolution mechanism.</li> <li>• Consultation with Indigenous representatives.</li> </ul>		<p>Level of Concurrence as demonstrated through interviews with affected Indigenous Peoples.</p>

<b>CRITERION 3.2</b> – Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
3.2.1 An assessment of potential threats to Indigenous resource and tenure rights has been undertaken jointly by the forest manager and Indigenous peoples in relation to the forest management area and results are documented.	<ul style="list-style-type: none"> <li>• Documentation.</li> <li>• Interviews with forest management personnel.</li> <li>• Consultation with Indigenous communities.</li> </ul>		
3.2.2 Explicit actions are taken to ameliorate threats or diminishments to Indigenous resources or tenure.	<ul style="list-style-type: none"> <li>• Implementation of plans to protect and accommodate resources and tenure rights.</li> <li>• Evidence that corrective and preventive actions are taken where planned actions are not followed or prove inadequate.</li> </ul>		<ul style="list-style-type: none"> <li>• Assessment of the applicant’s plans to protect and accommodate resources and tenure rights.</li> <li>• <b>Level of Indigenous Peoples satisfaction as determined via interviews with affected Indigenous peoples to understand the impact of forest management on their legal and customary rights and interests within the FMU planning area.</b></li> <li>• <b>Interviews with municipal, state and federal agencies responsible for Indigenous peoples resource or tenure rights</b></li> </ul>

<b>CRITERION 3.3</b> – Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
3.3.1 The forest manager acknowledges the significance of, and works cooperatively with indigenous peoples to identify and protect, sites of importance to indigenous peoples.	<ul style="list-style-type: none"> <li>• Documentation of the significance of sites of importance to indigenous people.</li> <li>• Records of consultations with and involvement of indigenous people in the identification of sites of importance.</li> <li>• Documentation of locations of sites of importance.</li> </ul>	<ul style="list-style-type: none"> <li>• Note any known sites of significance.</li> </ul>	<ul style="list-style-type: none"> <li>• Site visits to a sample of sites of special cultural, ecological, economic or religious significance</li> <li>• Interviews with affected Indigenous peoples to understand the impact of forest management on sites of special cultural, ecological, economic or religious significance within the FMU planning area.</li> <li>• Interviews with municipal, state and federal agencies responsible for Indigenous peoples tenure and customary use rights .</li> </ul>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>3.3.2 Planned activities include measures to protect sites of importance to indigenous peoples.</p>	<ul style="list-style-type: none"> <li>• Documentation of measures to protect sites of importance to indigenous people.</li> <li>• Implementation of protective measures.</li> <li>• Monitoring of the effectiveness of protective measures.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Note any statutory obligations to protect or manage such sites.</a></li> </ul>	<ul style="list-style-type: none"> <li>• Site visits to a sample of sites of special cultural, ecological, economic or religious significance</li> <li>• Review of applicant's plans to protect sites of special cultural, ecological, economic or religious significance</li> </ul>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>3.3.3 Protective measures are modified, in consultation with indigenous peoples, where necessary to ensure effectiveness.</p>	<ul style="list-style-type: none"> <li>• Monitoring results reviewed with indigenous people.</li> <li>• Adjustments to protective measures made</li> </ul>		<ul style="list-style-type: none"> <li>• Site visits to a sample of sites of special cultural, ecological, economic or religious significance</li> <li>• Interviews with affected Indigenous peoples to understand the impact of forest management on sites of special cultural, ecological, economic or religious significance within the FMU planning area.</li> <li>• Interviews with municipal, state and federal agencies responsible for Indigenous peoples tenure and customary use rights .</li> </ul>

<b>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.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
3.4.1 Managers identify and document circumstances in which management activities are reliant upon or based upon the application of traditional knowledge.	<ul style="list-style-type: none"> <li>• Records.</li> <li>• Documentation.</li> </ul>	<ul style="list-style-type: none"> <li>• Note any known applications of traditional knowledge (including use of forest species or management systems).</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with affected Indigenous peoples to understand the impact of forest management on sites of special cultural, ecological, economic or religious significance within the FMU planning area.</li> </ul>
3.4.2 Where indigenous peoples' traditional knowledge is applied to forest management activities, forest operations or the use of forest species, they are compensated.	<ul style="list-style-type: none"> <li>• Interviews with Indigenous community representatives and forest manager.</li> <li>• Documentation of use of traditional knowledge.</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>3.4.3 What constitutes appropriate compensation will be discussed with the Indigenous peoples and agreed upon in advance with their free and informed consent.</p>	<ul style="list-style-type: none"> <li>• Documentation of free and informed consent to compensation.</li> <li>• Records of agreed-to compensation being provided.</li> </ul>		<ul style="list-style-type: none"> <li>• Interviews with affected Indigenous peoples to understand the impact of forest management on sites of special cultural, ecological, economic or religious significance within the FMU planning area.</li> </ul>

<b>PRINCIPLE 4 – COMMUNITY RELATIONS AND WORKER’S RIGHTS</b>			
Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.			
<b>CRITERION 4.1</b> – The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
4.1.1 Employment opportunities are provided to workers from local and affected communities.	<ul style="list-style-type: none"> <li>• Recruitment strategy.</li> <li>• Evidence of employment of local personnel.</li> <li>• Advertisements in local newspapers.</li> <li>• Interviews with employee and community representatives.</li> </ul>		Assessment of recruitment efforts targeting local communities,
4.1.2 The applicant contributes to local and affected communities in a manner that builds capacity and enhances quality of life.	<ul style="list-style-type: none"> <li>•Records of event sponsorship, contributions to causes, contributions to continuing education and training, etc.</li> <li>•Provision of basic services where applicable:housing; health care clinics; shools; etc.</li> </ul>		Auditor assessment of client’s efforts to build capacity.
4.1.3 The procurement of goods and services from local suppliers is encouraged.	<ul style="list-style-type: none"> <li>• Policies.</li> <li>• Tender notices.</li> <li>• Evidence of local procurement.</li> </ul>		
4.1.4 Training is an integral and proactive part of operations so that employees can continuously upgrade their skills.	<ul style="list-style-type: none"> <li>• Training policies.</li> <li>• Training records.</li> <li>• List of training programs.</li> <li>• Evidence of collaboration with local and government training organizations.</li> <li>• Interviews of employees to assess retention of information.</li> </ul>		

<b>CRITERION 4.2 – Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
4.2.1 Forest management operations demonstrate a priority towards worker safety and meet or exceed all legal requirements for the health and safety of employees and their families.	<ul style="list-style-type: none"> <li>• Safety policy.</li> <li>• Accessible copies of guidelines and regulations.</li> <li>• Worker interviews.</li> <li>• Evidence of a safety program for forest workers.</li> <li>• Where applicable provision of adequate accommodation for employees and their families.</li> <li>• Where applicable provision of adequate health care to employees and their families.</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant health and safety guidelines should be noted.</li> </ul>	Auditor assessment of applicants' provision of services
4.2.2 Safety training is carried out with all employees.	<ul style="list-style-type: none"> <li>• Training records.</li> <li>• Documentation of training procedures.</li> <li>• Employee awareness of safety procedures.</li> </ul>		
4.2.3 Workers are provided with safety equipment.	<ul style="list-style-type: none"> <li>• Evidence of available safety equipment in good condition.</li> </ul>		Where OHSA regulations exist, worker safety equipment meets minimum requirements.
4.2.4 Work-related accidents and deaths are recorded, and preventative action is implemented and recorded.	<ul style="list-style-type: none"> <li>• Records.</li> <li>• Discussions with managers and employees.</li> <li>• Evidence of preventative action.</li> </ul>		Where OHSA regulations exist, Applicants' worker safety statistics indicate a reduction in incidents.

INDICATOR	• VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
4.2.5 Where workers and/or their families are required to live on-site, adequate dwellings or dwelling allowance is provided.	<ul style="list-style-type: none"> <li>• Dwellings or dwelling allowance are provided, as appropriate.</li> <li>• Dwellings meet or exceed all relevant safety and health regulations.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	Dwelling standards are consistent with regional standards.
4.2.6 The applicant will provide a health care program or health plan for full-time workers and their families. The health plan will be compatible with regional standards.	<ul style="list-style-type: none"> <li>• Documentation of health care program or health care plan.</li> <li>• Compatibility of health care program or plan with regional standards.</li> </ul>	<ul style="list-style-type: none"> <li>• .</li> </ul>	The health care program or plan is compatible with regional standards

<b>CRITERION 4.3</b> – The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
4.3.1 The rights of workers to organize and voluntarily negotiate with employers shall be guaranteed.	<ul style="list-style-type: none"> <li>• Copies of ILO convention 87 and 98.</li> <li>• Written conditions of employment.</li> <li>• Contracts.</li> <li>• Discussions with workers, labour union representative(s) and managers.</li> </ul>		

<b>CRITERION 4.4</b> – Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
4.4.1 An evaluation of the social impact of forest management has been performed by forest managers.	<ul style="list-style-type: none"> <li>• Records.</li> <li>• Documentation</li> </ul>		
4.4.2 Results of social impact assessment are incorporated into management decisions and management planning documents.	<ul style="list-style-type: none"> <li>• Management plan or supporting documents.</li> </ul>		Auditor assessment of impacts due to forest management indicates improved conditions.
4.4.3 Local organizations, individuals and stakeholders are given the opportunity to participate in forest management planning.	<ul style="list-style-type: none"> <li>• Documented process for conducting consultations.</li> <li>• Documented responses to input received.</li> <li>• Review of public input.</li> <li>• Interviews with community members to gauge satisfaction with results.</li> </ul>		Interviews with community members and stakeholders to gauge level of satisfaction regarding opportunities to participate in forest management planning.

