



Forest Stewardship Council

FSC GUIDANCE DOCUMENT

**GUIDANCE ON THE INTERPRETATION OF FSC
PRINCIPLES AND CRITERIA TO TAKE ACCOUNT OF
SMALL SCALE AND LOW INTENSITY**

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FSC Guidance Document

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The Forest Stewardship Council (FSC) is an independent, not for profit, non-government organisation based in Bonn, Germany.

The mission of the Forest Stewardship Council is to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC develops, supports and promotes international, national and provincial standards in line with its mission; evaluates, accredits and monitors certification bodies which verify the use of FSC standards; provides training and information; and promotes the use of products that carry the FSC logo.

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1 Introduction

The Forest Stewardship Council (FSC) strives to ensure equity of access to certification, and non-discrimination in the way it is applied. However after FSC certification began to take-off on a global scale at the end of the 1990s, researchers and critics began to report that it has been challenging for managers of small forests and forests managed at low intensity, to obtain and afford certification.

In response to this information, in 2002 FSC initiated a programme called 'Increasing Access to FSC Certification for Small and Low Intensity Managed Forests', which became known as "the SLIMF Initiative". This research and development effort had as its goal "*to find and implement practical solutions to the barriers faced by small and low intensity forest operations in accessing and retaining FSC forest certification*". Among the key factors identified as contributing to their difficulties in becoming certified were:

- problems finding information about certification;
- the costs of certification assessments and monitoring, and
- forest management standards which seem inappropriate to their way of managing the forest, or are written in complex, inaccessible language¹.

The SLIMF initiative led to a review of FSC's policies and procedures to address some of the barriers faced by small and low intensity forest operations. The main outputs from this work were approved as policy by the FSC Board of Directors in November 2003. These are shown in Box 1.

Box 1. A Summary of Policy Changes for Small and Low Intensity Forest Operations

1. Streamlined Certification Procedures. A series of modifications to the way certification bodies carry out certification assessment, monitoring and re-assessment for those operations which qualify as 'SLIMF'. The modifications are designed to make certification more accessible and cost-effective, while retaining the rigor of FSC certification processes.

2. An Eligibility Criteria System. This enables certification bodies to identify operations which are eligible for the modified certification procedures. *FSC-STD-01-003 SLIMF Eligibility Criteria*. (available for download at www.fsc.org)

3. Guidance for FSC forest stewardship standards development. This guidance supports the development of forest management standards (*national, sub-national and certification body generic standards*) that take better account of the realities of small and low intensity forest use and management. This is the document you are currently reading: *FSC-GUI-60-001 Guidance on the Interpretation of FSC Principles and Criteria to take account of the scale and intensity of forest management*.

2 The Purpose of this Guidance

The purpose of this document is to provide guidance to FSC National Initiatives, national or sub-national standard writing groups and certification bodies when developing FSC forest stewardship standards. It is intended to help these groups to develop standards that are more appropriate to the needs of small and low intensity forest management units, and which use simpler language and include realistic requirements, whilst retaining the rigor of FSC certification.

¹ For more information on the background to this work see 'Small and Low Intensity Managed Forests: A Progress Report', available for download at www.fsc.org

What it is:

- A guidance document on how to take account of small-scale and low-intensity forests when developing forest stewardship standards.
- A tool to guide standards development groups in adapting existing endorsed FSC forest stewardship standards to take better account of the needs of the target group.

What it is not:

- It is not a generic standard ("SLIMF standard"). It cannot be used as a default standard by certification bodies or national / sub-national standards writing groups. The indicators and verifiers given are examples only, and cannot be used in isolation from the identification of categories of small and low intensity forest management units (explained below).
- It is not a field interpretation guide for certification body auditors.

3 FSC Policy on interpreting FSC Principles and Criteria to take account of scale and intensity

The development of an FSC forest stewardship standard which takes account of scale and intensity shall be carried out according to *FSC-STD-20-002 Structure and Content of Forest Stewardship Standards*. The most relevant section is reprinted here for reference (see Box 2 below).

Several of the FSC Principles and Criteria make specific reference to their interpretation being 'according to [the] size and scale' of the operation. Annex 1 of this document provides guidance on how to do this via the development of specific indicators and verifiers. Additional guidance is provided for other criteria that might also require interpretation for different sizes or scales of forest operations.

Where appropriate, examples of indicators and verifiers suitable for small and/or low intensity operations are provided. These are only examples. Standards setting groups should use a wording which is appropriate to the category of forest and type of user groups in their country or region.

Additional information on the development of national or regional standards is available in:

- *Developing Forest Stewardship Standards: A Survival Guide. (Hannah Scrase and Anders Lindhe, 2001).*
- *Hierarchical framework for the formulation of sustainable forest management standards (E.M. Lammerts van Bueren, E.M. Blom, Tropenbos, 1997).*

Both documents are available from the FSC Policy and Standards Unit on request.

Box 2: FSC policy on taking account of scale and intensity in forest stewardship standards.

From *FSC-STD-20-002 Structure and Content of Forest Stewardship Standards*

4. *Scale and intensity of forest management*
- 4.1 *The standard shall be cost effective and practical for use in small-scale and low intensity forest management units.*
- 4.2 *Small and/or low intensity managed forests may be made exempt from some indicators which are applicable to other forests, and/or alternative indicators may be developed for application to small and/or low intensity managed forests. In such cases this shall be clearly indicated in the standard.*

EXAMPLE:

Criterion

Indicator 4.1.1a (applicable to FMUs more than 200ha in area):

Means of verification:

Indicator 4.1.1b (applicable to FMUs less than 200ha in area):

Means of verification:

- 4.3 *Alternative indicators and associated means of verification (as described in paragraph 4.2 above) may be developed for any criterion, but shall be developed for at least the following FSC Criteria which require special provision when applied to small and/or low intensity managed forests: FSC Criteria 6.1, 6.2, 6.4, 7.1, 7.2, 7.3, 7.4, 8.1, 8.2, 8.3, 8.4, 8.5, 9.1, 10.5 and 10.8.*
- 4.4 *The standard shall include clear guidance as to the category of forest management units to which any exemptions or alternative indicators apply.*

NOTE 9: Standards may identify the forest management units that are eligible for modified indicators or means of verification by simple size classifications (e.g. 'applicable to FMUs less than 200 ha') or by proxies for size or intensity (e.g. 'applicable to woodlot licensees', 'applicable to operations harvesting less than x cubic metres per year).

NOTE 10: the defined categories of small and/or low intensity managed forests to which special indicators apply may be different to the categories of SLIMFS that are eligible for streamlined certification procedures (see FSC-STD-01-003 SLIMF Eligibility Criteria).

- 4.5 *Indicators shall apply to all forests covered by the scope of the standard, including smaller or lower intensity managed forests, unless otherwise specified.*

4 Using this Document: FSC National Initiatives, National and sub-national (regional) standards setting committees.

This guidance should be used together with:

FSC-STD-20-002 Structure and Content of Forest Stewardship Standards

As described in *FSC-STD-20-002* (see Box 2 above) NIs are required to define categories of small or low intensity operations which are eligible for modified indicators or verifiers within their country or region. For example, they may wish to:

- a. define a series of size categories (e.g. >10 ha, 100-1000 ha,),
- b. identify operations by harvesting activity where there is a clear and known correlation with harvesting intensity (e.g. NTFP extraction only, watershed management only, recreation only), or
- c. specify harvesting intensities to which specific indicators and verifiers apply (e.g. Harvesting timber at $\leq 20\%$ of Mean Annual Increment (MAI) within the production forest area, and $\leq 5000 \text{ m}^3 / \text{year}$ total harvest.)

National Initiatives are not required to use the same categories defined in the SLIMF eligibility criteria for 'small' and 'low intensity'. The SLIMF eligibility criteria are designed to determine the eligibility for application of streamlined certification procedures by a certification body and do not as such relate to standards development.

