

IMO Control CH II 6-3-1-en-Nov06-China.doc

**IMO Control Checklist for Forest Management (generic standard) for China.**

**SLIMF indicators - if any exist - are listed as the first indicator of criterion. They are indicated with the no. of criterion and the letters SLIMF.**

**The other indicators do not apply for SLIMF companies.**

project: \_\_\_\_\_ dates of audit: \_\_\_\_\_ Inspector(s): \_\_\_\_\_

No.	P&C Requirement	Sources of Verification	PC/C	Result
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<b>1.</b>	<b><u>COMPLIANCE WITH LAWS AND FSC PRINCIPLES:</u> Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.</b>			
<b>1.1</b>	<b>Forest management shall respect all national and local laws and administrative requirements.</b>			
1.1.1	The company being assessed proves to comply with the national and regional legislation and all its regulations.	policy statement	PC	
1.1.2	A register or summary of all pertinent legislation and regulations is available.	relevant legislation, regulations and their accessibility; <b>(Annex 1 to be controlled!)</b>	C	
1.1.3	A person is responsible to ensure that copies of up-to-date legislation and regulations are accessible.	Diagram of responsibilities	C	
1.1.4	Employees and contractors are aware of the consequences of legislation and regulations for the carrying out of their work.	contracts, interviews with employees	C	
1.1.5	Instructions and training guarantee that legislation and relevant regulations are taken into account during all activities.	instructions, documents regarding training	C	
1.1.6	If violation of the law by company personnel is detected the management takes corrective measures and their implementation is documented.	documents regarding incidents	C	
<b>1.2</b>	<b>All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</b>			
1.2.1	The enterprise has knowledge of all taxes, fees, royalties, and other charges that apply to its company.	lists of taxes according to legislation	PC	
1.2.2	There is proof of the settlement of all dues.	receipts, accountancy reports	PC	
1.2.3	Provisions are taken for the payment of taxes and other dues in the future.	budget, accountability	C	
<b>1.3</b>	<b>In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.</b>	<b>(Annex 2 to be controlled!)</b>		
1.3.1	The requirements of relevant international agreements (CITES, ILO-Convention, Convention for biodiversity, Convention for climate, protocols from Helsinki) are known.	copies of or access to text of agreements (signatory countries).	PC	
1.3.2	No agreements relevant for forestry are violated.	list of relevant agreements, check on sensitive issues.	PC	
1.3.3	Adherence to minimum age provisions of national labour laws and regulations, and of the international standards, no child labour. No work under the age of 18 when it is likely to jeopardize health, safety or morals	Interviews with workers and their labour organisations or unions, collective agreements, records of la-	PC	

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	(unless there special provision for safety, training or traditional community circumstances)	bour inspectorate.		
1.3.4	Prohibition of forced labour: No workers in debt bondage or other forms of forced labour are engaged (incl. Employees, self-employed or contractors). Ref: ILO Conventions 28 & 105, ILO Declaration 1998, or equivalent national legislation.	Interviews with workers and their labour organizations or unions, records of labour inspectorate, labour contracts	PC	
<b>1.4</b>	<b>Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certification body and the involved or affected parties.</b>			
1.4.1	Identified conflicts are documented.	cross reference P&C - legislation, specific documents	PC	
1.4.2	Authorities, involved and affected parties were consulted about the problem.	minutes, statements of the authorities, stakeholders	PC	
1.4.3	In case of existing conflicts between P&Cs and legislation the situation is at least explained and justified and/or propositions or other efforts for a solution are submitted by the certification body, if necessary. The national or regional FSC initiative is involved.	relevant documents, statement of authorities, proposition	C	
<b>1.5</b>	<b>Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities.</b>			
1.5.1	The applicant is able to identify and monitor possible illegal activities.	control activities, demarcations of limits, surveys	PC	
1.5.2	Appropriate and competent human resources are available to prevent such activities.	diagram of responsibilities, schedules	PC	
1.5.3	Procedures exist and appropriate measures are taken against illegal activities.	procedures, documents regarding contact to authors and authorities, demarcations of limits, interviews	C	
<b>1.6</b>	<b>Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</b>			
1.6.1	The applicant has knowledge of the current version of the Principles and Criteria of the FSC International.	P&C at hand	PC	
1.6.2	The applicant has a stewardship policy which is based on and proves to live up to the Principles and Criteria of the FSC.	policy statement, stewardship policy	C	
1.6.3	The policy is communicated within the enterprise and to contractors	system of internal and external communication	C	
1.6.4	The policy is evaluated and revised periodically.	date on policy statement, policy for revision	C	
1.6.5	Information is disclosed on all forest areas over which the FMO has some degree of management responsibility (as per FSC policies, e.g. "partial certification").	maps, land register (German: Grundbuch; Flächenbuch)	C	