<b>CRITERION 4.5</b> – Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
4.5.1 Adequate procedures are in place for solving grievances.	<ul style="list-style-type: none"> <li>• Documented procedure for resolving grievances.</li> <li>• Recorded use of mechanism.</li> </ul>	<ul style="list-style-type: none"> <li>• Comment as to whether existing statutory procedures are considered adequate for resolving grievances.</li> </ul>	
4.5.2 Due diligence is exercised in circumstances in which damage may be caused to property, rights, resources of livelihoods.	<ul style="list-style-type: none"> <li>• Records of damage.</li> <li>• Evidence of training programs related to damage avoidance.</li> <li>• Checking and monitoring procedures.</li> </ul>		
4.5.3 Adequate procedures are in place for providing fair compensation to local people where their legal or customary rights, property, resources or livelihoods have been damaged.	<ul style="list-style-type: none"> <li>• Documented procedure.</li> <li>• Records of past resolutions.</li> <li>• Interviews with compensated parties.</li> </ul>	<ul style="list-style-type: none"> <li>• Comment as to whether existing statutory procedures are considered adequate for providing compensation.</li> </ul>	Auditor assessment of the quality and nature of compensation indicates a level that meets it least local norms.

**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 toward 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	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
5.1.1 Revenue received is sufficient to cover implementation of the management plan and associated management costs.	<ul style="list-style-type: none"> <li>• Assessment of available and committed financial and other resources.</li> <li>• Comparison of budgets with actual expenditures in previous years.</li> <li>• Comparison of planned versus actual activities in previous years.</li> </ul>	<ul style="list-style-type: none"> <li>• Should record information about regional requirements with respect to royalties or other fee payments.</li> </ul>	
5.1.2 Financial resources are adequate to cover the full cost of forest management including environmental and social costs.	<ul style="list-style-type: none"> <li>• Self-sufficiency of the enterprise.</li> <li>• Identification of measures to offset negative socio-economic impacts associated with forest management.</li> </ul>		

<b>CRITERION 5.2</b> – Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
5.2.1 A proportion of production is made available to local enterprises.	<ul style="list-style-type: none"> <li>• Records of timber and other forest product sales and deliveries.</li> <li>• Number and type of local processors.</li> <li>• Interviews with local processors.</li> </ul>		
5.2.2 The highest and best economic use is sought for forest (timber and non-timber) products.	<ul style="list-style-type: none"> <li>• Evidence of product sorting.</li> <li>• Records of sales by product.</li> <li>• Evidence of efforts to determine quality and value prior to harvest.</li> <li>• Efforts to find new or better markets for forest products.</li> </ul>		<ul style="list-style-type: none"> <li>• Upward trend over time of value obtained per unit of product.</li> <li>• Where applicable, interviews with local forest product (timber and non-timber) users to determine improved access to raw materials from the applicant's FMU, year over year.</li> </ul>

<b>CRITERION 5.3</b> – Forest management should minimize waste associated with harvesting and onsite processing operations and avoid damage to other forest resources.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
5.3.1 All harvested merchantable and marketable timber is utilized unless planned to be left on site to provide structural diversity, and wildlife habitat, or for silvicultural reasons.	<ul style="list-style-type: none"> <li>• Utilization standards including acceptable levels of residual timber.</li> <li>• Utilization levels (field inspections and reporting).</li> <li>• Compliance records related to utilization.</li> <li>• Policies and procedures related to utilization.</li> </ul>		Auditor field verification that post harvest survey results meet regulatory requirements or those of local best management practices.
5.3.2 Post-harvest inspections are conducted to identify avoidable wastage of timber and non-timber resources.	<ul style="list-style-type: none"> <li>• Records.</li> <li>• Procedures.</li> <li>• Site inspections</li> </ul>		Auditor field verification that post harvest survey results meet regulatory requirements or those of local best management practices.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
5.3.3 Levels of damage to residual stands are minimised.	<ul style="list-style-type: none"> <li>• Damage to residuals (field inspections).</li> <li>• Compliance and inspection reports.</li> <li>• Damage avoidance training materials.</li> <li>• Appropriateness of equipment to site conditions.</li> <li>• Site inspections</li> </ul>		Auditor field verification that post harvest survey results meet regulatory requirements or those of local best management practices.
5.3.4 Non-timber resources are protected from damage during forest operations.	<ul style="list-style-type: none"> <li>• Documentation of the presence of non-timber resources and the potential impacts of forestry operations.</li> <li>• Damage avoidance training materials.</li> <li>• Appropriateness of equipment to site conditions.</li> <li>• Compliance and inspection reports.</li> <li>• Field observations.</li> </ul>		Auditor field verification that post harvest survey results meet regulatory requirements or those of local best management practices.

<b>CRITERION 5.4 – Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
5.4.1 Managers have information on the range of the forest’s potential products and services.	<ul style="list-style-type: none"> <li>• Research papers and reports.</li> <li>• Discussions with managers.</li> </ul>		
5.4.2 Multiple forest products are harvested and marketed, where economically feasible.	<ul style="list-style-type: none"> <li>• Records of species harvested (annual reporting documents).</li> <li>• Company financial reports on production and sales.</li> <li>• Discussions with managers.</li> <li>• Field observations.</li> <li>• Interviews with government agencies to determine the range of products available on the FMU.</li> </ul>		<ul style="list-style-type: none"> <li>• Interviews with local enterprises dependent on forest resources from the FMU indicate increased access year over year.</li> </ul>
5.4.3 Managers have assessed the possibility of utilization of lesser known species and non-timber forest products and encourage such endeavours.	<ul style="list-style-type: none"> <li>• Discussions with managers.</li> <li>• Documentation of assessments.</li> <li>• Existing local enterprises.</li> </ul>		

<b>CRITERION 5.5</b> – Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
5.5.1 Forest management operations are conducted in a manner that identifies, conserves and where appropriate, enhances forest services and resources such as watersheds and fisheries.	<ul style="list-style-type: none"> <li>• Forest values identified.</li> <li>• Guidelines or standards for protection of forest values in place and followed.</li> <li>• Training provided to workers.</li> <li>• Interviews of forest workers to determine level of awareness regarding protection of forest resources and enhancement of forest services such as water quality and fisheries.</li> <li>• Field observations of forest operations.</li> </ul>		

<b>CRITERION 5.6 – The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
5.6.1 A long term, sustainable harvest level, consistent with the ecology of the forest, is calculated and adjusted periodically to reflect changes in forest condition.	<ul style="list-style-type: none"> <li>•Management plan and/or associated documentation.</li> </ul>	<ul style="list-style-type: none"> <li>•Demonstration of ,and rationale for, the planned harvest age (s) for the commercial species on the FMU</li> <li>•Review of natural ecological cycles for the region where FMU to compare planned age(s) of harvest to age(s) of natural mortality.</li> <li>•Demonstration of an ongoing inventory of timber and non-timber resources on the FMU.</li> </ul>	Auditor assessment of forecasted harvest levels does not indicate a possibility of degradation of existing ecological condition of the forest.
5.6.2 The expected level of harvesting is clearly justified in terms of the permanently sustainable yield of the forest.	<ul style="list-style-type: none"> <li>• Documentation of rationale for harvest levels.</li> </ul>		Auditor assessment of forecasted harvest levels does not indicate a possibility of degradation of existing ecological condition of the forest.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
5.6.3 Calculation of harvest levels that are explicit and appropriate.	<ul style="list-style-type: none"> <li>• Forecasts of regeneration success.</li> <li>• Growth, quality and size distribution of the main species</li> <li>• Review of growth and yield models.</li> <li>• Up-to-date forest inventory.</li> <li>• Natural succession pathways.</li> <li>• Effects and success of silvicultural treatments – review of silvicultural effectiveness reporting and field inspections.</li> <li>• Research papers.</li> <li>• Soils mapping and site index determination tools.</li> </ul>		
5.6.4 Actual harvest rates do not exceed planned levels. Also see 5.6.1.	<ul style="list-style-type: none"> <li>• Records of planned harvest vs. actual harvest.</li> <li>• Annual or other reporting documents - actual harvest level is at or below the allowable harvest level. Also see 5.6.1.</li> <li>• Confirmation of harvest levels with regulatory bodies.</li> </ul>		