National Initiatives are not required to develop a separate standard for low intensity or small-scale forests but may do so if helpful in the national context. It should be clear however that any separate standard must cover all the FSC Principles and Criteria as in *FSC-STD-01-001*, with accompanying indicators and verifiers.

5 Using this Document: FSC endorsed Certification bodies

This guidance should be used together with:

FSC-STD-20-002 Structure and Content of Forest Stewardship Standards

FSC-STD-20-003 Local Adaptation of Certification Body Generic Forest Stewardship Standards

FSC-GUI-30-004 Guidance on Interpretation of FSC Principles 2 and 3

There are basically two ways in which certification bodies may use this guidance:

5.1 Development of Generic Standards

Certification bodies may use this guidance when developing or revising their generic forest stewardship standard in accordance to the accreditation requirements outlined in *FSC-STD-20-002 Structure and Content of Forest Stewardship Standards*.

5.2 Local Adaptation of Generic Standards

Certification bodies may use this guidance when developing locally-adapted generic standards, taking into account the requirements of *FSC-STD-20-003 Local Adaptation of Certification Body Generic Forest Stewardship Standards*. Local experts and representatives of small and low intensity forest management operations in that country (including community forestry, traditional forest management and NTFP collectors where relevant) should be consulted in this process.

Box 3:

The intention of this guidance with regard to the development of adapted standards by certification bodies' is as follows:

- to ensure that in countries where no FSC standards have been developed managers of small and low intensity forest operations still have access to appropriate forest stewardship standards, thus offering them a clearer and more cost-effective set of requirements.
- to ensure that there are sufficient safeguards in place so that local adaptation of modified standards by certification bodies does not in any way reduce the rigor of FSC

As for National Initiatives, FSC SLIMF eligibility criteria (*FSC-STD-01-003 SLIMF Eligibility Criteria*) do not automatically need to be used by certification bodies when adapting standards for small and low intensity operations. Certification bodies may develop modified indicators and verifiers as described in *FSC-STD-20-002 Structure and Content of Forest Stewardship Standards* (see Box 2, Page 6).

6 How to address Group Certification in the Standards

There are many cases where FSC considers that the requirements for small individual forests should be modified to take account of the practical and economic realities of such operations without reducing the rigour of compliance with the FSC Principles and Criteria. Nonetheless when small operations seek certification as part of a group, FSC considers it appropriate for these issues to be considered at group-level. For example, landscape level impacts of the combined areas of small forest operations are considerable. Especially if these forests are contiguous, group members may be expected to collaborate in order to comply with landscape-level indicators.

Throughout the document specific references are made to those criteria where group-certificate indicators may be appropriate. The revised FSC Standard for forest management groups will provide further guidance on this aspect.

7 User-friendly language

One of the most consistent negative comments about existing FSC standards is the complex technical, scientific and sometimes ambiguous language used. When writing standards, National Initiatives should aim for language that the person making the decisions in the forest could understand.

Box 4: Making Standards Accessible

National Initiatives should take special note of the resources (time and money), formal education and literacy levels of the managers and owners of the different categories of forest management unit in their country. Indicators and verifiers should reflect the capabilities of these managers and owners. For example, in countries and regions where the literacy level of managers and owners is not high, verbal and/or non-written forms of verification should be included as acceptable verifiers of compliance with the criterion and indicator.

Community forestry may require special attention. Standards writing groups should consider including specific indicators and verifiers for community forestry operations, if – for example - their social organization or division of labour is significantly different. It is therefore essential that representatives of the different types of forest operations take part in the standards development process, and/or that special measures are taken to seek indicators which are appropriate for these groups, e.g. via workshops or research projects.

- Try to use language that describes either the condition of a forest or things that a forester might do, e.g. “*Exotic species such as eucalyptus and pine are not used to enrich the forest.*” This is simple, clear and unambiguous.
- Similarly, “*forest owners or managers implement preventive measures to mitigate risk of fire.*”
- Avoid unnecessary, long, technical or scientific words.
- Avoid language which expresses abstract ideas or vague good intentions, particularly those which are beyond the scope or possibility for an individual small forest owner to comply with, e.g. “*Forest owners participate in community development and civic activities.*” This raises immediate questions in the reader’s mind especially if they are a private individual with a small wood lot, “Do I have to become a school governor or is it enough to attend the school concert? And what has this got to do with the way I manage my forest?”
- Ensure that indicators can be measured at the individual level, that they can be achieved by the forest manager and understood by the certification body. For example: “*The Convention on Biological Diversity shall be respected*” might sound like a clear interpretation of Criteria 1.2, but it is difficult to interpret at the level of community-based operation.
- Use the terms most widely understood in your region. You can always include a glossary for submission to FSC at the time of endorsement. Be consistent, do not change terms, especially between a criterion and its indicators and verifiers.
- Ensure that your draft standard is field tested with small and low intensity forest operations. Obtain specific feedback on the appropriateness of the standard (both the *language* and the *requirements*) from the managers of different operations, not just from auditors.

8 Presentation of standards requirements

Current FSC requirements state that, when submitting a standard for endorsement, the standard shall follow the order of the P&C, and shall not omit any Criteria.

However, as mentioned above, in order to simplify and clarify the requirements for small and low intensity operations, standards writing groups should consider creating a user-friendly version of the endorsed standard that only includes the indicators which apply to them.

In countries where forest managers are familiar with forms for self-evaluation (e.g. written grant applications, or self-assessment for tax purposes), National Initiatives are encouraged to produce check-list type standards, which the manager can use to self-evaluate his compliance prior to the arrival of the certification body auditor.

Annex 1: Specific Guidance on Interpreting the FSC Principles and Criteria for Small Scale and Low Intensity Forest Management Units.

This document is to be used with the guidance provided in sections 1-8 of this document. Categories of ‘small’ and ‘low intensity’ operations must be defined by the standards setting groups.

Note: The abbreviation ‘NI’ is used throughout. It should be taken to refer to the FSC National Initiative or a national or sub-national (regional) standards setting group.

The abbreviation CB refers to FSC accredited certification bodies. This guidance is NOT intended for use by CB auditor teams for field interpretation.

All guidance in columns A and B apply to *both* CBs developing or modifying their generic standard *and* NIs /standards working groups unless stated otherwise.

A. GENERAL COMMENTS AND ADVICE For standards setting groups about how to take size and scale into account when developing indicators and verifiers.	B. EXAMPLE INDICATORS and/or VERIFIERS.	C. RECOMMENDATIONS TO FSC NATIONAL INITIATIVES Regarding additional material or support needed
PRINCIPLE #1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.		
1.1 Forest management shall respect all national and local laws and administrative requirements.		
	Example Indicators: <ul style="list-style-type: none"> • The forest enterprise is legally registered • Forest managers have access to relevant national and local legislation and regulations • Forest managers demonstrate compliance with relevant laws and regulations 	NIs could provide: <ul style="list-style-type: none"> - A list of relevant legislation and an interpretation of what it means for the different categories of operations, in simple terms. Where the

	<p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interview with the forest manager demonstrates high level of understanding of what the legislation requires <i>and</i> • Field observations and documentation available show that legislation is being complied with. • Records: e.g. registration, permits • No files of complaints or fines 	<p>standard covers many states or legislative regions, a list of the types of laws to be considered could be produced. (e.g. Property laws, laws protecting endangered species, forest practice laws, stream and wetland protection laws)</p> <p>- An explanation of any other requirements from international agreements (Criterion 1.3)</p>
<p>1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</p>		
	<p>Example Indicator:</p> <ul style="list-style-type: none"> • All relevant fees and other charges are paid <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Payment slips; receipts; invoices • Confirmation from official authorities 	<p>NIs could provide:</p> <ul style="list-style-type: none"> - A list of relevant fees and charges for the country/ region
<p>1.3 In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.</p>		
<p>This criterion may not be applicable to some categories of SLIMFs as:</p> <ol style="list-style-type: none"> It can only be implemented or monitored at a national level. Many of these agreements (e.g. the Convention on Trade in Endangered Species (CITES)) already apply to all individuals in a country as part of criterion 1.1 <p>This criterion may not be applicable for some categories of small and low intensity operations, <i>if all</i> relevant agreements are included in national legal requirements</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • No substantiated evidence of any non-compliance with applicable requirements of any international agreements listed in the [nation/region] FSC standard • Forest managers are aware of protected areas and species in their forests <p>Example Verifier:</p> <ul style="list-style-type: none"> • Interview with the forest manager 	<p>NIs could provide:</p> <ul style="list-style-type: none"> -a list of relevant CITES species which may not be harvested.