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1.6.6	If the exclusion of certain areas is foreseen all relevant FSC policies (e.g. partial certification) are considered.	Management responsibilities, ownership, range of influence	C	
<b>2.</b>	<b>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.</b>			
<b>2.1</b>	<b>Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.</b>			
2.1.1	Documents indicating ownership of land and forest and defining long-term use and management of its resources are available.	legal title, deeds, contracts	PC	
<b>2.2</b>	<b>Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</b>			
2.2.1	The local residents or other people have written or customary rights regarding property and use of the forest are known.	register of legal titles and customary rights	PC	
2.2.2	Customary and legal rights regarding property, use and management of land, territories and resources are documented. In case of use rights with negative long-term effect on resources sustainable solutions are sought.	written agreements, contracts; assessment of long-term effects, proposals for solutions, minutes of negotiations, etc.	C	
2.2.3	Planned activities which could possibly affect customary and legal rights and use of resources are detected in advance.	check on management plan and customary activities of population; list of potential conflicts.	PC	
2.2.4	People entitled to those rights are aware of ongoing and planned forestry activities which could affect their rights.	public relation policy, documents, publications, <b>interviews</b>	PC	
2.2.5	There is proof of negotiations between the applicant and affected people or individuals regarding ongoing and planned forestry activities which could affect their rights.	invitations, records, minutes, etc.; <b>interviews</b>	C	
<b>2.3</b>	<b>Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify a company from being certified.</b>			
2.3.1	Records describing any conflict, in the past or present, regarding property rights and usufruct (use rights) are available.	records	C	
2.3.2	Appropriate mechanisms for the solution of conflicts were developed, including legal and internal procedures.	instructions	C	
2.3.3	There are no conflicts of large scale, involving a big number of affected people or concerning large areas.	interviews with affected people, minutes of negotiations, letters, me-	PC	

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	In the case of existing conflicts on a small scale a strong commitment towards a solution of the conflict is demonstrated.	dia's, etc.		
<b>3.</b>	<b>INDIGENOUS PEOPLES' RIGHTS: The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.</b>			
<b>3.1</b>	<b>Indigenous peoples shall control forest management on their lands (which are not their property) and territories unless they delegate control with free and informed consent to other agencies.</b>			
3.1.1	The applicant is aware of indigenous people living within its sphere of action and knows their locations and way of living, especially regarding their established customary rights to use the forest which is not the property of these peoples.	surveys, documentation on indigenous people and of contacts with them	PC	
3.1.2	Limits (geographical or regarding the type of using) are defined together with the relevant people.	general policy, records of negotiations; <b>interviews</b>	PC	
3.1.3	The applicant is in permanent communication with indigenous people living in the area. Especially the procedures to inform about management activities is defined. This task is assigned to a specific employee.	general policy, work planning, minutes, diagram of responsibilities; <b>interviews</b>	PC	
3.1.4	A strategy for the settlement of disagreements is in place (e.g. designation of independent confidants accepted by both parties).	general policy, defined arbitration procedures	C	
3.1.5	The rights to control and manage their forest is granted for indigenous people. Delegation of the management of the forest to the applicant by indigenous people is documented in writing. There is proof that the indigenous people are not subject to any pressure of any kind.	written agreement, documentation of negotiation procedures (e.g. who took the initiative?), minutes; <b>interviews</b>	PC	
<b>3.2</b>	<b>Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</b>			
3.2.1	The applicant has knowledge of the resources used by indigenous people and the location of indigenous areas outside his management area.	surveys, <b>interviews</b>	PC	
3.2.2	Traditional access for subsistence uses and traditional activities is granted as long as it does not threaten the integrity of the resources or the management objective.	hearings and documentation hereof, proof of oral communication. <b>interviews</b>	C	
3.2.3	All Management activities are evaluated if they might threaten or diminish the resources or tenure rights of indigenous peoples. If there is any risk they are modified Special attention is paid to situations with a potential for conflicts (e.g. overlapping of timber harvest areas with areas of collection of non-timber products, intensive exploitation of products).	notes in surveys, minutes/records of meetings, etc. <b>interviews</b> , management plan	C	
3.2.4	The indigenous peoples rights are communicated within the applicant's company and to contractors. All relevant activities are monitored closely.	policy and practice of internal communication, responsibility for monitoring (diagram of responsibilities)	C	