**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 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.  
 \* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.1.1 Benchmarks of current forest condition, soils, ecological and hydrologic variables are in place for comparison and assessment purposes.	<ul style="list-style-type: none"> <li>• Baseline data available on such items as: tree species composition and age class structure, ecosystem classification, wildlife species populations and habitat, soil characteristics, area of water body classification, etc.</li> </ul>		Trends in data indicate quantitative or qualitative improvement year over year.
<p><a href="#">Alternative indicator</a>            The forest manager demonstrates appropriate knowledge of the environmental values associated with the forest.</p>	<ul style="list-style-type: none"> <li>• Documentation in the forest management plan</li> <li>• Verifiable statements by the forest manager</li> </ul>		Auditor assessment of SLIMF manager knowledge determines no negative environmental consequences as a result of his/her decision and actions.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<ul style="list-style-type: none"> <li>6.1.2 Assessments of environmental impacts are completed prior to the conduct forest management activities commence.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental data available for the forest and neighbouring lands.               <ul style="list-style-type: none"> <li>Records of pre-harvest assessments.</li> <li>Documentation of field surveys of harvest activities (post harvest).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Identify any guidelines or legislation with respect to environmental assessment requirements.</li> </ul>	<p>Auditor verification determines that environmental impact assessments are appropriate to the scale and intensity of forest management, and take into account landscape level considerations and the uniqueness of resources..</p>
<p><b>Alternative indicator</b> The management goals include a commitment not to negatively impact forest values with management activities and to take steps to mitigate impacts when they are identified</p>	<ul style="list-style-type: none"> <li>Documentation in the forest management objectives demonstrate an understanding of the actual or potential negative impacts of forest management activities on the natural values and resources currently present on the forest.</li> </ul>		<p>Auditor assessment of SLIMF manager knowledge determines no negative environmental consequences as a result of his/her decision and actions.</p>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>6.1.3 Environmental impact assessments occur prior to forest management activities are conducted. Environmental impact assessments occur consistently during management planning.</p>	<ul style="list-style-type: none"> <li>• Records of pre-harvest assessments.</li> <li>• Documentation of field surveys of harvest activities (post harvest).</li> <li>• Existence of an environmental impact assessment for the FMU.</li> </ul>		<p>Auditor field assessment of proposed harvest units to determine appropriateness of planned activity.</p>
<p><a href="#">Alternative indicator</a> Information on the negative impacts on forest values contained in the forest management plan is applied to field practices.</p>	<ul style="list-style-type: none"> <li>• Records of mitigation efforts to address negative impacts.</li> <li>• Field assessment (post harvest) of forest operations .</li> </ul>		<p>Auditor field assessment of forest management activities determines no negative environmental consequences as a result of these actions.</p>
<p>6.1.4 Information and data continuously and systematically collected for use in impact assessment.</p>	<ul style="list-style-type: none"> <li>• Evidence of on-going data collection.</li> <li>• Participation, research projects and information-gathering exercises.</li> </ul>		<p>Auditor field assessment of forest management activities determines no negative environmental consequences as a result of these actions.</p>
<p><a href="#">Alternative indicator</a> Information regarding values negatively impacted by forest management activities is kept current.</p>	<ul style="list-style-type: none"> <li>• Forest management plan documentation.</li> <li>• Records of mitigation efforts to address negative impacts.</li> <li>•</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.1.5 Results of assessments are considered and incorporated into forest management.	<ul style="list-style-type: none"> <li>• Evidence of results being incorporated into management planning and operations.</li> <li>• Policies and procedures related to results of assessments.</li> </ul>		Auditor field assessment of forest management activities determines no negative environmental consequences as a result of these actions.
<p><a href="#">Alternative indicator</a> Forest management objectives and practices are adjusted to ensure environmental impacts are minimized based on observations and/or documentation of the effectiveness of field practices.</p>	<ul style="list-style-type: none"> <li>• Changes to documentation</li> <li>• Changes to field practices</li> <li>• Observed negative impacts on forest values.</li> </ul>		Field assessments (post harvest) of forest operations indicate that mitigating measures are effective.
6.1.6 Management activities consider landscape-level impacts (i.e. take into account activities occurring on adjacent lands). This information will be incorporated into long-term management plans.	<ul style="list-style-type: none"> <li>• Land use and other plans for neighboring lands.</li> <li>• Forest management plan re-assessment on a defined basis (e.g. annual, biennial, every five years).</li> <li>• Incorporation of public land-use planning processes.</li> <li>•</li> </ul>		Auditor field assessments of FMU areas bordering on adjacent land ownership(s) demonstrate that FMU managers have considered management practices of neighbours.

**CRITERION 6.2** – 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. Disagree with comment in ABU CHK -01-140 QMI Feb 07 for 6.2.5. Making Forest Managers responsible for *control* of poaching endangers forest workers – control is the responsibility of government agencies. In jurisdictions where poaching is more prevalent, government resources are typically less effective and the danger to FMU workers attempting to control (i.e. prevent) poaching is that much greater. FMU workers can cooperate with agencies but cannot be primarily responsible for control of poaching.

\* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.2.1 A listing is available of all species at risk known or thought to exist within the forest.	<ul style="list-style-type: none"> <li>List of species of concern.</li> <li>Consultation with local biologists.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">An official list of species at risk for the country or region must be included as an Annex to the standard.</a></li> </ul>	Majority of FMU staff demonstrate awareness of species at risk.
<a href="#">Alternative indicator</a> Rare, threatened and endangered species that occur or may occur on the forest are listed and their critical habitat requirements are summarized in the management plan.	<ul style="list-style-type: none"> <li>Documentation in management plan.</li> </ul>		Key SLIMF staff demonstrate awareness of a listing of species at risk.
6.2.2 Habitat for species at risk is clearly identified, located and appropriately managed.	<ul style="list-style-type: none"> <li>Maps showing habitat.</li> <li>Evidence of consultation with wildlife experts (including Indigenous peoples).</li> <li>Procedures and guidelines for the management of species at risk.</li> </ul>		
<a href="#">Alternative indicator</a> Known locations of rare, threatened and endangered species are described and critical habitat features are protected.	<ul style="list-style-type: none"> <li>Documentation, which may include maps, of critical habitat features</li> <li>Management practices are consistent with protection of critical habitat features.</li> </ul>		Key SLIMF staff demonstrate awareness of species at risk and where they may be found in the FMU.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.2.3 Employees are trained in the identification of species at risk and their habitats.	<ul style="list-style-type: none"> <li>• Training materials.</li> <li>• Training records.</li> <li>• Interviews with employees.</li> </ul>		Majority of FMU staff and forest workers interviewed demonstrate awareness of species at risk.
<p><b>Alternative indicator</b> Where rare, threatened or endangered species or their habitat is present on the forest, workers and supervisors are informed of this and receive appropriate instructions regarding their responsibilities.</p>	<ul style="list-style-type: none"> <li>• Records of training/instruction,</li> <li>• verification of worker knowledge through field observations and interviews</li> </ul>		Majority of forest workers interviewed demonstrate awareness of species at risk.
6.2.4 Areas of special importance for biodiversity are identified on maps and protected from harvesting and other site disturbances.	<ul style="list-style-type: none"> <li>• Maps.</li> <li>• Consultation with local biologists.</li> <li>• Field visits.</li> </ul>		Majority of FMU staff and forest workers interviewed demonstrate awareness of areas of special importance.
<p><b>Alternative indicators</b> Known locations of areas special importance for biodiversity are described and protected.</p>	<ul style="list-style-type: none"> <li>• Documentation, which may include maps, of areas of special importance for biodiversity.</li> <li>• Management practices are consistent with protection of areas of special importance to biodiversity</li> </ul>		Key SLIMF managers / supervisors demonstrate awareness of areas of special importance for areas of biodiversity and where they may be found in the FMU.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.2.5 The applicant cooperates with resource management agencies to control illegal hunting, fishing and trapping.	<ul style="list-style-type: none"> <li>• Evidence of cooperation.</li> <li>• Interviews with enforcement personnel.</li> <li>• Field inspection evidence of control measures.</li> <li>• Appropriate training for employees to identify poachers and prevent poaching.</li> </ul>		Majority of FMU FMU staff and workers know what to report and to whom.
<p><a href="#">Alternative indicators</a> All known instances of illegal hunting, fishing and trapping within the forest are reported to the appropriate regulatory agencies.</p>	<ul style="list-style-type: none"> <li>• Discussions with forest manager and representatives from regulatory agencies</li> <li>• Documentation when available</li> </ul>		Majority of SLIMF managers, supervisors, and workers know what to report and to whom.

<b>CRITERION 6.3</b> – Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.3.1 Silvicultural systems are appropriate to the ecology of the forest.	<ul style="list-style-type: none"> <li>• Discussions with forest managers.</li> <li>• Discussions with biologists.</li> </ul>	<ul style="list-style-type: none"> <li>• Silvics of primary tree species should be noted.</li> </ul>	
6.3.2 Silvicultural treatments are appropriate to the maintenance of ecological function.	<ul style="list-style-type: none"> <li>• maintenance of structural diversity</li> <li>• effective and timely regeneration</li> <li>• impacts on wildlife,</li> <li>• Silviculture prescriptions.</li> <li>• Silviculture records.</li> <li>• Interviews with forest managers.</li> <li>• Field inspections.</li> <li>• Evidence of planned succession pathways.</li> </ul>		Auditor assessment of planning and conduct of silviculture activities indicates that these activities are appropriate and effective.
6.3.3 Harvesting is carried out with consideration of the types, sizes and frequency of natural disturbances.	<ul style="list-style-type: none"> <li>• Discussion with forest managers.</li> <li>• Historical evidence.</li> <li>• Management plan.</li> </ul>		Auditor assessment of harvest planning and conduct of harvest activities indicates that these activities are appropriate and effective
6.3.4 Site disturbing activities are carried out so as to minimise adverse impacts to soil fertility, structure and nutrients.	<ul style="list-style-type: none"> <li>• Standard operating procedures.</li> <li>• Field visits.</li> </ul>		Auditor assessment of mechanical site preparation activities indicates that these activities are appropriate and effective.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.3.5 Management of the forest area maintains a range of successional stages.	<ul style="list-style-type: none"> <li>• Pre-harvest and post-harvest inventories.</li> <li>•</li> </ul>		
6.3.6 Genetic diversity is maintained	<ul style="list-style-type: none"> <li>• Management prescriptions.</li> <li>• Proportion of natural regeneration to artificial regeneration.</li> <li>• Seed procurement records.</li> <li>• Records of seed sowing requests.</li> <li>• Seed provenance guidelines</li> </ul>		Auditor field assessment of regeneration activities confirms that genetic diversity is a focus of management and is being maintained at pre-harvest levels.
6.3.7 Special flora and fauna habitats are protected where locations are known or could be anticipated based on eco-system predictive mapping	<ul style="list-style-type: none"> <li>• Management plan.</li> <li>• Field inspections.</li> <li>• Eco-system predictive maps.</li> </ul>		