<p>and therefore covered under Criterion 1.1 OR that any extra requirements not covered by national legislation are added to the requirements of 1.1. The criterion should nevertheless be included and reference made as to why it is not applicable.</p>		
<p>1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.</p>		
<p>Certification bodies shall verify that the laws, regulations and the FSC P&C do not conflict. This criterion may not be applicable to categories of small and low intensity operations, <i>under condition that</i> no conflicts have been identified between national legislation and the FSC P&C. The criterion should still be included but the reason for its non-applicability stated.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • Forest managers inform their certification body of any situations in which compliance with the law would preclude compliance with any indicator of the forest stewardship standard 	<p>If there are conflicts between legislation and the FSC P&C, the NI or CB should analyse these conflicts and provide advice.</p>
<p>1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p>		
	<p>Example Indicator:</p> <ul style="list-style-type: none"> • Measures to control, monitor and prevent illegal and unauthorized activities on the FMU are in place <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Field observations show no damage from unauthorised or illegal activities • Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc • A description of the control and monitoring system is provided. • Copies of reports made to the authorities of problem activities • Boundaries are known to the manager and local communities and are easily identified in the field. 	

	<ul style="list-style-type: none"> • Boundaries are marked in areas where there is a high risk of encroachment • Documentation 	
<p>1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</p>		
<p>Note: There will be very few cases where forest managers or owners who are illiterate or who traditionally do not use any formal written plans for their forest management are not supported by a third party when seeking FSC certification. (e.g. An NGO, a forest manager who provides technical professional services, or a government institution). Therefore some form of formal written planning will generally be expected. Nonetheless, the level of written, formal documentation, for example concerning training or income-sharing will be expected to vary according to the type of operation. In the case of very small operations, a combination of field observation and manager/owner's knowledge may be considered sufficient.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The management plan is consistent with FSC P&C. • Plans (written or informal) for investment, training, and sharing of income or other benefits. • Past management has been compatible with the P&C. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Management plan document • Manager's explanation of management philosophy • Signed contract with a certification body 	
<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.</p>		
<p>All standards development should take account of <i>FSC-GUI-30-004 Guidance on the implementation of Principles 2 and 3</i>.</p> <p>Utmost care must be taken not to weaken the rights of local communities, customary rights holders and/or indigenous peoples when modifying the standard to take account of scale and intensity. NIs and CBs are encouraged to distinguish between those categories of operations where the managers and/or owners are indigenous peoples, customary rights holders or local communities, and those where they are not. Equally, this approach shall apply to rights granted in</p>		

<p>concession agreements or felling licenses. The overarching concept is that communities or indigenous peoples with ownership rights to the land and resources maintain control of the forest unless control is delegated with free and informed consent (see 2.2 and 3.1 below)</p> <p>Intent statements may be helpful in relation to the interpretation of Principle 2 for small and low intensity operations.</p> <p>It is especially important in the definition of criteria and indicators for P2, that designated representatives of indigenous peoples, customary land rights holders and local communities help to define the appropriate wording and appropriate verifiers.</p>		
<p>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.</p>		
<p>Legal documentation of forest use rights is not always available for traditional small/low intensity operations (e.g. non timber forest product harvesters who have had traditional usufruct rights). Verbal agreements, combined with a lack of forest use disputes can provide appropriate verification of compliance with this criterion.</p> <p>Where traditional land use is determined by a tribal authority or other generally unregistered form of land ownership by traditional peoples the NI/CB shall – in coordination with the peoples concerned -determine an appropriate means of verifying long-term forest rights to the land.</p> <p>It may be useful to include an intent statement here.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The forest users have long term rights to the forest and these rights are not contested. • When the local community is not the forest manager, the local communities' rights are defined and agreed to (documented) by both the forest manager and the local communities. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • A nationally accepted means of demonstrating ownership or use rights is available (i.e. official papers or maps showing land title, customary rights, or lease agreements, tax notification) • In the case where no legal documented proof of tenure is available, no evidence exists of a dispute over tenure. 	<p>NIs/CBs should specify the acceptable form of documentation for their specific country or region (e.g. Papua New Guinea, this might be official customary land registration)</p> <p>In countries where there are few conflicts over land tenure, but documentation is not always readily available (e.g. UK) NIs/CBs shall consider designing a template to be signed by the forest owner, which verifies that ownership and/or use rights are held. Where doubt exists, auditors should be instructed to ask for documented proof.</p>

2.2 Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.		
<p>Where the operation seeking certification is <i>not</i> the local community with legal or customary land tenure, it is vital that the standard requires clear documented evidence of the delegation of free and informed consent to the forest operation.</p> <p>Where a local community or indigenous community is seeking certification, NIs/CBs should consider the possible case of disagreements over land tenure <i>among</i> such groups.</p>	<p>Example Indicators (where communities are not managing the forest operation):</p> <ul style="list-style-type: none"> • Local communities' rights are defined and agreed to (documented) by both the forest manager and the local communities • Customary rights areas are noted in the management plan, agreement, contract or protocol between the forest manager and the communities <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Documentation and mapping of customary rights areas. • Written agreements between manager and local community representative(s), • Confirmation via interviews with forest manager, neighbouring community representatives and local community authorities. <p>Example Indicators (where communities manage their own operations):</p> <ul style="list-style-type: none"> • Local communities' tenure and use rights should be defined and documented by the appropriate local authorities <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Documentation and mapping of customary rights areas. • Confirmation via interviews with neighbouring community representatives and local community authorities. • Evidence of legal title. 	

2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.

This criterion may be combined with Criterion 4.5.

Where a local community or indigenous people community is seeking certification, NIs/CBs should consider the possible case of disagreements over land tenure *among* such groups

Example Indicators:

- There are no major unresolved disputes relating to tenure and use rights in the forest.
- Disputes or grievances are being resolved using locally accepted mechanisms and institutions.
- Legal procedures regarding land disputes are followed.
- There are documented measures to avoid damage to other peoples' use rights or property, resources, or livelihoods. (to completely reflect and cover 4.5).
- There are compensation measures for cases of accidental damages

Example Verifiers:

- Documentary evidence of acceptance of the dispute resolution mechanisms (e.g. in an agreed management plan, protocol or contract) by the local community representatives.
- Interviews with forest manager and local community groups.
- Documentation of steps being taken to resolve disputes and documentation of communities' acceptance of these procedural steps.
- Request documentation from appropriate legal office (e.g. Land claims office) if land disputes are being legally resolved.
- There are records of compensation measures in cases of accidental damages

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.

All standards development should take account of FSC guidance on the implementation of Principles 2 and 3.

NIs and CBs are encouraged to distinguish between those categories of operations where the managers and/or owners are indigenous peoples, themselves, and those where they are not.

Standards development groups should stress that P3 applies even to situations where (non-indigenous) communities are managing their own lands, since there may be boundary or access issues with neighbours who are Indigenous Peoples. i.e. Don't assume that just because a local community is managing a forest that P3 doesn't apply. Check to see if there is a presence of Indigenous Peoples in the region in question.

Intent statements may be helpful in relation to the interpretation of Principle 3 for small and low intensity operations.

It is especially important in the definition of criteria and indicators for P3, that designated representatives of indigenous peoples and customary land rights holders help to define the appropriate wording and appropriate verifiers (more information in *FSC-GUI-30-004 Guidance on Interpretation of FSC Principles 2 and 3*).