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see also	4.1.4 Local residents are provided in an appropriate way with information and knowledge about the management of forests. 4.4.3 Possible social effects (positive or negative) of novel forest activities are surveyed. 4.4.4 Results of such surveys are taken into consideration during the planning process and for conflicts solutions are sought. 4.4.5 The applicant proves to make public consultation an integrated part of the planning process, unless this has already taken place or is planned on a regional scale. The public consultation is documented in an appropriate way.			
<b>3.3</b>	<b>Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.</b>			
3.3.1	Sites of special significance to indigenous peoples are known and listed. The identification and definition of these sites is done in co-operation with the affected peoples.	inventory with maps, authors of survey, stakeholder consultation, <b>field</b>	PC	
3.3.4	Employees and contractors are informed on locations of sites of special significance. These sites are protected during forest operations and closely monitored.	policy and practice of internal communication, responsibility for monitoring (diagram of responsibilities)	C	
3.3.5	The indigenous people have access to their sites of special significance at any time. Temporary limitations of access (e.g. for safety reasons) are discussed with the affected people and carried out only with their agreement.	Instructions, consultation with affected people; <b>field, interviews</b>	PC	
<b>3.4</b>	<b>Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</b>			
3.4.1	The applicant has documented which knowledge relevant to forestry was acquired from indigenous people, including the economic advantages thereof.	surveys, documentation / calculations, <b>interviews</b>	C	
3.4.2	Extent and type of compensation are agreed by both parties and in writing.	contracts	C	
3.4.3	Compensations are settled before activities start. (including activities before application for certification)	receipts or equivalent documents, work records	PC	
<b>4.</b>	<b><u>COMMUNITY RELATIONS AND WORKER'S RIGHTS:</u> Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</b>			
<b>4.1</b>	<b>The communities within, or adjacent to the forest management area should be given opportunities for employment, training, and other services. (social aspects see 4.4)</b>			
4.1.1	At least one employee is responsible for the contact to local people and acceptance of their concerns.	diagram of responsibilities	C	

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4.1.2	Local people are given preference for employment if they meet the requirements.	personnel policy, list of personnel	C	
4.1.3	Criteria for awarding work to contractors are not only the price, but also qualifications, quality and the place of origin of the contractor and its workers.	list of contractors, selection criteria	C	
4.1.4	Local residents are provided in an appropriate way with information and knowledge about the management of forests.	hearings and documentation hereof, brochures,	C	
4.1.5	The company is committed to include the forest owners in their efforts of training and public information.	policies regarding education and in-house training, educational materials, number of training and attendees, letters, records, invitations	C	
<b>4.2</b>	<b>Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</b>			
4.2.1	Current information on legislation and regulations regarding safety and health is available.	copies of current regulations	PC	
4.2.2	Instructions regarding safety and health of workers exist and are applied.	instructions, safety equipment and its condition, <b>field</b>	PC	
4.2.3	An employee is responsible (on company or regional level) for introduction, evaluation and application of safety and health regulations.	diagram of responsibilities, record keeping of responsible person	C	
4.2.4	Safety and health regulations are applied during work in the forest.	instructions, safety equipment and its condition, interviews, <b>field</b>	PC	
4.2.5	An internal audit system (on company or regional level) addresses the observance of safety and health regulations.	audit system, responsibilities, audit records	C	
4.2.6	Dangerous areas in frequently visited forests are visibly marked.	criteria for marking danger areas, <b>field</b>	C	
4.2.7	Equipment and machines are periodically checked and maintained in safe working condition. There is proof of passed inspections and examination as prescribed by law. (applies also to contractors and their equipment)	maintenance records, inspection records, condition of equipment	C	
4.2.8	Appropriate safety equipment for everyone is available in the workplace and is used.	safety equipment and its condition, list of personnel, <b>field</b>	PC	
4.2.9	All work accidents are recorded and analysed. Measures to improve the safety situation are taken accordingly.	records, analysis, measures taken after accidents	C	
4.2.10	The company provides healthy conditions for workers living on the company's premises or in work camps. This refers especially to health care, clean water and the provision for other basic needs.	Space per worker or family, concept and logistics for provision, <b>field</b>	PC	
4.2.11	For working accidents a procedure is defined and known by the workers. Means of communication like mobile phones exist, addresses of first aid institutions are known, means of transportation are available.	Work instruction, safety concept, <b>field</b>	C	
<b>4.3</b>	<b>The rights of workers to organise and voluntarily negotiate with their employers</b>			