<b>CRITERION 6.4</b> – Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources. * <b>Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</b>			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
6.4.1 A network of protected (i.e. maintained in their natural state - preservation) areas is established in the FMU appropriate to the scale and intensity of operations (10% is encouraged but not mandatory).	<ul style="list-style-type: none"> <li>• Maps.</li> <li>• Management strategies to accommodate for these protected areas.</li> </ul>		Auditor field verification of amount protected areas is approaching at least 10%.
<b>Alternative indicators</b> Protected areas are established for HC VF(s) that are determined to exist on the forest.  Activities are consistent with the requirements of Alternative Indicators under Criteria 9.3 and 9.4.	<ul style="list-style-type: none"> <li>• Documentation of HC VFs</li> <li>• Interviews with SLIMF workers to determine awareness of protected areas..</li> <li>• Verifiers associated with Alternative Indicators under Criteria 9.3 and 9.4</li> </ul>		Auditor field verification of amount protected areas is being maintained at levels that ensure long term preservation of HC VF.
6.4.2 Information is compiled with respect to the extent to which representative samples of existing ecosystems are protected within the regional landscape. Actions are taken where gaps exist.	<ul style="list-style-type: none"> <li>• Contributions of protected areas.</li> <li>• Evidence of gap analysis.</li> <li>• Evidence of action taken to fill gaps.</li> </ul>		
<b>Alternative indicators</b> This indicator is considered met if the requirements of Alternative Indicator 6.4.1 are met.	<ul style="list-style-type: none"> <li>• See verifiers for Alternative Indicator 6.4.1</li> </ul>		

<b>CRITERION 6.5</b> – Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.5.1 Specific guidelines exist for the minimisation of soil erosion as a result of forest management activities.	<ul style="list-style-type: none"> <li>• Written operating procedures.</li> <li>• Evidence of implementation in field visits.</li> <li>• Non-compliance rates.</li> <li>• Employees’ awareness of procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Where applicable, list existing national, state/ provincial, and/or municipal guidelines and regulations.</li> </ul>	
6.5.2 Specific guidelines exist for the minimisation of damage to vegetation as a result of forest management activities.	<ul style="list-style-type: none"> <li>• Written operating procedures.</li> <li>• Evidence of implementation in field visits.</li> <li>• Non-compliance rates.</li> <li>• Employees’ awareness of procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Where applicable, list existing national, state/ provincial, and/or municipal guidelines and regulations.</li> </ul>	
6.5.3 Specific policies and procedures exist for road construction and maintenance.	<ul style="list-style-type: none"> <li>• Written operating procedures.</li> <li>• Evidence of implementation in field visits.</li> <li>• Non-compliance rates.</li> <li>• Employees’ awareness of procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Where applicable, list existing national, state/ provincial, and/or municipal guidelines and regulations.</li> </ul>	
6.5.4 Specific guidelines exist for protection of water resources.	<ul style="list-style-type: none"> <li>• Written operating procedures.</li> <li>• Evidence of implementation in field visits.</li> <li>• Non-compliance rates.</li> <li>• Employees’ awareness of procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Where applicable, list existing national, state/ provincial, and/or municipal guidelines and regulations.</li> </ul>	
6.5.5 Employees receive training in relation to the above guidelines.	<ul style="list-style-type: none"> <li>• Evidence of operating procedures in training course material.</li> <li>• Interviews with employees.</li> <li>• Evidence of non-compliances.</li> </ul>		

<b>CRITERION 6.6</b> – Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and 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 minimize health and environmental risks.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.6.1 If chemicals are used in the forest, they are used as part of an integrated pest management (IPM) system.	<ul style="list-style-type: none"> <li>• Documentation.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Note laws and guidelines referring to forest pest control.</li> </ul>	
6.6.2 A complete quantitative inventory of chemicals used is available.	<ul style="list-style-type: none"> <li>• Records are review</li> <li>• Label use instructions are available.</li> <li>• FSC Approved chemicals list is available and kept current.(FSC – POL – 30-001 (2005))</li> </ul>	<ul style="list-style-type: none"> <li>• Note laws and guidelines referring to chemical use.</li> </ul>	Auditor verification reveals no use of non--FSC approved chemicals.
6.6.3 Careful handling, application and storage procedures are followed for all chemicals.	<ul style="list-style-type: none"> <li>• Documented procedures.</li> <li>• Field evidence.</li> <li>• Interviews with personnel.</li> </ul>		
6.6.4 Staff and contractors receive appropriate training and are licensed where required.	<ul style="list-style-type: none"> <li>• Training records.</li> <li>• Documentation of training program.</li> <li>• Copies of licenses.</li> </ul>	<ul style="list-style-type: none"> <li>• Note laws and guidelines referring to licensing requirements.</li> </ul>	
6.6.5 Silviculture prescriptions are selected to minimize reliance upon chemical pesticides.	<ul style="list-style-type: none"> <li>• Management plan.</li> <li>• Silviculture prescriptions.</li> <li>• Discussions with managers.</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>6.6.6 Pesticides containing chemicals listed as “highly hazardous” in FSC International Center publications and updates are prohibited. The use or storage of WHO Type 1A and 1B, chlorinated hydrocarbon pesticides, persistent or toxic pesticides, and other banned pesticides is also prohibited.</p>	<ul style="list-style-type: none"> <li>• Documents.</li> <li>• Site inspections.</li> <li>• Demonstrated awareness of most up-to-date “highly hazardous” chemicals list as published and updated by the FSC International Center.</li> </ul>	<ul style="list-style-type: none"> <li>• Note any known banned products.</li> </ul>	

<b>CRITERION 6.7</b> – Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.7.1 Chemicals, including fuel and oil, liquid and solid non-organic wastes are stored off-site and are disposed of in an environmentally appropriate manner,.	<ul style="list-style-type: none"> <li>• Procedures safe use and storage of chemicals and hydro-carbons.</li> <li>• Site evidence.</li> <li>• Material Safety Data sheets available.</li> <li>• Chemical Label Use instructions available.</li> </ul>		Auditor site verification of hydro-carbon use and storage and chemical use and storage meets regional / national regulatory requirements.
6.7.2 Contingency and clean-up plans are available in case of accidental spills and employees are trained in their implementation.	<ul style="list-style-type: none"> <li>• Procedures.</li> <li>• Training records.</li> <li>• Compliance records.</li> <li>• Interviews with personnel.</li> </ul>		

<b>CRITERION 6.8</b> – Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.8.1 Use of biological control agents is documented, minimized, monitored and controlled in accordance with national laws and international protocols.	<ul style="list-style-type: none"> <li>• Documentation.</li> <li>• Access to national laws and international protocols concerning the use of biological agents.</li> <li>• Monitoring procedures.</li> <li>• Records of application.</li> <li>• Results of monitoring.</li> <li>• Field inspections.</li> </ul>	<ul style="list-style-type: none"> <li>• Note laws and guidelines for the use of biological control agents.</li> </ul>	
6.8.2 Use of biological control agents is only permitted in those situations where non-chemical methods are, or can reasonably be expected to be, ineffective.	<ul style="list-style-type: none"> <li>• Pest and disease control strategy.</li> <li>• Records of application.</li> </ul>		
6.8.3 Policy prohibiting the use of genetically modified organisms (GMOs).	<ul style="list-style-type: none"> <li>• Corporate direction documents (if applicable) and the management plan text include a statement that genetically modified organisms will not be used.</li> </ul>		Auditor site and / or field verification reveals no use of GMOs.

<b>CRITERION 6.9 – The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
6.9.1 Any use of exotic species is documented and justified.	<ul style="list-style-type: none"> <li>• Policy regarding deployment of exotic species.</li> <li>• Rationale for deployment of exotic species.</li> <li>• Records of plantations.</li> <li>• Field inspections.</li> <li>• Documentation.</li> </ul>		
6.9.2 Use of exotic species is monitored and control measures are in place.	<ul style="list-style-type: none"> <li>• Long term monitoring results of deployment of exotic species.</li> <li>• Documentation, including a plan for controlling and preventing the unintended spread of exotic species.</li> </ul>		Auditor field verification that exotic species are found in areas other than those areas identified in the FMU management plan.
6.9.3 Use of exotic invasive species is prohibited.	<ul style="list-style-type: none"> <li>• Use of native seed.</li> <li>• Evidence that exotic plants are non-invasive.</li> <li>• Field inspections.</li> </ul>		

<b>CRITERION 6.10</b> – Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: 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.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
<p>6.10.1 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion entails a very limited portion of the forest management unit.</p> <p>Note: Artificial regeneration of trees are not necessarily plantations as defined by FSC).</p>	<p>Note: Artificial regeneration of trees are not necessarily plantations as defined by FSC).</p> <ul style="list-style-type: none"> <li>• Proportion of FMU productive forest converted to plantations.</li> <li>• Rationale for forest conversion.</li> <li>• Assessment of benefits of conversion.</li> <li>• No plans for unacceptable conversion.</li> <li>• No evidence of unacceptable conversion.</li> <li>• Field inspections of deforested areas.</li> </ul>		<ul style="list-style-type: none"> <li>• Annual Conversion to permanent non-forest land use of no more than 1% of annual area depleted</li> <li>• Annual Conversion to plantation no more than 1.0% of annual area depleted.</li> </ul>
<p>6.10.2 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion does not occur on high conservation value forests;</p>	<ul style="list-style-type: none"> <li>• Mapping of HCVF within the FMU.</li> <li>• Verification of forest management plans to determine degree of protection of HCVF stands.</li> <li>• Field verification of integrity of HCVF areas.</li> </ul>		<p>Auditor field verification of areas converted concurs with the rationale adopted by FMU management plan.</p>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>6.10.3 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.</p>	<ul style="list-style-type: none"> <li>• Documented plans related to re-establishment of forest cover.</li> <li>• Management actions are undertaken to convert non-forest areas (roads, trails, landings, gravel pits, well sites, camps, etc.) back to forest once the non-forest use has ceased.</li> <li>• Field inspections.</li> </ul>		<p>Auditor field verification of areas converted concurs with the rationale adopted by FMU management plan.</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, socioeconomic conditions, and a profile of adjacent lands. c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. D) Rationale for rate of annual harvest and species selection. E) Provisions for monitoring of forest growth and dynamics. F) Environmental safeguards based on environmental assessments. G) Plans for the identification and protection of rare, threatened and endangered species. H) Maps describing the forest resource base including protected areas, planned management activities and land ownership. I) Description and justification of harvesting techniques and equipment to be used.

\* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
7.1.1 Existence of a forest management plan for the FMU containing a clear statement of the objectives of forest management.	<ul style="list-style-type: none"> <li>• FMU Management plan.</li> </ul>	<a href="#">Note requirements of regional authorities and forest grant schemes.</a>	Auditor assessment of FMU management objectives determines them to be appropriate.
<a href="#">Alternative indicator</a> Long term goals consistent with maintenance or enhancement of forest productivity, biodiversity, ecological and social values and/or functions. Depending on the resources available to the SLIMF operation, forest management planning may not be formatted as a formal forest management plan typical of larger FMUs.	<ul style="list-style-type: none"> <li>• Documented forest management goals for the SLIMF.</li> <li>• Evidence of monitoring of forest management practices.</li> </ul>		Interviews with SLIMIF managers / supervisors indicate a sound knowledge of long term goals.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
7.1.2 The management plan includes a clear description of:  a) the forest resources to be managed,	<ul style="list-style-type: none"> <li>• Management plan text detailing forest resources (timber and non-timber) on the FMU.</li> </ul>		
b) environmental limitations applicable to forest management activity on the FMU.	<ul style="list-style-type: none"> <li>• Management plan text detailing environmental limitations affecting forest management activities on the FMU.</li> </ul>		
c) the land use and ownership status,	<ul style="list-style-type: none"> <li>• Text of management plan.</li> <li>• Legal documents giving status of the FMU either i.) private (fee) ownership or, a cooperative or ii) public ownership (federal, state / provincial, municipal</li> <li>• Maps.</li> <li>• Interviews with managers.</li> </ul>		
d) socio-economic conditions,	<ul style="list-style-type: none"> <li>• Text of management plan contains demographic and economic information use to forecast impacts of forest management activities on the FMU.</li> <li>•</li> </ul>		
e) a profile of adjacent lands.	<ul style="list-style-type: none"> <li>• Maps showing adjacent landownership</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<ul style="list-style-type: none"> <li>7.1.3 The management plan includes a clear description of the forest resources to be managed and environmental limitations. See also 2.2, 3.1, 3.3, 4.4.</li> </ul>	<ul style="list-style-type: none"> <li>Text of management plan.</li> <li>Documents.</li> <li>Maps.</li> <li>Interviews with managers.</li> </ul>		
<p><a href="#">Alternative indicator</a> A description of the extent of the forest and its key characteristics are available.</p>	<ul style="list-style-type: none"> <li>Documented description of: Boundaries of the forest tree cover and its stage of management (i.e., depleted, immature, mature, overmature) general physical and biological characteristics special considerations (e.g. erodible soils, known unique species, special features/values)</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>7.1.4 There is a description of silvicultural and/or other management systems, based on the ecology of the forest and information gathered through inventories included in the forest management plan.</p> <ul style="list-style-type: none"> <li>• See also 5.6.3 and 6.3.</li> </ul>	<ul style="list-style-type: none"> <li>• Text of management plan.</li> <li>• Documents.</li> <li>• Interviews with managers.</li> </ul>		
<p><a href="#">Alternative indicator</a> Harvest and regeneration methods are consistent with accepted good management practices and are described and implemented.</p>	<ul style="list-style-type: none"> <li>• Documented description of: tree (or other forest product) harvesting method regeneration method, including acceptable species and implementation timeframe</li> </ul>		
<p>7.1.5 There is a rationale provided for the rate of annual harvest and species selection included in the forest management plan.</p> <ul style="list-style-type: none"> <li>• See also 5.6.</li> </ul>	<ul style="list-style-type: none"> <li>• Text of management plan.</li> <li>• Documents.</li> <li>• Forest inventory.</li> <li>• Interviews with managers.</li> </ul>		
<p><a href="#">Alternative indicator</a> Rate of harvest is consistent with the long term maintenance of the resource.</p>	<ul style="list-style-type: none"> <li>• Documented rate of sustainable harvest that is consistent with the documented goals for the forest.</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>7.1.6 There are provisions in place for the monitoring of forest growth and dynamics included in the text of management plan.</p>	<ul style="list-style-type: none"> <li>• Ongoing forest inventory program</li> <li>• Results of environmental assessment of forest management activities incorporated into the forest management plan.</li> <li>• Growth and yield models for the FMU</li> <li>• Presence of permanent sample plots on the FMU</li> <li>• Interviews with managers.</li> </ul>		<p>Auditor field verification confirms the existence of a program to monitor forest growth and dynamics.</p>
<p><b>Alternative indicator</b> A periodic estimate of tree (or other forest product) growth is made to confirm, refine or revise stated sustainable harvest levels to ensure they are appropriate.</p>	<ul style="list-style-type: none"> <li>• Records of periodic growth estimates.</li> </ul>		<p>Auditor field verification confirms that estimates of tree growth can sustain the projected levels of SLIMF harvest.</p>
<p>7.1.7 Environmental safeguards are in place and described in the text of management plan. Any information gathered through environmental assessments will also be included in the management plan.</p>	<ul style="list-style-type: none"> <li>• Documents, including those associated with any environmental assessments.</li> <li>• Text of management plan.</li> <li>• Interviews with managers.</li> </ul>	<ul style="list-style-type: none"> <li>• Safeguards should be based on the results of environmental assessments detailed in 6.1.</li> </ul>	
<p><b>Alternative indicator</b> Not applicable to SLIMFs</p>	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>7.1.8 Plans exist for the identification of species at risk and are discussed in the forest management plan.</p> <ul style="list-style-type: none"> <li>• See 6.2.</li> </ul>	<ul style="list-style-type: none"> <li>• Text of management plan.</li> <li>• Documents.</li> <li>• Interviews with managers.</li> <li>• Mapping of known or predicted habitat for species at risk at a scale that is usable for field planning (no greater than 1:10,000).</li> </ul>		<p>Auditor field verification of known sites of species at risk.</p>
<p><b>Alternative indicator</b> Rare, threatened or endangered species, either known to inhabit or could potentially inhabit the forest, are described and where possible mapped.</p>	<ul style="list-style-type: none"> <li>• Documentation of rare, threatened or endangered species.</li> <li>• Interviews with forest workers and managers.</li> <li>• Location of known species at risk recorded and accounted for in forest management planning.</li> </ul>		<p>Auditor field verification of known sites of species at risk.</p>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>7.1.9 The forest management plan contains maps at an appropriate scale showing the location and extent of significant features, values and land uses, including those of importance to local communities.</p>	<ul style="list-style-type: none"> <li>• See also 2.2.1, 3.3.1, 7.1.2.</li> <li>• Maps.</li> </ul>		
<p><a href="#">Alternative indicator</a> Forest boundaries and significant features are mapped.</p>	<ul style="list-style-type: none"> <li>• Map of forest illustrating at a minimum:               <ul style="list-style-type: none"> <li>- ownership boundaries</li> <li>- Areas managed for resource extraction</li> <li>- Protected areas</li> <li>- Significant features (information on the location of some features may be kept confidential to protect the feature)</li> </ul> </li> </ul>		
<p>7.1.10 Descriptions and justification of harvesting techniques and equipment is provided in the forest management plan.</p>	<ul style="list-style-type: none"> <li>• Text of management plan.</li> <li>• Documents.</li> <li>• Interviews with managers.</li> </ul>		
<p><a href="#">Alternative indicator</a> Harvesting equipment and techniques are consistent with management goals and silvicultural strategies, and do not cause long term damage to the physical environment.</p>	<ul style="list-style-type: none"> <li>• Damage to residual trees is within reasonable limits</li> <li>• No long term damage to soil or water flows</li> <li>• Planned regeneration activities are not compromised</li> </ul>		

<b>CRITERION 7.2</b> – The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. * <a href="#">Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</a>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
7.2.1 The management plan is revised periodically to reflect changes to environmental, social and economic circumstances as they apply to the FMU.	<ul style="list-style-type: none"> <li>• Management plan.</li> <li>• Discussion with managers.</li> </ul>		Auditor verification confirms that management plan reflects the most current environmental, social and economic circumstances.
<a href="#">Alternative indicator</a> The management objectives are revised where necessary to ensure that changing environmental, social and economic circumstances are addressed.	<ul style="list-style-type: none"> <li>• Management objectives reflects current status of forest, management direction and new knowledge.</li> </ul>		Auditor verification confirms that management activities reflect the most current environmental, social and economic circumstances.
7.2.2 The management plan contains a detailed monitoring strategy for forest management effectiveness, including environmental and socio-economic aspects associated with forest management.	<ul style="list-style-type: none"> <li>• Monitoring strategy described in plan.</li> <li>• Monitoring activities consistent with strategy.</li> <li>• Discussions with managers.</li> </ul>		Auditor field verification confirms that results of FMU monitoring program support the monitoring strategy.
<a href="#">Alternative indicator</a> Monitoring of plan implementation, as described under Alternative Indicator 8.1 is conducted.	<ul style="list-style-type: none"> <li>• This Indicator is met if Alternative Indicator 8.1 is met.</li> </ul>		

INDICATOR	VERIFICATION	• REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
7.2.3 Revisions to the management plan incorporate results of ongoing monitoring programs.	<ul style="list-style-type: none"> <li>• Management plan text.</li> <li>• Evidence that objectives have been reviewed and updated.</li> <li>• Discussions with managers.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Note organisations involved in research in the area.</a></li> </ul>	
<p><a href="#">Alternative indicator</a> Results of monitoring are incorporated as described under Alternative Indicator 8.4.</p>	<ul style="list-style-type: none"> <li>• This Indicator is met if Alternative Indicator 8.4 is met.</li> </ul>		