NIs could provide:

- Details of the areas where indigenous people are located (i.e. where Principle 3 applies) and contact details for appropriate agencies and representatives.
- A description of the types of evidence which might demonstrate that indigenous peoples have delegated control of forest management on their lands with free and informed consent.
- NIs may also support the identification of the particular tribe, band, community (etc.) which have the rights to delegate control in particular areas.

<p>3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</p>		
<p>The wording of verifiers sufficient to demonstrate this will vary widely from country to country. This must be defined by NIs/CBs.</p>	<p>See <i>FSC-GUI-30-004 guidance on interpretation of Principles 2 and 3 for examples of indicators.</i></p> <p>Example Indicators:</p> <ul style="list-style-type: none"> • Indigenous people demonstrate control of forests on their land. • After a transparent consultation process, agreement with consensus of the community allows forest management by another person or organisation. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Evidence of a written agreement delegating control to the forest manager by relevant indigenous peoples, authorized by their true representatives. • Direct observation in the field of community control mechanisms of forest operations. • Interviews with community representatives responsible for oversight and monitoring of forest management carried out in their territories. • Evidence of meetings with all indigenous groups involved explaining proposed forest management and its implications. 	
<p>3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</p>		
<p>Note. The tenure rights of Indigenous peoples include the rights to own their lands, and therefore these must not be diminished or threatened: directly or indirectly.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The planning, implementation and monitoring of forest activities within the forest management unit involve full participation of indigenous peoples. • There are well defined customary rights areas of indigenous peoples. 	

	<p>Example Verifiers:</p> <ul style="list-style-type: none"> • Documented evidence of Indigenous peoples customary rights areas (e.g. Agreed maps, or accepted descriptions) incorporated into the management plans. • Documented evidence of acceptance of the management plan (including maps) by the local indigenous peoples representatives <i>and</i>: <ul style="list-style-type: none"> • Direct field observation of indigenous peoples control of forest operations. • Interviews with indigenous peoples' true representatives confirming acceptance of the management plan. • Monitoring reports of operations. • Adjustments to management described by forest manager if adverse impacts on these rights are identified through monitoring. 	
<p>3.3 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.</p>		
<p>3.3 refers specifically to sites of significance to indigenous peoples. It does not refer to general archaeological remains or sites of national cultural interest.</p> <p>Sites of major importance and sites of interest to other groups should also be identified under Principle 9 (HCVF).</p> <p>Note: Indigenous Peoples may prefer that certain sites (e.g. burial sites) are not visibly marked in the field or on maps.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • Local and indigenous peoples are satisfied that sites significant to them are all identified and protected. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interviews with local indigenous peoples' true representatives confirm identification and protection. • Sites are known to the manager and forest workers and are marked (in a manner agreed with indigenous peoples' representatives) in areas where there is a high risk of disturbance. • Maps and field observations of sites of significance. 	

<p>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.</p>		
	<p>Example Indicator:</p> <ul style="list-style-type: none"> If traditional knowledge of indigenous people is used, they receive a fair market value compensation. <p>Example Verifier:</p> <ul style="list-style-type: none"> Interviews with local indigenous peoples and their designated true representatives confirm use of knowledge and acceptance of compensation. 	
<p>PRINCIPLE #4: COMMUNITY RELATIONS AND WORKERS' RIGHTS Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</p>		
<p>The FSC Policy on FSC Certification and the ILO Conventions (<i>FSC-POL-30-401</i>) states that all managers are expected to comply with those ILO conventions listed in its Annex 2, in all countries (including those which are not ILO-members and have not ratified the conventions). However it then states that "This policy will NOT be used to discriminate against countries where basic salaries and working conditions are not well enforced".</p> <p>Compliance with health and safety (H&S) requirements is often a problem in small or low intensity operations in less-developed countries, e.g. in Papua New Guinea people are not used to wearing shoes while working in the forest, let alone safety boots; in Peru, Brazil nut collectors may spend time in remote temporary camps with only rudimentary facilities which may none-the-less be similar to their own living conditions. Even compliance with existing legal requirements may be a problem for some traditional low intensity operations.</p>	<p>For all criteria in P4 NIs/CBs are encouraged to identify specific indicators and verifiers for traditional forest uses and/or community-based forestry, if this is practiced or being developed in the region to which the standard applies.</p> <p>Traditional and/or community forestry may have their own regulations regarding access to employment, compensation etc.</p>	

<p>Traditional and/or community forestry may have their own regulations regarding access to employment, compensation, etc.</p> <p>Intent statements may be useful if the NI or CB needs to explain why it may be possible for operations to be evaluated against modified criteria.</p>		
<p>4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.</p>		
<p>This criterion may be cross referenced with the requirements for Criterion 7.3 (training and supervision for proper implementation of the management plan).</p> <p>The indicators given as examples here represent conformity with ILO conventions 100, 111, 131 & 169 (see <i>FSC-POL-30-401 FSC Certification and the ILO Conventions</i>)</p> <p>This criterion may not be applicable for those operations which do not employ workers such as family-run units. The reason for non-applicability must be stated.</p> <p>In the case of very small forests the forest operation generally generates little employment. The standard should not be overly demanding in terms of requirements for documentation if interviews and site evidence suggest no problems of compliance with this criterion.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Opportunities for employment, training and other services are offered to local workers. • A training program for all workers in the acquisition of required skills and /or knowledge of health and safety procedures is available. <p>Example Indicators for ‘<i>Low Intensity</i>’ categories of forests:</p> <ul style="list-style-type: none"> • Local and forest-dependent people have equal access to employment and training opportunities • Support is provided for local infrastructure, facilities and social programmes. The extent and quality of support is agreed with the local community. Local communities are involved in identification of training, social and economic needs. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interviews with local people. • Certificates of training courses held. • Observations of activities. • Evidence of employment opportunities being distributed among community members e.g. by schedules of work turns, list of names of contracted workers. 	

4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.		
<p>The FSC policy on FSC Certification and the ILO Conventions (<i>FSC-POL-30-401</i>) states that national standards must ensure compliance with ILO conventions and the ILO Code of Practice (CoP) on Safety and Health in Forestry Work. Draft wording for NI standards is provided in Annex 1 of that policy document. The FSC policy paper states that forest managers must:</p> <ul style="list-style-type: none"> • have a health and safety policy and management system • have safe and serviceable equipment available • take health and safety into account in operational planning and supervision of work • have accommodation and food that complies with the ILO Code of Practice where workers stay in camps. <p>(ILO convention 155)</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • All work done in the forest complies with national health and safety laws and regulations. • Basic requirements for health and safety are being implemented: <ul style="list-style-type: none"> - legal compliance - adequate protective clothing for the operation (as set out in the ILO Code of Practice, Table 1, P. 50) is available and in use. - health and safety taken into account in operational planning. <p>Community / Low intensity forest operations:</p> <ul style="list-style-type: none"> • A community health and safety policy and guidelines are implemented. <p><i>Where health and safety regulations are inadequate or non-existent, and where people are carrying out traditional harvesting activities within a community forestry operation alternative indicators may be appropriate: e.g. In the case of certain NTFP harvesting in the tropics an example might be:</i></p> <ul style="list-style-type: none"> • The people participating in forestry work or NTFP collection are aware of the risks involved and specific safety measures are taken, and: • There are emergency procedures established for the case of accidents. <p>Examples Verifiers:</p> <ul style="list-style-type: none"> • Interview with the forest workers • Written agreements with local clinics where possible • Protective clothing and equipment clearly visible and used 	<p>NIs could provide:</p> <ul style="list-style-type: none"> -guidance on local health and safety regulations, legal requirements, e.g. equipment and training for different activities <p>NIs could promote development of community safety policies.</p>