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	<b>shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</b>			
4.3.1	The rights of workers according to national legislation and the ILO conventions are known.	legislation available/accessible	PC	
4.3.2	The employees are free to organise and to negotiate with their employer.	existing workers organisations, or reasons for non existence, minutes of negotiations	PC	
4.3.3	An employee is appointed for communication with unions and other workers organisations. Minutes of meetings are kept.	diagram of responsibilities, Protocols, letters	C	
4.3.4	Requests and concerns of unions and other workers organisations are dealt with constructively and objectively.	minutes, records	PC	
4.3.5	Mechanisms for dealing with conflict situations exist.	written procedures	C	
4.3.6	National regulations concerning minimum wages for workers are available and implemented by the company. The rates and all social welfare benefits are fixed in the workers contracts.	workers contracts, wages regulations are available	PC	
<b>4.4</b>	<b>Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations. (see 3.3)</b>			
4.4.1	The applicant has knowledge of relevant local stakeholders and affected groups.	list	PC	
4.4.2	Discussions with stakeholders about their concerns, and measures to be taken are properly documented.	records, minutes, letters, media, stakeholder consultation	C	
4.4.3	Possible social effects (positive or negative) of novel forest activities are surveyed.	surveys beforehand/after	C	
4.4.4	Results of such surveys are taken into consideration during the planning process. For any conflict solutions are sought.	surveys, adaptations of planning, documentation regarding conflicts	C	
4.4.5	The applicant proves to make public consultation an integrated part of the planning process, unless this has already taken place or is planned on a regional scale. The public consultation is documented in an appropriate way.	records, documents	C	
4.4.6	General service for the public like recreation and leisure activities are taken into account. Restricted access to certain areas or at a certain time are justified in writing.	documentation of activities, work records, list of services and planned activities	C	
<b>4.5</b>	<b>Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</b>			
4.5.1	A responsible contact person is nominated to deal with any claims concerning losses or damages. The name of this person and where and how it can be contacted must be pub-		C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	lished in the local forest offices.			
4.5.2	Written procedures how to avoid any loss or damages caused by forest management activities are implemented. Appropriate compensation is offered and every reasonable effort is made to resolve conflicts through consultation aiming at achieving agreement or consent.	written procedures, if applicable documentation of their use	C	
<b>5.</b>	<b>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.</b>			
<b>5.1</b>	<b>Forest management should strive toward economic viability, while taking into account the full environmental, social, and economic costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.</b>			
5.1.1	All costs of forest management including the cost of conservation and social activities are recorded and taken into account in present and future accounts.	accountability, budget	C	
5.1.2	The necessary investments to maintain the diverse services and the productivity of the forest are made.	accountability, budget	C	
5.1.3	A bookkeeping system is in place which allows to define different types of costs and analyse the costs.	accountancy system	C	
<b>5.2</b>	<b>Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</b>			
5.2.1	The applicant proves to take into account all possible functions of the forest.	surveys of forest functions, management plans, <b>field</b>	C	
5.2.2	Appropriate efforts are made to open new markets for wood and other forest products, and to promote their optimal use and local processing.	processing standard of sold products, customers, marketing, market surveys	C	
<b>5.3</b>	<b>Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</b>			
5.3.1	Garbage of harvest and processing should be surveyed and minimised. Any kind of garbage (broken machinery, containers, saw chains, etc.) is collected and disposed off outside the forest.	estimated volumes before and measured volume after harvest <b>field</b>	C	
5.3.3	Sensitive areas like riparian zones or wetlands are clearly marked and excluded from harvesting activities.	working instructions, <b>field</b>	C	
5.3.5	Felled timber of usable quality is removed from the forest before natural processes decrease quality; efficiency of timber usage is intended.	policy, contracts with buyers, <b>field</b>	C	
<b>5.4</b>	<b>Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b>			
5.4.1	The forest is managed for more than one single product, including timber and non-timber products.	management plans, products	C	

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5.4.2	The harvest of non-timber products by the local population is promoted within the limits of legal regulations and sustainability.	list of non-timber products, percentages, quantities, who collects them, company policy	C	
5.4.3	The use of non-timber products by the local population shall not put the sustainable development of the forest ecosystem in danger.	surveys	C	
<b>5.5</b>	<b>Forest management operations shall recognise, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b>			
5.5.1	The management plan describes and takes into account all possible services of the forest, including those outside the area covered by forest (such as municipal watersheds, commercial and recreational fisheries or the supply of water to downstream fisheries, visual quality, contributions to regional biodiversity, recreation and tourism). A wide range of products is produced and marketed. If services are missing or could be enhanced, they are incorporated into the management.	surveys on forest services, list of relevant areas, maps, number of products	C	
5.5.2	Sensible areas are known and detectable on maps. They are integrated in the management plan.	surveys on forest services, list of relevant areas, maps, <b>field</b>	C	
<b>5.6</b>	<b>The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</b>			
5.6.1	Management plans are based on current calculation of the sustainable yield for timber and non-timber products.	annual cut, calculation of sustainable yield for non-timber products, management plan for all types of products	PC	
5.6.2	The calculation of the annual allowable cut is based on recognised methods and calculated for a long term planning period. Sufficient data is collected as basis for the calculation.	calculation method	PC	
5.6.3	Harvested quantities are measured and recorded accurately and set against the growth data.	harvest register, sales record	PC	
<b>6.</b>	<b><u>ENVIRONMENTAL IMPACT:</u> 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.</b>			
<b>6.1</b>	<b>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.</b>			