<b>CRITERION 7.3</b> – Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan. * <b>Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</b>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
7.3.1 A training program, specific to the requirements of the forest management plan, is in place to ensure competency of all persons involved in plan development and implementation.	<ul style="list-style-type: none"> <li>• Documented training program.</li> <li>• Documented training requirements specific to the requirements of the forest management plan.</li> <li>• Records of ongoing training.</li> <li>• Review of training materials</li> </ul>		
<b>Alternative indicator</b> Minimum required skills and competencies of all workers are described.	<ul style="list-style-type: none"> <li>• Documentation of required skills and competencies</li> </ul>		
7.3.2 All persons receive training appropriate to their responsibilities associated with the forest management plan.	<ul style="list-style-type: none"> <li>• Training records.</li> <li>• Employee interviews to assess level of awareness and comprehension.</li> <li>•</li> </ul>		Auditor assessment of FMU staff and forest workers indicates that majority of those interviewed under responsibilities associated with the management plan.
<b>Alternative indicator</b> Workers have received instruction in methods to undertake their work in a safe and environmentally responsible manner.	<ul style="list-style-type: none"> <li>• Records of training/instruction, or verification of worker competence through field observations and interviews</li> </ul>		Auditor assessment of SLIMF supervisors and forest workers indicates that majority of those interviewed under responsibilities associated with the management objectives.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
7.3.3 Competent supervision is provided.	<ul style="list-style-type: none"> <li>• Training records for management and supervisory staff .</li> <li>• Observation of forestry operations to assess effectiveness of supervision of forest workers.</li> </ul>		

<p><b>CRITERION 7.4</b> – 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.  <i>* Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</i></p>			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>7.4.1 The public is provided with access to the management plan and its associated components, including those listed under Criterion 7.1.</p>	<ul style="list-style-type: none"> <li>• Availability of the management plan.</li> <li>• Inclusion in the management plan of elements listed under Criterion 7.1:               <ol style="list-style-type: none"> <li>a) Management objectives;</li> <li>b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and a profile of adjacent lands;</li> <li>c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories;</li> <li>d) Rationale for rate of annual harvest and species selection;</li> <li>e) Provisions for monitoring of forest growth and dynamics;</li> <li>f) Environmental safeguards based on environmental assessments;</li> <li>g) Plans for the identification and protection of rare, threatened and endangered species; and</li> <li>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.</li> <li>i) Description and justification of harvesting techniques and equipment to be used.</li> </ol> </li> </ul>		<p>Auditor verification that FMU management plan is available to public eg. posted to internet; hard copy available on request; public viewings and information sessions</p>

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p><b>Alternative indicator</b>            The management plan, or a summary of the management objectives, is made available to the public upon request.</p>	<ul style="list-style-type: none"> <li>• Documentation that the minimum management plan contents, as contained in the Indicators for Criteria 7.1, were made publicly available when requested.</li> <li>a) Management objectives;</li> <li>b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and a profile of adjacent lands;</li> <li>c) Description of silvicultural system, based on the ecology of the forest in question;</li> <li>d) Rationale for rate of annual harvest and species selection.</li> <li>e) Provisions for monitoring of forest growth;</li> <li>f) Environmental safeguards based on environmental assessments;</li> <li>g) Plans for the identification and protection of rare, threatened and endangered species;</li> <li>h) Maps describing protected areas, planned management activities and land ownership;</li> <li>i) Description and justification of harvesting techniques and equipment to be used.</li> </ul>		<p>Auditor verification that FMU management plan is available to public eg. posted to internet; hard copy available on request; public viewings and information sessions.</p>

**PRINCIPLE 8 – MONITORING AND ASSESSMENT**

Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

**CRITERION 8.1** – The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.

\* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.1.1 An effective system is in place for monitoring the impacts of forest operations and includes: the parameters to be monitored, the frequency, intensity, procedures, rationale and responsibility for monitoring.	<ul style="list-style-type: none"> <li>• Document monitoring program.</li> <li>• Documented internal audit system to assess effectiveness of monitoring program.</li> </ul>		
<p><a href="#">Alternative indicator</a> Information is gathered to support the stated management goals and allow updating/improvement of the management program over time.</p>	<ul style="list-style-type: none"> <li>• Verifiers for 8.2.1, 8.2.2 and 8.2.3 are minimum requirements.</li> <li>• Records of information gathered not associated with the indicators above.</li> </ul>		
8.1.2 The monitoring procedures are consistent and replicable over time. Sound rationale is given for changes to monitoring procedures.	<ul style="list-style-type: none"> <li>• Records associated with monitoring program demonstrate consistency (e.g. procedures, indicators, measurement units, sampling methods).</li> <li>• Analysis of trends in monitoring results and its implication for adaptive management.</li> <li>• Discussion with managers.</li> </ul>		Auditor field assessment determines monitoring program is effective for minimizing environmental impacts resulting from forest management activities.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p><b>Alternative indicator</b> Consistent data is gathered, as appropriate.</p>	<ul style="list-style-type: none"> <li>• Records of monitoring data collection over time.</li> <li>• Acceptable rationale is given for changes in monitoring practices.</li> </ul>		
<p>8.1.3 The monitoring program is reviewed and if necessary updated based on results of monitoring.</p>	<ul style="list-style-type: none"> <li>• Documentation.</li> <li>• Evidence of review and update.</li> </ul>		
<p><b>Alternative indicator</b> Information gathering requirements are reviewed and updated when changes to management goals or planned activities occur.</p>	<ul style="list-style-type: none"> <li>• Records of information gathered reflect requirements of the management plan, changes in management direction and/or the incorporation of new knowledge.</li> </ul>		

**CRITERION 8.2** – Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: a) Yield of all forest products harvested. b) Growth rates, regeneration and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Costs, productivity, and efficiency of forest management.

\* **Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.**

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.2.1 Timber harvest volumes and all other forest products are monitored by species and product.	<ul style="list-style-type: none"> <li>• Production records.</li> <li>• Monitoring reports.</li> <li>• Interviews with local users of product derived from the FMU.</li> </ul>		
<p><b>Alternative indicator</b> Total yield and net yield of all forest products harvested are tracked over time in units of measure appropriate to the product (e.g. volume, weight, number, quality).</p>	<ul style="list-style-type: none"> <li>• Records of yield for all harvested forest products.</li> <li>• Interviews with local users of product derived from the FMU.</li> </ul>		
8.2.2 Growth rates, regeneration and condition of the forest are monitored.	<ul style="list-style-type: none"> <li>• Data on regeneration and growth rates.</li> <li>• Data collection program.</li> <li>• Forest resource inventory.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	
<p><b>Alternative indicator</b> Regeneration success levels and growth rates for managed forest products are tracked and observations of significant changes in forest health are made.</p>	<ul style="list-style-type: none"> <li>• Records of regeneration success</li> <li>• Records of changes in yields over time</li> <li>• Records of observations of changes (positive or negative) in forest health.</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.2.3 Data is gathered on flora and fauna and changes in the composition of floral and faunal communities are tracked in a way that will help monitor the efficacy of the management plan.	<ul style="list-style-type: none"> <li>• Monitoring records regarding data on flora and fauna and changes in floral and faunal communities (abundance, species diversity, etc.).</li> <li>• Results of research regarding data on flora and fauna and changes in floral and faunal communities (abundance, species diversity, etc.).</li> </ul>		
<b>Alternative indicator</b> Observations are made.of: i) significant new occurrences of flora and fauna communities , or ii) changes in flora and fauna communities.	<ul style="list-style-type: none"> <li>• Records of observations of flora and fauna.</li> </ul>		
8.2.4 Environmental and social impacts of forest management activities are monitored.	<ul style="list-style-type: none"> <li>• Records of meetings with community representatives.</li> <li>• Records of public consultation and comments received from outside parties.</li> <li>• Monitoring procedures.</li> <li>• Monitoring records.</li> </ul>		
<b>Alternative indicator</b> Not applicable to SLIMFs.	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.2.5 Costs, productivity and efficiency of forest management are monitored.	<ul style="list-style-type: none"> <li>• See also 5.1.</li> <li>• Accounts.</li> <li>• Monitoring records.</li> </ul>		
<p><b>Alternative indicator</b> Not applicable to SLIMFs.</p>	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>		
8.2.6 A commitment is made to identifying monitoring needs and addressing gaps in available knowledge.	<ul style="list-style-type: none"> <li>• Consideration of existing gaps in knowledge.</li> <li>• Incorporation into monitoring program.</li> </ul>		
<p><b>Alternative indicator</b> Commitment is demonstrated through efforts to collect and utilize information required under 8.2.1, 8.2.2 and 8.2.3.</p>	<ul style="list-style-type: none"> <li>• Utilization of information associated with verifiers for 8.2.1, 8.2.2 and 8.2.3.</li> </ul>		

<b>CRITERION 8.3</b> – Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody." <i>* Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</i>			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.3.1 A documented procedure is in place to identify FSC-certified products and the forest of origin of such products. <ul style="list-style-type: none"> <li>Documented procedure.</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of implementation.</li> <li>Scale records, production records, timber marking, inventory, etc.</li> </ul>	<ul style="list-style-type: none"> <li>In the case of joint forest management and chain of custody evaluations, the point of sale <b>MUST</b> be explicitly identified and recorded by the inspector.</li> <li>The system for controlling the chain of custody of products must be described and evaluated by the inspector.</li> </ul>	Auditor assessment determines that product identification process is effective.
<i>Alternative indicator</i> Documentation is present to demonstrate: <ol style="list-style-type: none"> <li>point of origin for all products originating from the forest and;</li> <li>documentation to record the identity of the entity receiving these forest products.</li> </ol>	<ul style="list-style-type: none"> <li>Records (e.g., scale records, bills of lading, customer receipts) related to the date, origin, quantity and FSC certification registration code of products leaving the management unit.</li> </ul>		Auditor assessment determines that product identification process is effective.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>8.3.2 Certified forest products are clearly identified through marks and labels and are separated from non-certified forest products.</p>	<ul style="list-style-type: none"> <li>• Evidence of marks or labels in the yard.</li> <li>• Separate storage areas.</li> </ul>		<p>Auditor assessment determines that product identification process is effective and storage arrangements are appropriate.</p>
<p><u>Alternative indicator</u> Certified forest products in the applicant's possession, are clearly distinguished from non-certified forest products.</p>	<ul style="list-style-type: none"> <li>• Marks or labels on certified forest products</li> <li>• Maintenance of separate storage areas for certified and non-certified forest products.</li> <li>• Associated records when present</li> </ul>		<p>Auditor assessment determines that product identification process is effective and storage arrangements are appropriate.</p>