<p>4.3 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).</p>		
<p>The FSC policy <i>FSC-POL-30-401 FSC Certification and the ILO Conventions</i> requires that:</p> <ul style="list-style-type: none"> • All workers can form/join a trade union or other organization • Collective bargaining is carried out • Organizations of interested parties are accepted participants in decision making. <p>(conventions 87, 98, 141, 169 and ILO declaration 1998)</p> <p>For large low intensity forests, standards may require internal working regulations which define appropriate representation.</p> <p>For operations run by an indigenous peoples organization (tribe, community, etc), and using only labour from their own community members their own internal regulations may be considered sufficient.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • There is no restriction on workers to join worker's unions <p>Example Verifier:</p> <ul style="list-style-type: none"> • Interview with the forest workers or union representatives 	<p>The relevance of this to small and low intensity operations may be limited, especially in family operations; nevertheless the opportunity to organise must be there if the work force wishes. Note also that a policy decision by the FSC Board in 2002 determined that all ILO Conventions that have an impact on forestry operations and practices are expected to be observed – see <i>FSC-POL-30-40</i>. However FSC Standards Groups and Working Groups are recommended to EITHER revise or adapt these elements for their national or sub-national Forest Stewardship Standards OR to include a reference to the FSC Guidelines (<i>FSC-GUI-30-002</i>) on this subject.</p>
<p>4.4 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.</p>		
<p>For certain categories of small and low intensity forest operations, NIs/CBs may define the requirements for an informal social impact assessment (SIA). NIs/CBs do not need to require such forests to carry out a formal social impact assessment.</p> <p>Note that for those operations qualifying as 'SLIMF' for</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers identified and evaluated the social impacts resulting from forest operations • The results of social impact evaluations are considered in the implementation of the management plan • There are functional communication channels between the forest manager and people affected by the 	<p>NIs/ CBs could provide guidance on appropriate ways of consulting for small forests. NIs could assist managers in engaging a non-government organisation or research institute to design and execute an</p>

<p>streamlined certification, there are changes in the requirements on stakeholder consultation. These are found in <i>FSC-STD-20-006 Stakeholder Consultation for Forest Evaluation</i>.</p>	<p>operations.</p> <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interviews or meetings with neighbours and forest manager. • Copies of newspaper advertisements, letters, posters and signs used to inform people of operations. • Copies of social impact assessment reports (formal or informal) • Evidence of changes in management following results of an SIA or monitoring of social impacts. 	<p>assessment of social impact.</p>
<p>4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</p>		
<p>NIs may cross reference this criterion with Criterion 2.3.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers can explain a conflict resolution mechanism <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interviews with stakeholders and forest manager. 	
<p>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.</p> <p>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.</p>		
<p>Note that the different types of small scale and low intensity operations identified will be managed for very different objectives. It may not therefore be appropriate to ask all categories of forest operation to prove that they are striving toward economic viability. E.g. where certification is sought for an amenity woodland or where forest harvesting activities will have long-term subsidies</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The operation knows the production costs for volumes harvested. • There is a functioning business model which delivers economic benefits while respecting the environmental and social requirements of responsible management. 	

<p>sufficient to support the operations planned.</p> <p>For group certification, rather than focus on the individual operations, the standard may require that the group entity is economically viable and/or has sufficient long-term stability to be able to offer the required services to its members.</p>	<p>Examples Verifiers:</p> <ul style="list-style-type: none"> • Interview with the forest manager • Harvest plans and sales records • Field observations – comparing harvested blocks and non harvested blocks 	
<p>5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Grading and sorting of harvested products shall be conducted to add or maintain commercial value where appropriate • Local processing is used where it is viable • Harvested products shall be transported from the harvest site to markets on a timely basis to minimize product degrade and loss • The forest operation seeks to: <ul style="list-style-type: none"> - Process their products locally - diversify its production – species, NTFPs, etc <p>Example Verifier:</p> <ul style="list-style-type: none"> • Records of sales of timber or other forest products and information about local processing options. 	
<p>5.3 Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>		
<p>Standards development should take account of particular regional requirements, such as the need to leave certain parts of trees on site to provide ecological functions (habitat, soil inputs, biomass). The standards should reflect this type of issue where known, and not</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • During harvesting and on-site processing the forest operation seeks to: <ul style="list-style-type: none"> - Use residues and reduce waste - Reduce impacts on other forest resources. 	

<p>assume that all 'waste' products of the forest must be removed.</p>	<ul style="list-style-type: none"> • Harvesting is carried out in such a way as to minimise breakage and damage to logs, while optimizing log utilization and value. • Removal of unused biomass shall be minimized; branches and bark pieces remain in the forest, as far as possible, and whole tree harvesting is not practiced <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Evidence from field inspection • Harvest records and sales volumes 	
<p>5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</p>		
<p>While many small forests are by nature integrated into the local economy, this is not necessarily the case. Furthermore a number of small operations could collectively have an important impact on the local economy. For Group Certification conformity should be assessed at the group level.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers have information on the range of potential products and services that could be supplied from their FMU, including 'lesser known' timber species, Non Timber Forest Products (NTFPs) and opportunities for ecosystem services • Local initiatives involving the use, processing and or marketing of forest products are being encouraged. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Sales records. • Discussions with local communities and the forest manager 	
<p>5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</p>		
<p>This may be especially important when dealing with groups of small forests, which may collectively have a considerable impact on a watershed or resource. Standards writing groups may consider specifying stronger indicators for groups.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Non-timber forest resources and services within the FMU are protected. • Forest management recognizes and maintains the value of forest services and resources such as watersheds. 	

	<p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interview with forest managers • Field inspections do not reveal damage to forest services. 	
<p>5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</p>		
<p>Annual harvesting levels may vary considerably. For some NTFP species stock levels and growths are not well studied, and it is neither realistic nor appropriate to require low intensity or small operations to fund such research. Hence for such instances, conservative harvesting levels and monitoring can be required.</p> <p>Where very small forests are using clear-cutting at maturity (e.g. small woodlot) standards development should include a review of P6 and P10 to determine how best to define harvesting levels which meet the FSC P&C.</p> <p>NIs may choose to use harvesting levels as part of the criteria for deciding categories of forest operation for which modified indicators and verifiers apply. In such cases they will need to require that harvest limits are stated in the management plan, based on conservative estimates of growth and yield rates.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers can list the products that are utilized • Harvest levels do not exceed growth levels for the resources being harvested and the cycle proposed. • Minimum stocking levels of timber and other resources are maintained, or, where they do not currently exist due to past mismanagement, are being restored. • When stock levels and growth are not well known (e.g. for certain NTFP species) the forest operation uses conservative harvesting levels. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Management plan. • Field observations of harvesting sites compared to areas planned for harvesting. • Harvest and sales records and plans over the relevant time span. • Data on likely or actual growth rates of species harvested. • Maps of location of NTFP resource. 	
<p>PRINCIPLE #6: ENVIRONMENTAL IMPACT Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</p>		
<p>NIs are encouraged to develop specific indicators which relate to group certification (see Section 6 of this document). Many of the generally-used indicators are only marginally relevant for very small operations, but should be dealt with by the group entity (manager,</p>		

<p>resource manager): this is particularly the case when assessing landscape level considerations.</p>		
<p>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.</p>		
<p>Many of the categories of low intensity or small scale forest operations should by definition, have a low risk of severe environmental impacts. However, all forests are part of an existing landscape, and some consideration needs to be given to this when management is determined.</p> <p>For this reason, the indicators used may vary considerably: specifying different types of assessments required.</p> <p>Baseline information of forest structure and of pre-intervention forest conditions shall be documented so that possible negative environmental impacts are identified and minimized through writing and implementing a management plan; For certain categories of operations it maybe appropriate to link 6.1 with 7.1, i.e. to require that the simple management plan includes a simple environmental impact assessment.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers demonstrate knowledge of the possible negative impacts of its activities on the environment • Forest management operations are executed in a way to minimize these impacts <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interview with forest manager • Field observations • Management plan • Documented environmental assessment or statement where legally required. 	
<p>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.</p>		
<p>Very small forests (i.e. <10ha) including plantation forests: Protection is required only for specific features or habitat which are important for the protection of rare, threatened and endangered species and their habitats (e.g. nest sites, feeding areas, etc.) and which are</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Where information exists on rare, threatened and endangered species and their habitats, the forest manager uses this information to map and protect them. • Other features which are important for conservation are 	<p>At national/regional level rare, threatened and endangered species, habitats and features considered important for conservation must be listed and</p>