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6.1 SLIMF	Knowledge of the possible negative impacts of activities is shown and sought to minimise them.	management plan, maps, interviews, <b>field</b>	C	
6.1.1	Any management activity performed which is not mentioned in this standard in detail is assessed for its environmental impact. Assessment needs to be done prior to the management.	list of activities, <b>field</b>	C	
6.1.2	If such surveys are carried out they are considering the following aspects: - flora, fauna and biodiversity - soil properties (physical and chemical) - quality and quantities of water resources - use and disposal of chemicals - inorganic waste - landscape considerations	surveys	C	
6.1.3	Effects of the forest management on the environment are integrated into the management plan.	surveys, management plans, instructions, <b>field</b>	C	
6.1.4	Large forest ecosystems (ca. $\geq 10.000$ ha) consisting of undisturbed natural forests are clearly mapped and defined as a separate forest type. For the identification of these large forest ecosystems the regional situation is relevant, not the property of the FMO. (A forest owner might be responsible even for an area much smaller, which still qualifies as large forest ecosystem due to forests adjacent to the own forest.)	Maps, <b>field</b> regional maps, aerial photographs and satellite scenes	PC	
6.1.5	Key criteria to define these large forest ecosystems is the existence of viable populations of most if not all naturally occurring species in natural patterns of distribution and abundance.	Surveys, management plan	C	
6.1.6	The natural dynamics in the large forest ecosystems must be described prior to setting up a management plan. Management activities must consider these dynamics and avoid a negative impact.	Surveys, management plan, instructions	C	
6.1.7	Especially information about rare, endangered or threatened species living in or being dependent on these forest ecosystems, is available.	Surveys, management plan, instructions	C	
<b>6.2</b>	<b>Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</b>			
6.2. SLIMF	Where information exists on rare, threatened and endangered species and their habitat, the FMO uses this information to map and protect these resources.		C	
6.2.1	The applicant has knowledge of the existence of threatened and endangered species and	decrees, inventories, surveys, man-	PC	

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	habitats according to international, national and regional decrees and inventories. They respect the relevant protection measures.	agement plan, instructions		
6.2.2	Information on locally or nationally rare, endangered or threatened species and their biology is available.	list of rare and endangered species, magazines, literature	PC	
6.2.3	Employees and contractors are taught about the existence and recognition of rare and endangered species.	in-house training scheme, educational materials, <b>field</b>	C	
6.2.4	Known occurrence of rare, endangered or threatened species is protected through appropriate measures, e.g. temporary or permanent cutting off of access to areas, etc.	work plans and instructions, <b>field</b>	PC	
6.2.5	The applicant reserves part of the area under management as forest reservations or protected areas with defined long-term goals. The areas are mapped and/or listed. The selection of reservations and protected areas is based on the occurrence of rare/threatened and characteristic species and habitats.	concept for reservations and protected areas, list of rare/threatened/characteristic species and habitats, maps, descriptions, <b>field</b>	C	
6.2.6	A concept for protected areas was drawn up in collaboration with representatives of conservation organisations, or an existing concept on regional level is taken into account for the selection of protected areas.	concept for reservations and protected areas, local and regional concepts,	C	
6.2.7	The individual units of reservations with total protection representing typical forest associations or habitats shall be of a minimum area large enough to maintain viable populations of key species. Experts, literature and local conservation organisation are consulted.	Objectives of protection for the individual reservations, information about key species and their biology	C	
6.2.10	The impact of conservation activities is periodically surveyed.	surveys, work plan, records	C	
6.2.11	Forest owner and hunters co-ordinate and agree on adequate hunting quotas for each ecosystem. Vital needs of indigenous and/or local residents are taken into account.	Assessments of game density, hunting quotas, agreements with hunter, knowledge local residents' needs	C	
6.2.12	Appropriate measures are taken to avoid harmful and illegal hunting, fishing and collecting.	communication with population and hunters, monitoring system	PC	
6.2.13	6.2.13 China: Key field personnel are trained in RTE species identification.		C	
<b>6.3</b>	<b>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</b> <b>a) Forest regeneration and succession.</b> <b>b) Genetic, species, and ecosystem diversity.</b> <b>c) Natural cycles that affect the productivity of the forest ecosystem.</b>			
6.3.1	Information describing the ecological functions and their present condition in the sphere of action of the applicant and/or adjacent areas is available.	surveys, literature	C	
6.3.2	The applicant proves to give way to natural dynamics in its forests and in particular to refrain from afforestation of until now not forested ecosystems. E.g draining or intensi-	General policy, management and silviculture concept, <b>field</b>	PC	