<b>CRITERION 8.4</b> – The results of monitoring shall be incorporated into the implementation and revision of the management plan. * <a href="#">Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</a>			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
8.4.1 The results of monitoring shall be incorporated into the implementation and revision of the management plan.	<ul style="list-style-type: none"> <li>• Management plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation.</li> </ul>	Auditor field verification of examples of adaptive management determines them to be appropriate.
<a href="#">Alternative indicator</a> Management objectives are reviewed and if necessary modified in accordance with the results of monitoring of forest management activities.	<ul style="list-style-type: none"> <li>• Changes to the management plan arising from monitoring efforts.</li> </ul>		Auditor field verification of examples of adaptive management determines them to be appropriate.

<b>CRITERION 8.5</b> – While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2. <i>* Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</i>			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
8.5.1 A summary of monitoring results is regularly compiled and made available to the public. Specifically the monitoring must address: a) Yield of all forest products harvested. b) Growth rates, regeneration and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Costs, productivity, and efficiency of forest management.	<ul style="list-style-type: none"> <li>• Summary of monitoring efforts for all required indicators (see Criterion 8.2).</li> <li>• Evidence of public availability.</li> </ul>		Auditor verification that a summary is publicly available in hard copy; through public sessions or on the internet.
<b>Alternative indicator</b> This indicator is considered met if the requirements of Alternative Indicator 7.4.1 are met.	<ul style="list-style-type: none"> <li>• See verifiers for Alternative Indicator 7.4.1</li> </ul>		

**PRINCIPLE 9 – MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS**

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.

**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.

\* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
9.1.1 The presence of High Conservation Value Forests (HCVF) has been assessed. <ul style="list-style-type: none"> <li>• Documentation.</li> <li>• Mapping of HCVF</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment results.</li> <li>• Interviews with those involved.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Note any forests or areas of forest that could be considered as HCVFs.</a></li> </ul>	Auditor field verification of extent and location of HCVF
<p><a href="#">Alternative indicators</a> Based on their knowledge of the forest, the forest manager has considered the presence of HCVFs, and the forest manager has contacted appropriate bodies – local interest groups, government, conservation organizations, academics with potential applicable knowledge requesting information on the presence or likelihood of High Conservation Values on the forest.</p>	<ul style="list-style-type: none"> <li>• Demonstrated understanding of the concept of HCV Forests by the SLIMF forest manager.</li> <li>• Records of contacts and responses to contacts.</li> <li>• Information on potential or actual High Conservation Values.</li> </ul>		Auditor field verification of extent and location of HCVF

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
9.1.3 Specialists, directly affected people and Indigenous people are involved in the assessment.	<ul style="list-style-type: none"> <li>Documentation of individuals involved in assessment.</li> </ul>		Confirmation interviews with affected & Indigenous peoples
<p><a href="#">Alternative indicator</a> This indicator is considered met if the requirements of Alternative Indicator 9.1.1 are met.</p>	<ul style="list-style-type: none"> <li>See verifiers for Alternative Indicator 9.1.1</li> </ul>		

<b>CRITERION 9.2</b> – The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
9.2.1 Conservation attributes and maintenance of HCVPs and the attributes of potential HCVPs is a demonstrated focus of stakeholder consultation opportunities.	<ul style="list-style-type: none"> <li>• Provision of list of stakeholders that may be consulted by the auditor(s).</li> <li>• Evidence of forest managers consultation with Stakeholders regarding identification of, and management options for, HCVP.</li> <li>• Interviews with Stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Auditor should note the main options for maintenance of conservation attributes that would be appropriate for HCVPs.</li> </ul>	Auditor assessment of effectiveness of efforts to engage stakeholders.

<b>CRITERION 9.3</b> – The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
9.3.1 The conservation values of each HCVF are described.	<ul style="list-style-type: none"> <li>• Management plan.</li> <li>• Documentation.</li> </ul>		
9.3.2 Specific protection measures are identified and implemented for HCVFs. The forest manager should consult with stakeholders on the identification of the High Conservation Values, and the management options thereof.	<ul style="list-style-type: none"> <li>• Documentation.</li> <li>• Evidence of consultation (summary of discussions, etc.)</li> <li>• Evidence of implementation.</li> <li>• Field observations.</li> </ul>		
9.3.3 Details on HCVFs and associated protection measures are available to the public and are summarized in the publicly available management plan summary.	<ul style="list-style-type: none"> <li>• Evidence of public availability for the management plan summary.</li> <li>• Interviews with interested Stakeholders.</li> </ul>		

<b>CRITERION 9.4</b> – Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
9.4.1 Annual monitoring program is documented and implemented.	<ul style="list-style-type: none"> <li>• Use of indicators.</li> <li>• Monitoring program.</li> <li>• Results of monitoring program.</li> </ul>		
9.4.2 Results of the monitoring program are incorporated into management planning.	<ul style="list-style-type: none"> <li>• Evidence of incorporation of monitoring results.</li> <li>• Management plan.</li> </ul>		

**PRINCIPLE 10 - PLANTATIONS**

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

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

<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.1.1 The management plan contains goals and objectives for the management and harvest of plantations, including natural forest conservation and restoration objectives.	<ul style="list-style-type: none"> <li>• Management plan and supporting documents.</li> <li>• Discussions with managers.</li> </ul>		
10.1.2 The implementation of plantation objectives is clearly demonstrated in the plan.	<ul style="list-style-type: none"> <li>• Management plan and supporting documents.</li> <li>• Field inspections.</li> </ul>		

<b>CRITERION 10.2</b> – 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 found within the natural landscape.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.2.1 The location, management and extent of plantation areas are consistent with landscape level biodiversity objectives.	<ul style="list-style-type: none"> <li>• See Principle 6 (in particular 6.3).</li> <li>• Management plan or supporting documentation.</li> <li>• Discussions with managers.</li> <li>• Field verification.</li> </ul>		Auditor field assessments determine that management of plantations are consistent with landscape biodiversity objectives.
10.2.2 Plantation blocks are consistent with natural forest patterns and contain features that enhance ecological values, including, but not limited to, shoreline and riparian areas, wildlife corridors, and a range of age classes and tree species.	<ul style="list-style-type: none"> <li>• Documentation and procedures.</li> <li>• Operational plans.</li> <li>• Site inspection records.</li> <li>• Field verification.</li> </ul>		Auditor field assessments determine that management of plantations are consistent with landscape biodiversity objectives.
10.2.3 Plantations do not diminish the extent of natural forests.	<ul style="list-style-type: none"> <li>• Maps</li> <li>• Forest management plan</li> <li>• Field observations</li> </ul>		
10.2.4 Evaluation of placement and size of plantations to determine potential effect on natural forests.	<ul style="list-style-type: none"> <li>• Field observations</li> <li>• Ecological surveys post harvest</li> <li>• Ongoing monitoring for effects of plantations on natural forests</li> <li>• Evidence of revision to management plans as a consequence of monitoring results.</li> </ul>		Auditor field assessments determine that management of plantations do not negatively impact natural forests.

<b>CRITERION 10.3</b> – 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.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.3.1 Plantation areas are planned and managed in a manner that contributes to site level diversity: i) stand composition, ii) structure and woody debris, & iii) wildlife habitat features	<ul style="list-style-type: none"> <li>• Management plan.</li> <li>• Operational plans.</li> <li>• Site inspection records.</li> <li>• Pre and Post activity survey results</li> </ul>		Auditor field assessments determine that management actions contribute enhancement of site level diversity.
10.3.2 Plantation areas are planned and managed in a manner that contributes to landscape level diversity	<ul style="list-style-type: none"> <li>• Management plan forecasts of area in plantation for 5, 10 and 20 year timelines</li> <li>• Mapping (spatial / temporal) of planned plantations showing cumulative area at the landscape level for 5, 10, 20 year timelines.</li> </ul>		Auditor field assessments determine that management actions contribute to enhancement of landscape level diversity.

<b>CRITERION 10.4</b> – The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.4.1 Species selected for planting are justified in terms of their overall suitability for the site and their appropriateness to management objectives. Planting of native species appropriate to the site will be preferred.	<ul style="list-style-type: none"> <li>• Documentation of pre-harvest surveys.</li> <li>• Discussions with managers and foresters.</li> <li>• Site index curves for proposed species.</li> <li>• Post planting surveys at 1 yr, 3 yr, and free growing stages.</li> <li>• Evidence of in-growth of natural species – deciduous and conifer.</li> </ul>		Auditor field assessments determine that artificial regeneration is done using ecologically appropriate species.
10.4.2 Use of exotic species is monitored and remediation plans are developed and implemented in circumstances where such species are found to have harmful ecological effects.	<ul style="list-style-type: none"> <li>• Monitoring records.</li> <li>• Remediation plans.</li> <li>• Site inspection records.</li> </ul>	<ul style="list-style-type: none"> <li>• List known invasive species of the area.</li> </ul>	Auditor field assessments determine that artificial regeneration with exotic species does not negatively impact the occurrence of native species.