<p>identified nationally.</p> <p>In the case of group certificates the need for conservation zones and protection areas can be dealt with collectively at the group level, or by proven off-site benefits from the forest management being undertaken. Group entities may also be required to seek information from the relevant state or national government wildlife/fauna/habitat department regarding rare, threatened or endangered species and to incorporate this information into the management plan.</p> <p>Where appropriate NIs/CBs may include an indicator restricting the use of fires, however there are some forest types where fire is used as a management tool, and controlled burning may be important for ecosystem management.</p> <p>NB: A toolkit for the identification and protection of HCVPs was developed by FSC and is available as a “Step by step guide for conservation of biodiversity and High Conservation Value Forests in SLIMFs” on request.</p>	<p>identified and protected.</p> <ul style="list-style-type: none"> • Felling operations are not conducted in nesting places and during the breeding period • Forest managers implement a reporting system to detect the presence of rare, threatened and endangered species (e.g. field observation records for drivers, workers) • Fishing using dynamite and toxic substances is not permitted. • Forest corridors are maintained along watercourses and open areas • A control system to restrict inappropriate hunting, fishing, trapping and collecting is implemented. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interview with forest managers • Field observations • Management plan 	<p>guidance for their protection provided with the modified standard.</p> <p>Any legal requirements related to rare, threatened and endangered species, conservation features and/or hunting and fishing should be summarised.</p> <p>Examples of inappropriate hunting, fishing, trapping and collecting should be given.</p>
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<p>6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <p>a) Forest regeneration and succession b) Genetic, species, and ecosystem diversity c) Natural cycles that affect the productivity of the forest ecosystem.</p>		
<p>Very small woodlots commonly use clear-cutting in order to make harvesting economically viable (e.g. South African tribal plantation lots of less than 10 ha). This type of operation will almost certainly be certified as a group certificate. In such cases standards writing groups may propose that compliance with 6.3 is assessed at group level</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • A natural regeneration is favoured • Forest management maintains: <ul style="list-style-type: none"> - a natural diversity of stand successional stages, - native species composition appropriate to the site, - stand legacies including large live trees, snags and downed woody material. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Field observations of forest cover after harvesting, • Harvesting and re-stocking plans. 	
<p>6.4 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.</p>		
<p>As with 6.2, above, the focus for very small forests should be on specific conservation features and habitat, including restoration, as a contribution to representative samples in the landscape.</p> <p>Where a large number of small forests are grouped together, forming a significant part of the landscape compliance may be evaluated at the group level.</p> <p>The NI/CB may decide to set a minimum proportion of the FMU which must be protected.</p> <p>If there are adequate off-site protected ecosystems already existing in the landscapes, the need for an individual small forest owner to protect a representative</p>	<p>Low intensity forests, groups of small forests operations where timber harvesting is taking place:</p> <p>Example Indicator:</p> <ul style="list-style-type: none"> • A representative sample of ecosystems within the landscape is identified, mapped and protected. <p>In the case of NTFP harvesting, these areas may be protected without necessarily being removed from the harvesting area.</p>	<p>Standards development groups are encouraged to explore different options for small and low intensity operations to meet the requirements of 6.3, such as via the support of off-site protection and conservation (directly or indirectly). This means that exclusion from harvesting within any one Forest Management Unit is not necessary provided an example of the ecosystem is protected elsewhere in the landscape.</p>

<p>area is reduced.</p> <p>An intent statement may be useful here.</p>		<p>NIs may also need to seek help in understanding the different landscape level contexts in which small plantations are found (e.g. requirements may be different where the natural habitat is grasslands).</p>
<p>6.5 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.</p>		
<p>Indicators specific to regional or national ecosystems should be added (e.g. References to risks of landslides, or avalanches). For fragile sites, procedures should be developed to prevent or mitigate damage.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The road and skid trail network accommodates local conditions and minimizes the forest floor area used by vehicles. Driving takes place only on designated trails. • Water courses, including non-perennial streams, springs, wetlands, etc. are protected. Protection measures are sufficient to maintain or restore water quality. • Logging in riverside areas and steep slopes is restricted. • There is no evidence of physical damage to stream bank and bed, changes in stream flow from bridges, culverts or debris and pollution. • No evidence of soil erosion is apparent. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Field observations. • Documents and records • Maps showing locations of permanent roads and tracks and their relationship to watercourses as well as locations of planned, on-going and completed operations. Maps should include fragile sites (e.g. dunes, steep slopes, shallow soils, wet sites, peat lands, permafrost, riparian areas). 	<p>NIs could provide:</p> <ul style="list-style-type: none"> - information on any regulations covering forestry practices -Information on best practice guides available.

<p>6.6 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.</p>		
<p>NB: A guide for integrated pest and weed management in certified forests and plantations was developed by FSC and is available on request.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • No products on the list of FSC 'Highly Hazardous' Pesticides are used. • The forest operation seeks to minimize the use of all chemical products (e.g. fertilizers, wood preserver, etc.). • Permitted pesticides are only applied by trained and qualified staff or contractors with proper safety equipment • Permitted pesticides are stored safely. • The use of pesticides is recorded <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Forest manager's explanation of pest and weed control • Field observations • records of pesticides used • (in some cases, invoices may be appropriate as records for chemical use) 	
<p>6.7 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.</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Chemical waste as well as fuel and oil from equipment maintenance procedures shall be captured and not allowed to flow on the ground or in watercourses • Containers are available to collect waste before final disposal • Safe areas for storage and re-filling fuel and oil are designated 	<p>NIs may indicate what is best practice for disposal, reuse, recycling or reclaiming this waste regionally or nationally.</p>

	<ul style="list-style-type: none"> Chemicals, containers, liquid and solid non-organic wastes including fuel and oil are disposed of in an environmentally appropriate manner at off-site locations. <p>Example Verifiers:</p> <ul style="list-style-type: none"> Field observations Interviews with managers and workers Records of disposal where available 	
<p>6.8 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.</p>		
<p>The NI/CB shall determine if it is appropriate to refer to national approval and/or guidance. In some cases national policies regarding biological control agents may not be adequate.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> Biological control agents are only used if they are approved nationally and authoritative scientific sources cited for their use. Monitoring systems are in place to provide necessary data on use. No GMOs are used in any element of forest management <p>Example Verifiers:</p> <ul style="list-style-type: none"> Records of use of biological control agents. Impact assessments available of biological control. 	<p>NIs/CBs may provide information about permissible biological control and where guidance can be found.</p>
<p>6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> Exotic species are not introduced into native-species natural forests. Existing exotic species which are known to be invasive are controlled <p>Example Verifiers:</p> <ul style="list-style-type: none"> Field observations Species inventories 	

<p>6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <p>a) entails a very limited portion of the forest management unit; and</p> <p>b) does not occur on high conservation value forest areas; and</p> <p>c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit.</p>		
<p>NIs and CBs may want to specify the maximum percentage of area that can be converted to plantations, and permissible types of conversions. This must be in accordance with FSC policy on conversion, as elaborated in <i>FSC-ADV-30-602 Conversion of plantation to non-forest land</i>. Among other things, the advice note states that conversion of more than 5% of a forest management unit to non-forest land use over a five-year period cannot be considered 'very limited', except in exceptional circumstances and with the clear support of environmental and social stakeholders at the national and local levels.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Conversion of natural forest within the FMU only occurs: <ul style="list-style-type: none"> - as part of restoration to natural habitat - when it is clearly necessary to allow conservation and management of the whole forest management unit - only in a very limited area. - In areas that are not HCVF • If HCVF has been identified, no conversion shall take place in any site identified as containing or affecting, directly or indirectly, a HCV. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Field observation • Discussions with neighbours • Areas of high conservation value are known and mapped. • Forest manager's explanation of the rationale if conversion areas exist or are planned 	