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	fyng of existing draining systems, afforestation of succession areas or irrigation-systems in bushland. Exemptions are possible in forests with specific protection function (for plantations see Principle 10).			
6.3.3	The silviculture techniques and the size of harvest units and clear cuttings is adapted to the ecosystem. Extensive clear cutting is not permitted. (Quantitative limits are set in national/regional standards or by the company.)	silviculture concept, <b>field</b>	PC	
6.3.4	Set limits according to 6.3.3 may be transgressed on specific sites or depending on special stand structures (e.g. regeneration of light demanding species, instable stand structure). The applicant has sufficient reason and records to justify such exemptions from the rule, which are also subject to definition and handling of clear cutting in the current legislation.	silviculture concept, surveys, reasoning, monitoring of effect, <b>field</b>		
6.3.5	Natural regeneration is used. Possible exemptions are: modifying stands not adapted to the site, promoting rare species adapted to the site, enhancement of protective function of the forest, rehabilitation of degraded stands (for plantations see Principle 10).	silviculture concept, concept and reasoning for exemptions, <b>field</b>	C	
6.3.6	Forest management is oriented on the natural forest ecosystems. Species composition and structure of the managed forests is similar to these in native forests to offer an adequate habitat for the native fauna and flora.	silviculture concept, <b>field</b>	C	
6.3.7	If trees are planted site adapted species and provenances are used. Attention is paid to the genetic composition (e.g. diversity, quality) of the reproductive material.	register of plant sources, including provenance's, seed source and genetic information	C	
6.3.8	Stands of rare plant associations are regenerated only by natural site adapted species and provenances.	register/maps of rare plant associations, silviculture concept, <b>field</b>	C	
6.3.9	A concept addressing the issue of maintaining and promoting diversity (habitats, species, genetic) in the process of forest management exists.	silviculture concept, <b>field</b> (e.g. pioneer species, shrubs, secondary species)	PC	
6.3.10	At least a part of the dead trees, especially those of diameters > 30 cm, are not removed, except for safety reasons. The forest management defines internally a certain quantity of dead wood to be achieved as long term goal, based on documented research or local best management practice and stakeholder input, respectively.	silviculture concept, instructions, surveys, research papers, <b>field</b>	C	
6.3.11	The applicant proves to include the volume of dead trees in the next and following surveys (e.g. every 10 years).	silviculture concept, pledge, instructions for new survey,	C	
6.3.12	Projects for the rehabilitation of degraded stands exist.	silviculture concepts, stand maps, specific projects, <b>field</b>	C	
6.3.13	The development of a living soil is included into these concepts. Measures to allow the recovery of degrades or influenced soils are taken.	silviculture concept, soil conservation strategy, harvesting instructions	C	
<b>6.4</b>	<b>Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and</b>			

No.	P&C Requirement	Sources of Verification	PC/C	Result
	<b>intensity of operations and the uniqueness of the affected resources.</b>			
6.4. SLIMF	Representative samples of ecosystems that are unique and not under protection by public or private agencies known to exist, are identified, documented and excluded from the harvest area. Such areas should be mapped.	maps, concept for protected areas, management plans	C	
6.4.1	The ecosystems occurring within the company and their significance in the local, national and global context is identified.	management plan	PC	
6.4.2	Representative areas of natural ecosystems are selected, recorded on maps and put under appropriate protection and/or management. These measures are discussed and coordinated with the stakeholders.	maps, concept for protected areas, specific management plans	C	
<b>6.5</b>	<b>Written guidelines shall be prepared and implemented to control erosion, protect water resources, minimise forest damage during harvesting, road construction and all other mechanical disturbances.</b>			
6.5.1	Specific guidelines for the control of erosion and to minimise damages by management are implemented. .	list of critical activities, specific instructions, guidelines, monitoring records	C	
6.5.2	The guidelines for road constructions include careful practices with special regard to forest biotopes, landscape and water resources. They especially cover the protection of water resources and the erosion control on steep slopes and other sensitive areas.	guidelines for road construction, public information, <b>field</b>	C	
6.5.3	Appropriate measures are taken to prevent forest fires.	risk assessment, concept for prevention, prevision for emergency	C	
6.5.4	The size of clear cuts is considering the danger of wind/water erosion for the open soil. Erosion especially on clear cut areas shall be minimised and monitored.	monitoring document	C	
6.5.5	Along streams and water courses buffer zones are maintained and demarcated in maps.. Water courses are only crossed by machines if precautionary means are implemented.	maps, <b>field</b>	C	
6.5.6	Any other sensitive areas are clearly marked in the field and in the maps. Clear instructions are given to the personnel to exclude these areas from logging and how to protect them.	maps, <b>field</b> , working instructions	C	
6.5.7	Soil damage and compactation whilst harvest or any other activity is minimised. Driving should be done mainly on skidding lines, the logging must be done according to a planned and systematic method.			
6.5.8	Other factors which influence the damage by harvesting (e.g. growth periods or climate aspects) are taken into account.	e.g. growth periods, rainy season, etc. for determination of time of harvest, relevant surveys and investigations, <b>field</b>	C	
<b>6.6</b>	<b>Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B and chlo-</b>			