<b>CRITERION 10.5</b> – A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover. <i>* Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.</i>			
INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
10.5.1 A proportion of the overall forest management area shall be managed so as to restore the site to a natural forest cover.	<ul style="list-style-type: none"> <li>• Review of documented forest management goals, objectives, strategies.</li> <li>• Designation of natural forest cover attributes to assist with identification.</li> <li>• Discussions with forest managers.</li> <li>• Candidate areas identified through field assessments and mapped at an appropriate scale using GIS.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>A proportion of the forest area to be restored to natural forest cover should be identified.</i></li> </ul>	Auditor field assessments determine that the strategy to achieve the identified proportion of natural forest cover is being implemented and is appropriate.
<p><i>Alternative indicator</i></p> <p>This indicator does not apply to SLIMFs of less than 100 hectares of managed forest area.</p> <p>All other SLIMFs will ensure that a minimum of 10% of the total plantation area is restored to a natural forest cover.</p>	<ul style="list-style-type: none"> <li>• Management plan goals including timeframes for implementation of activities</li> <li>• Evidence of on-the-ground implementation of planned activities</li> <li>• Designation of natural forest cover attributes to assist with identification.</li> <li>• Discussions with forest managers.</li> </ul>		Auditor field assessments determine that the strategy to achieve the identified proportion of natural forest cover is being implemented and is appropriate.

<b>CRITERION 10.6</b> – Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.6.1 Forest management activities in plantations will be consistent with those applied elsewhere on the management unit in terms of maintenance and / or improvement of site index (soil structure, fertility and biological activity)	<ul style="list-style-type: none"> <li>• Minimizing amount of road construction through landscape level planning of access roads</li> <li>• Proper road / trail construction techniques to conserve soil quality and quantity.</li> </ul>		Auditor field assessments determine that management activities are not negatively impacting soil productivity.
10.6.2 Forest management activities in plantations will be consistent with those applied elsewhere on the management unit in terms of maintenance and /or improvement of water quality and quantity and avoidance of substantial deviation from natural hydrologic patterns.	<ul style="list-style-type: none"> <li>• Proper design of water crossing structures (site selection, type, Q calculation: <math>Q_{50}</math> or <math>Q_{100}</math> )</li> <li>• Proper installation of water crossing structures - equipment configuration; fish-free period; minimizing sedimentation.</li> </ul>		Auditor field assessments determine that management activities are not negatively impacting water quality and quantity.
10.6.2 Training of forest workers regarding impacts of forest operations and use of machinery on soil productivity and hydrology.	<ul style="list-style-type: none"> <li>• Evidence of a training program</li> <li>• Review of training materials</li> <li>• Interviews with forest managers and forest workers</li> </ul>		Auditor assessment of forest worker awareness determines that soil and water quality is not negatively impacted by their actions.

**CRITERION 10.7** – Measures shall be taken to prevent and minimize 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 fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
10.7.1 Measures are taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions.	<ul style="list-style-type: none"> <li>• Forest management plan</li> <li>• Forest Health Surveys</li> <li>• Fire Preparedness plans</li> <li>• Training programs for Forest Workers</li> </ul>		Auditor field assessments determine that management activities are effective in minimizing impacts of forest health and fire (wildfire & operational).
10.7.2 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 fertilizers.	<ul style="list-style-type: none"> <li>• Integrated pest management program</li> <li>• Pesticide use records</li> <li>• Evidence of manual brush control techniques.</li> </ul>		Auditor field assessments determine effectiveness of implementation of integrated pest management program.
10.7.3 Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries.	<ul style="list-style-type: none"> <li>• Forest management plan</li> <li>• Results of research to minimize chemical usage.</li> <li>• Pesticide use records</li> <li>• Evidence of manual brush control .</li> </ul>		Auditor assessments (field and nursery) determine effectiveness of efforts to minimize use of chemical pesticide and fertilizers.
10.7.4 The need for fire management and control has been evaluated and documented.	<ul style="list-style-type: none"> <li>• Forest management plan.</li> <li>• Discussions with managers.</li> <li>• Documentation of hazard abatement measures.</li> </ul>		Auditor assessment of fuel hazard abatement determines management actions to be effective.
10.7.5 Management plan shall address the threat of invasive plant species.	<ul style="list-style-type: none"> <li>• Identification of potential invasive species on or near the FMU</li> </ul>		Auditor assessment of efforts to minimize impacts of invasive botanicals determines them to be effective.

**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 ecological and social 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.

\* [Alternative indicators shall be developed for this criterion when the standard is applied to small and/or low intensity managed forests.](#)

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
10.8.1 Plantations are monitored on a regular basis to assess potential ecological, social and economic impacts.	<ul style="list-style-type: none"> <li>• Management plan with forecasts of ecological and socio-economic impact.</li> <li>• Ongoing monitoring program of:               <ul style="list-style-type: none"> <li>i) Site inspection reports;</li> <li>ii) Ecological impact assessments,</li> <li>iii) socio-economic impact assessment.</li> </ul> </li> <li>• Monitoring and assessment records.</li> </ul>		Auditor assessment of monitoring program for impacts of plantations determines that the program is effective.
<p><a href="#">Alternative indicators</a> This indicator is considered met if all indicators for Principle 2 and indicators for Criteria 4.4 and Alternative Indicator 8.2 are met provided that the forgoing includes plantations.</p>	<ul style="list-style-type: none"> <li>• See verifiers under criteria for Principle 2, Criteria 4.4. and Criteria 8.2.</li> </ul>		

INDICATOR	VERIFICATION	REGIONAL ADAPTATIONS / COMMENTS	PERFORMANCE THRESHOLD
<p>10.8.2 No large-scale planting of exotic species is carried out without evidence from local trials supporting their ecological suitability.</p>	<ul style="list-style-type: none"> <li>• Evidence of assessment of results of local trials of large scale planting of exotics – specifically: i) the impact on adjacent natural forest, ii) ecological suitability (eg. impacts on wildlife, hydrology, soil quality).</li> </ul>		<p>Auditor field assessment of monitoring of deployment trials for exotic species determines trials to be effective.</p>
<p><u>Alternative indicators</u> All species selected for regeneration are ecologically adapted, non-invasive and do not cause significant negative ecological impacts on other ecosystems.</p>	<ul style="list-style-type: none"> <li>• Regeneration records</li> <li>• Field inspections and surveys</li> <li>• Ongoing program of monitoring the planting of exotics for ecological impacts to the surrounding ecosystem.</li> </ul>		<p>Auditor field assessment of monitoring of deployment trials for exotic species determines trials to be effective.</p>
<p>10.8.3 Acquisition of land for plantations will be carried out in a socially responsible manner, paying particular attention to the protection of local rights of ownership, traditional use of, or access to, lands post-acquisition.</p>	<ul style="list-style-type: none"> <li>• Disputes associated with the land acquisition or ownership are documented.</li> <li>• Record of sale; review of previous use of land based upon record of sale.</li> <li>• Evidence of measures taken to maintain local use and access rights where applicable.</li> <li>• Communications with local stakeholders are documented.</li> <li>• Interviews with local adjacent landowners.</li> <li>• Interviews with local stakeholders.</li> </ul>		<p>Auditor assessment of FMU management stakeholder consultation pre-purchase and post-purchase is effective for addressing maintenance of a suitable form of traditional use and access.</p>

<b>CRITERION 10.9</b> – Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.			
<b>INDICATOR</b>	<b>VERIFICATION</b>	<b>REGIONAL ADAPTATIONS / COMMENTS</b>	<b>PERFORMANCE THRESHOLD</b>
10.9.1 The prior land use and, if applicable, forest type present on lands now in plantations is documented and the year of conversion is reported.	<ul style="list-style-type: none"> <li>• Records of historic land use for acquired lands.</li> <li>• Prior forest inventories.</li> <li>• Regeneration records.</li> <li>• GIS map base.</li> </ul>		
10.9.2 For plantations established in areas converted from natural forests after November 1994, the reason for conversion is documented.	<ul style="list-style-type: none"> <li>• Rationale for conversion of natural forest to plantation</li> <li>• Regeneration records.</li> <li>• See also 6.1.</li> <li>•</li> </ul>		
10.9.3 Clear evidence/documentation is available to demonstrate that the current manager/owner is claiming that they are not directly or indirectly responsible for the conversion.	<ul style="list-style-type: none"> <li>• Historic map base to show management actions (conversion to plantation) of prior owners.</li> </ul>		

## GLOSSARY

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:

**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.

**Biological control agents:** Living organisms used to eliminate or regulate the population of other living organisms.

**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.

**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.

**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.

**Exotic species:** An introduced species not native or endemic to the area in question.

**Forest integrity:** The composition, dynamics, functions and structural attributes of a natural 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.

**Genetically modified organisms:** Biological organisms which have been induced by various means to consist of genetic structural changes.

**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:** "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).

**High Conservation Value Forests:** High Conservation Value Forests are those that possess one or more of the following attributes:

- a) forest areas containing globally, regionally or nationally significant : concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or 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
- b) forest areas that are in or contain rare, threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

**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.

**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.

**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-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.

**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.

**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.

**Principle:** An essential rule or element; in FSC's case, of forest stewardship.

**Restoration:** The act of modifying a habitat or ecosystem to introduce or reintroduce components and characteristics appropriate to the site both ecologically and historically.

**Seral stage:** a temporary community of vegetation, defined by the dominant species, which indicates the successional phase of the ecosystem

**Short rotation coppice systems:** harvest systems, which are typically perpetuated long term, and in which only a few characteristics of an indigenous ecosystem remain.

**Silviculture:** The art of producing and tending a forest by manipulating its establishment, composition and growth to best fulfill the objectives of the owner. This may, or may not, include timber production.

**Succession:** Progressive changes in species composition and forest community structure caused by natural processes (nonhuman) over time.

**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).

**Threatened species:** Any species which is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

**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.