<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.</p>		
<p>7.1 The management plan and supporting documents shall provide:</p> <ul style="list-style-type: none"> a) Management objectives. b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands. c) 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. 		
<p>Criterion 7.1 requires a level of detail which is greater than many small scale or low intensity operations will need. Principle 7 requires that the management plan should be 'appropriate to scale and intensity' and NIs/CBs are encouraged to state what the requirements might be for different categories of operations. (e.g. requirements may focus on annual operational plans, plus maps, plus long-term goals)</p> <p>NIs should define a set of very basic requirements for management plans of small and low intensity operations; in forests where no felling, regeneration or road/trail construction is planned, an even simpler document may be adequate.</p> <p>Where land tenure is shorter than full rotation, it may be more appropriate to describe the desired future condition of individual stands (or perhaps the entire</p>	<p>Example Indicator (the contents are suggestions):</p> <ul style="list-style-type: none"> • A written management plan according to national legislation exists, which includes at least the following: <ul style="list-style-type: none"> a) the objectives of management b) a description of the forest c) how the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability d) sustainable harvest limits (which must be consistent with FSC criteria 5.6) e) plans for monitoring forest growth f) environmental/ social impacts of the plan g) conservation of rare species and any high conservation values h) maps of the forest, showing protected areas, planned management and land ownership i) pest and weed control planned j) duration of the plan 	<p>NIs or other groups could develop a template management plan which meets local legal and certification requirements</p> <p>In forests where no felling, regeneration, or road/trail construction is planned, a simple outline statement and annotated sketch map is adequate.</p> <p>Under g) national/regional guidance is needed on identifying high conservation values (see 9.3).</p>

<p>forest for low intensity) in terms of stand age and/or size class, and to outline a harvesting scheme (e.g. area or volume of harvest and frequency of harvest) that will result in the desired forest structure which does not inhibit the adjacent and surrounding landscape ecosystem dynamics, integrity and high conservation values.</p> <p>The requirements for management plans will be further simplified for the harvesting of NTFPs and for forest use where no harvesting is planned (e.g. watershed conservation, recreation)</p> <p>With very few exceptions there must be a written management plan for the forest.</p> <p>There will be very few examples where a written management plan is not feasible: even in areas where literacy levels are low among forest managers they may be supported by a group manager or an NGO in recording their intentions. However, where NIs/CBs think it appropriate so as not to create unnecessary barriers to participation by traditional communities, requirements can be simplified and may include some verbal explanations.</p>	<p>Depending on the categories of small and low intensity forest operations defined by the standards writers, this list may vary considerably (e.g. systems for monitoring forest growth may not be required if felling is limited)</p> <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Checking the plan exists and contains all the information required. • Field checks that the plan has been implemented in the past and is currently still followed. • Harvest limits are established at sustainable limits and are based on conservative estimates of tree growth and yield. • Silvicultural prescriptions take into account factors such as diameter at breast height, seed trees for each species 	
<p>7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</p>		
<p>Five years may be a reasonable time period to require a review of the plan, however a period other than 5 years may fit better with national planning requirements and could be used instead.</p> <p>Criterion 7.2 may be cross referenced to 8.4 as they both relate to the updating of the management plan to</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The plan is reviewed at least every X years and updated if necessary. • The results of monitoring are used to plan and implement future management. <p>Example Verifiers:</p>	

incorporate monitoring information.	<ul style="list-style-type: none"> • Checking that the current plan is up to date. • Current plans are based on knowledge of effects of previous management. • Manager's awareness and use of monitoring/ other sources of information in management 	
7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.		
Criterion 7.3 may be cross referenced to Criteria 4.1 in relation to training.	<p>Example Indicator:</p> <ul style="list-style-type: none"> • Training courses are offered on implementation aspects. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Interview with managers and workers • Observation of quality of field work 	For small scale operations, training will be in line with the less complex management plans.
7.4 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.		
Criterion 7.4 may be cross referenced to 8.5	<p>Example Indicator:</p> <ul style="list-style-type: none"> • The management plan, or a summary of it (which includes the information required by 7.1 and any results of monitoring) is available for the public to see on request. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Review of the plan or summary • Discussions with the forest manager and neighbours or interested parties. • Records of any requests to see the plan or summary. 	

<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.</p>		
<p>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.</p>		
<p>NIs/CBs should provide clear guidelines for different categories of small and low intensity operation on monitoring frequency of specific indicators. NIs/CBs may give guidance on:</p> <ul style="list-style-type: none"> - what to monitor - how to monitor and how often - what to do with the results 	<p>Example Indicator:</p> <ul style="list-style-type: none"> • Monitoring is done in a consistent and replicable way over time to allow comparison of results and assessment of change. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Manager's field notes • Manager's description of how monitoring is done. • Management plan. • Record of the monitoring activities being implemented. 	
<p>8.2 Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ol style="list-style-type: none"> 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. 		
<p>The list of indicators contained in Criterion 8.2 may be beyond the needs and ability of most small and low intensity operations to monitor and be inappropriate to require this of small and low intensity operations. This particularly applies to d) and e).</p> <p>NIs should define a set of very basic requirements for monitoring of small and low intensity operations.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The manager knows what information is needed in order to judge progress towards management objectives. The information is collected and recorded. In all cases this will include: <ul style="list-style-type: none"> - Amount of products harvested - Effects of operations as identified under Criteria 6.1 - Changes in features identified under Criteria 6.2 - At least annual monitoring of high conservation 	<p>Managers of small and low intensity forests need guidelines on how to monitor HCVs.</p> <p>Community forest operations need simple guidelines on how to monitor the social impact of their operations within and outside of their community</p>

<p>Additional specific monitoring requirements can be defined at national level.</p> <p>Where external research or monitoring is being carried out externally, which is applicable to the forest management of the operation, the forest manager of a small or low intensity operation should not have to replicate monitoring; they should use the results to inform their management.</p>	<p>values identified under Criteria 9.1</p> <ul style="list-style-type: none"> - Invasive exotic species <p>(note this list will be different for NTFP harvesting)</p> <p>Other possible items to be monitored:</p> <ul style="list-style-type: none"> - Post harvest (end of harvest and following next wet season or heavy rains) for erosion and sedimentation. - Estimate of residual basal area post harvest. - Periodic inventory (10 years). - Monitor planted seedlings - Monitor any rare, threatened or endangered species or natural communities appropriate to the resource and level of management activity. - Forest regeneration - Soil erosion - Protected species (flora and fauna) <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Discussions with forest manager demonstrate his knowledge of the forest. • Review of manager's field notes, observations or reports on HCVs. • Available maps and reports from other sources. • Direct field observation 	<p>boundaries.</p>
<p>8.3 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."</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> • A system which allows all products (timber and non-timber) harvested within the FMU to be identifiable as such is implemented. • The system is designed to avoid mixing with forest products from other properties is implemented. 	

	<ul style="list-style-type: none"> Records allowing products to be traced from the forest are maintained. <p>Example Verifiers:</p> <ul style="list-style-type: none"> Felling and haulage records Transport permits and packing lists Receipts and invoices 	
8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.		
This criterion may be cross referenced to 7.2, as they both require that monitoring results are used to guide future management.	<p>Example Indicator:</p> <ul style="list-style-type: none"> Forest managers are able to demonstrate how the results of monitoring have influenced subsequent changes to the management plan and associated documents. 	
8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.		
This criterion may be cross referenced to 7.4, as they both require that the results of monitoring are incorporated into management plans (and therefore made available to the public).	<p>Example Indicator:</p> <ul style="list-style-type: none"> A summary of any results of monitoring is available for the public to see on request. 	