No.	P&C Requirement	Sources of Verification	PC/C	Result
	<b>rinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</b>			
6.6.1	The applicant proves to restrain from use of any harmful substances according to international treaties (World Health Organisation Type 1A and 1B and chlorinated hydrocarbon pesticides) and national legislation.	receipts, accountability, <b>depot/store,</b>	PC	
6.6.2	The applicant proves to restrain in the long-term from the use of any synthetic pesticide and fertiliser, including in nurseries and timber landings and stock. If synthetic pesticides or fertilisers are currently used: a) Any application is accurately documented and monitored (type of substance, reason for application, date/time, quantity, concentration, etc.) and b) effectiveness and cost/effect calculation are recorded and c) a plan for chemical-free silviculture (e.g. through practices better suited to the natural conditions and/or the replacement of chemicals by ecologically sound methods and substances) is written within one year and then put into practice within one year.	silviculture concept, receipts, surveys, records, <b>depot/store, field</b>	C	
6.6.3	A plan describing procedures in exceptional situations like insect calamities, etc. must exist. If the management believes that there is no alternative to the use of pesticides in a specific situation, they inform the certification body to discuss the emergency application. The certification body can require that the products in question are separated and sold without certification label.	concept with definition of exceptional situations and list of potential calamities, specific records	C	
6.6.4	If chemicals are used instructions and monitoring ensure that the application is performed or organised and observed by competent (i.e. licensed) personnel and that protective clothing is available and used.	personnel, education/training, protective clothing/equipment	PC	
6.6.5	If chemicals are used specific and accurate instructions ensure correct storage, mixing, application, and disposal of containers and remainder of chemicals.	specific instructions, store, disposal	PC	
6.6.6	If chemicals are used specific emergency procedures for accidents with chemicals exist. Chemicals are never applied over groundwater bodies, near any surface water and under bad climate conditions (like rain, wind).	emergency procedures, instruction, training	PC	
6.6.7	The restrictions for the use of chemicals apply also to third parties (e.g. in the case of sold timber stored in the forest).	note on sale contract	C	
<b>6.7</b>	<b>Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</b>			
6.7.1	Waste is assessed and categorised. The necessity for the use of environmentally dangerous substances is surveyed and alternatives are considered (e.g. type of chain oil for	concept to minimise waste (especially non-organic), disposal con-	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	chainsaws).	cept		
6.7.2	All waste is collected at central locations. Waste related to harvesting: See Principle 5.3	waste disposal concept	PC	
6.7.3	Oil changes and tanking up machinery takes place only on appropriate places equipped with relevant protection.	installations, specific instructions	C	
6.7.4	Waste like oils, tires, containers, etc. are returned for recycling where possible.	waste disposal concept	C	
6.7.5	Non recyclable waste is regularly disposed of in the safest way in regard to the environment at official off-site locations.	waste disposal concept	C	
6.7.6	A member of the staff is responsible to for the control of these measures.	name	C	
<b>6.8</b>	<b>Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</b>			
6.8.1	If biological control agents are used legal regulations and scientific studies concerning their use are acknowledged.	scientific studies, regulations, personnel (e.g. with special experience)	PC	
6.8.2	All use of biological control agents is documented and strictly controlled against these regulations.	special instructions, records	PC	
6.8.3	A concept how to minimise the biological control agents is established and implemented.	biological control minimising concept	C	
6.8.4	The applicant proves not to use any genetically modified organisms.	principle (general policy)	PC	
<b>6.9</b>	<b>The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</b>			
6.9.1	The results of surveys and inventories show the percentages of area and volume occupied by exotic tree species <sup>1</sup> .	results of surveys and inventories, management plan, stand descriptions, <b>field</b>	C	
6.9.2	Exotic species are monitored, in particular where they form stands: Growth and growth dynamic, phytosanitary condition, natural regeneration, effects on flora and fauna. The surveys allow projections for the future development.	specific surveys and recorded observations, ecological studies and literature	C	
6.9.3	The management has clearly defined and well analysed reasons for plantation and/or promotion of exotics and their natural regeneration. They are only maintained and/or promoted on suitable sites and only if they prove to be of superior performance (growth and quality) to local species and if a market for their products exist.	silviculture concept, reasons for species selection, test results, market analysis	C	
6.9.4	The certification body can - taking into account ecological, economic and social issues and with reservation as to national standards endorsed by the FSC – fix maximal values for plantation and standing volume of exotic species.	results of surveys and inventories, management plan, stand descriptions, <b>field</b>	C	
6.9.5	Any unwelcome natural regeneration of exotic species, especially in protected areas	results of surveys and inventories,	C	

<sup>1</sup> Exotic tree species are introduced species or subspecies not native or endemic to the area in question and which were introduced by man, voluntarily or not, during the last 1000 years. See also annex I for central Europe.