<p>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.</p>		
<p>NB: A guide for the identification and protection of HCVMs was developed by FSC and is available as a “Step by step guide for conservation of biodiversity and High Conservation Value Forests in SLIMFs” on request.</p> <p>Some criteria within P9 may be determined by NIs to be inapplicable to certain, very small forest operations. However certification bodies may not under any circumstances exempt a forest from any P9 criteria.</p>		
<p>9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</p>		
<p>For small and low intensity operations, the main challenge (cost and understanding) is likely to be identification and mapping of HCVMs at the FMU level. Once identified, low intensity management should be adapted to comply with the precautionary approach.</p> <p>If financial limitations are the main constraint, small and low intensity operations could be required to seek financial and technical assistance to carry out an assessment as part of the medium term conditions to keep the certification.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Forest managers have assessed their forest for the presence of high conservation value attributes (existing information may be used). • Identified areas of high conservation value are marked on maps and/ or are clearly identifiable in the field <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Evidence of a preliminary assessment and/or full assessment for HCVMs, which includes consultation with indigenous people/ local communities, conservation databases, maps, scientific experts, etc., where necessary. • Stakeholders’ consultation results 	<p>NIs/CBs will need to define the relevant attributes of HCVMs within the country or region and identify potential HCVMs on maps at a landscape level together with clear criteria for identification of HCVMs. This can be done by consulting scientific data and conservation databases for HCVM information, or referring to a HCVM toolkit. Site identification of HCVMs shall be done in consultation with local communities.</p> <p>Where resources permit, NIs</p>

		<p>should adapt existing toolkits to their national situation.</p> <p>An interim solution is for NIs to identify the most obvious types of values, which have meaning for small/ low intensity operations and for CBs, so that these can be identified (example 'semi-natural ancient woodland' in the UK which most small owners can report on)</p>
<p>9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>		
<p>This criterion is a requirement for the certification body about the certification assessment process. It is addressed in <i>FSC-STD-20-006 Stakeholder consultation for forest evaluation</i></p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • The forest manager has consulted with stakeholders to identify HCVF attributes and the management options for their maintenance. 	
<p>9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</p>		
	<p>Example Indicator:</p> <ul style="list-style-type: none"> • The management plan describes any high conservation value attributes identified in the forest and the management measures ensuring their maintenance. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Review of evaluations of HCVFs nationally/regionally and external reports on their presence and proposed management • Review of the management plan including the description 	<p>Managers of small or low intensity forest units may not be able to identify HCVFs without clear guidelines from NIs or others. They will also need guidelines on how they should manage each HCV. NIs will have to be responsible for interpreting the HCVF toolkit nationally/regionally.</p>

	<p>of HCVs and measure to ensure their maintenance.</p> <ul style="list-style-type: none"> • Field checks of implementation of the management plan • Field checks of HCV sites 	
<p>9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>		
<p>May be included with the list of monitoring requirements in Criterion 8.2. This criterion may be cross referenced to Criterion 8.2.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> • The effectiveness of the management measures is monitored periodically. 	
<p>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.</p>		
<p>It is recommended that the category of small plantations in national / regional standards includes a category of very small plantations (e.g. < 10 ha) and one of small plantations (e.g. 11 ha-100 ha). This will allow standards writers to adapt the standards to benefit the smallest and most resource-poor forest managers. Choosing a broad category e.g. Up to 1000 ha, will give little flexibility to create appropriate standards, and will leave the smallest plantations at a major disadvantage.</p>		
<p>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.</p>		
<p>See Criterion 7.1 for example indicators.</p> <p>For groups of small plantations the NI/CB may consider including a requirement to specify the propagation material used: species composition and provenance, seedlings source, nursery, etc.</p>		

<p>10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</p>		
<p>Groups of Small SLIMF Plantations: NIs/CBs should define the size of groups of small or low intensity operations at which landscape-level indicators are of particular concern</p> <p>Very small plantations may be limited in what they can physically contribute to protection, restoration and conservation of natural ecosystems on their lands. In such cases, NIs/CBs may suggest that off-site benefits or in-kind contributions to natural ecosystem conservation may be appropriate substitutes.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> Natural vegetation is kept or restored for X metres each side of streams or rivers. <p>Example Verifiers:</p> <ul style="list-style-type: none"> Field observations of streams, rivers and areas of natural vegetation. Where applicable proxy verifiers may include grants or subsidies which depend on compliance with legislation regarding streamside zones, etc. 	<p>NIs/CBs need to define width of buffer zones along streams and rivers.</p>
<p>10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</p>		
<p>For very small single plantations, standards writers may take into account the diversity of other activities (e.g. Farming) when determining social, ecological and economic stability.</p> <p>However, the combined impact on the landscape of several operations and the responsibility assumed by the group, means that indicators for group certification of small plantations is appropriate: NIs/CBs should define the size of groups of SLIMFs at which landscape level indicators should apply.</p>	<p>Example Indicator:</p> <ul style="list-style-type: none"> A variety of age classes, sizes of planting blocks and/ or species composition is considered in the composition of the plantation <p>Example Verifiers:</p> <ul style="list-style-type: none"> Management plan Field observations Discussions with manager Seedlings invoice and description (quantity, species, provenance, origin, etc.) 	<p>NIs may wish to define maximum proportions of a plantation which can mature or be harvested in one 5-year period.</p>

<p>10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> • The species chosen for plantations are suited to the site and matched to the objectives. • Exotic species are not introduced unless they are known not to have major ecological adverse impact and their performance is significantly greater than native species. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Discussions with manager about plantation objectives • Plans for future planting • Field observations of planting sites and control of exotic species. • Research papers, publications, expert opinion, etc. that verify that the planted species is suitable for plantation management under given circumstances. 	<p>NIs may wish to list the species which are permitted and define maximum proportions of particular species (e.g. certain exotics). Alternatively a list of species which are <i>not</i> permitted could be created.</p> <p>These lists should be based on evidence (research papers, publications, expert opinion, etc.) of the suitability of the crop for planting in certain regions and under certain conditions.</p>
<p>10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.</p>		
<p>Where there are no suitable sites for restoration, standards writing groups should explore the option to substitute the creation of on-site (i.e. within the FMU) restoration zones for very small woodlot plantations, with demonstrable off-site contributions to the management or restoration of similar landscapes and ecosystems.</p> <p>Groups of small plantations, and plantations over 100ha: NIs/CBs should specify the proportion of the overall forest management area for restoration to natural forest cover.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Natural vegetation is kept or restored for X metres each side of streams or rivers. • Patches of natural vegetation of X% are maintained • Improvements to the ecological value of the plantation are made particularly around conservation features <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Field observations of conservation features • Plans for future improvements • Documentation or field verification of off-site 	

<p>Improvements to ecological values should be aimed at improving conservation features identified under criterion 6.2.</p>	<p>contributions.</p>	
<p>10.6 Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.</p>		
<p>See Criterion 6.5 for example indicators.</p>		<p>NIs could provide sources of information about best practice for soil and water protection measures.</p>
<p>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.</p>		
<p>The use of chemicals is covered under Criteria 6.6 and 6.7.</p>	<p>Example Indicators:</p> <ul style="list-style-type: none"> • Plantation management is designed to minimize pests and diseases and risk of fire • Plantation management shows a primary reliance on pest prevention and biological control methods. • Use of pesticides and fertilizers is minimized. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Discussions with the forest manager • Absence of fire and pest damage • Participation in local fire or pest control groups. 	<p>NIs could provide sources of information about best practice for pest and disease management.</p>

<p>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.</p>		
<p>The social and ecological impacts of even small plantations should be monitored, but for small and very small plantations (<100 ha) note that Criterion 10.8 may be covered by Criterion 4.4 (social impact assessment), Principle 2 (local use and access rights) and Criterion 8.2 (monitoring).</p>		
<p>10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.</p>		
	<p>Example Indicators:</p> <ul style="list-style-type: none"> • No area of the plantation is on land that was natural forest as of November 1994 • The plantation was converted from natural forests after November 1994 but management was not directly or indirectly responsible for the conversion. <p>Example Verifiers:</p> <ul style="list-style-type: none"> • Evidence of land use before 1994 • Evidence of change of tenure or responsibility since 1994. • Stakeholder interviews • Official authorities 	