No.	P&C Requirement	Sources of Verification	PC/C	Result
	and native forest areas, has to be removed.	management plan, stand descriptions, <b>field</b>		
<b>6.10</b>	<b>The conversion from natural forest into plantations or non-forest land is not allowed. Only possible exception: The following reasons are valid at the same time: a) Compared with the total area the area of the respective plantation is very small. b) High conservation value forests are not affected. c) The conversion ensures clear, substantial, additional, secure and long term advantages in the future for the entire FMU.</b>		PC	
6.10.1	The affected areas which are destroyed or converted are documented exactly and for a long term.	yearly results (German: „Vollzug“; harvested volume, cultural measures, etc.), reports, book keeping	PC	
6.10.2	If conversion is done prior to each case it is checked, if the situation is in line with the exemptions defined by FSC. The results of this survey is documented.	management plan, harvesting plans and maps	C	
6.10.3	Any conversion is indicated to IMO prior to the implementation in order to allow an evaluation if the FSC requirements were met.	documents	PC	
6.10.4	If conversion occurs, any measures are implemented to restore, conserve or manage natural forest or grasslands in surrounding or adjoining areas equal to or exceeding the area disturbed.	management plan, stand descriptions	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
7.	<b>PRINCIPLE #7: MANAGEMENT PLAN: A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long term objectives of management, and the means of achieving them, shall be clearly stated.</b>			
7.1	<b>The management plan and supporting documents shall provide:</b> <ol style="list-style-type: none"> <li>a) <b>Management objectives.</b></li> <li>b) <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.</b></li> <li>c) <b>Description of silviculture and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.</b></li> <li>d) <b>Rationale for rate of annual harvest and species selection.</b></li> <li>e) <b>Provisions for monitoring of forest growth and dynamics.</b></li> <li>f) <b>Environmental safeguards based on environmental assessments.</b></li> <li>g) <b>Plans for the identification and protection of rare, threatened and endangered species.</b></li> <li>h) <b>Maps describing the forest resource base including protected areas, planned management activities and land ownership.</b></li> <li>i) <b>Description and justification of harvesting techniques and equipment to be used.</b></li> </ol>			
7.1 SLIMF	A written management plan exists that includes at least the following: <ol style="list-style-type: none"> <li>a) The objectives of management;</li> <li>b) A description of the forest;</li> <li>c) How the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability;</li> <li>d) Sustainable harvest limits (which must be consistent with FSC criteria 5.6);</li> <li>e) Environmental/social impacts of the plan;</li> <li>f) Conservation of rare species and any high conservation values (HCV);</li> <li>g) Maps of the forest, showing protected areas, planned management and land ownership; and,</li> <li>h) Duration of the plan.</li> </ol>	management plan	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
7.1.1	A management plan lists all activities of the company and indicates how the plan relates to superior and previous plans.	management plan	PC	
7.1.2	The management plan declares management objectives in the long, medium and short term	management plan	C	
7.1.3a	The forest management plan contains: a) Basic information: - ownership of land, forest area - Inventory/survey data: standing volume, growth data, dead wood - stand map: species, age distribution, structure - site maps (plant associations, soil, etc.) - sensitive/rare habitats of national and regional significance, hunting grounds, groundwater bodies, recreational and tourist areas, forest areas with protective function, other areas with special function or services - maps and description of reservations and protected areas	management plan		
7.1.3b	b) Planning: - management objectives, annual cut, harvest levels for non-timber products - silviculture concepts (objectives and activities), including strategy and techniques for regeneration, targeted species composition, objectives and activities in protected areas. - management of dead wood - existing road network and planned roads, harvest techniques based on road density, risk for erosion and soil compaction and other damage to the stands.	management plan		
7.1.4	The management plan contains a specific section for conservation and protected areas or makes reference to an existing regional conservation concept that is followed.	conservation concept, plan for protected areas	C	
7.1.5	The elements of the operational plans are defined and instructions for elaboration and revision are in place.	planning procedures	C	
<b>7.2</b>	<b>The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</b>			
7.2 SLIMF	Management plan shall be reviewed at least every 5 years and updated, if necessary, incorporating the results of monitoring to plan and implement future management.	planning procedures, management plan	C	
7.2.1	Responsibilities for the gathering of current and new data for the revision of the management plan are defined.	planning procedures, management plan	C	
7.2.2	Specific instructions define which data has to be gathered for the revision of the management plan.	planning procedures, management plan	C	
7.2.3	A system is in place that guarantees that new scientific knowledge and technical novelties are taken into account during the revision of the management plan.	planning procedures	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
7.2.4	Changes in the ecological, social, and economic environment are taken into account during the revision of the management plan.	planning procedures	C	
7.2.5	There is a time table for the revision of the management plan or parts of it. Evidence shows that it is followed.	planning procedures, management plan	PC	

No.	P&C Requirement	Sources of Verification	PC/C	Result
<b>7.3</b>	<b>Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</b>			
7.3.1	A specific person is responsible for all issues regarding education and training of the employees.	in-house training scheme, diagram of responsibilities	C	
7.3.2	Appropriate training is provided for the employees at all levels, specifically considering: safety, health and environmental issues.	education of personnel, in-house training scheme	C	
7.3.3	Educational needs are detected.	in-house training scheme, supervision of personnel	C	
7.3.4	Supervisors went through appropriate training.	education and experience of personnel.	C	
7.3.5	All activities, especially those carried out in the forest, are supervised in an appropriate manner to ensure they meet set quality standards.	instructions for supervisors, records, work organisation, <b>field</b>	C	
7.3.6	For contractors the same education, training and quality standards apply and are enforced.	contracts, <b>field</b>	C	
<b>7.4</b>	<b>While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.</b>			
7.4. SLIMF	<u>Stakeholders who are directly affected by the forest management activities (e.g. neighbouring landowners) have access to relevant parts of the management plan.</u>	public access	C	
7.4.1	A summary of the management plan including information on elements listed in criterion 7.1, is publicly available on demand.	summary of management plan, information of public	C	
<b>8.</b>	<b>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.</b>			
<b>8.1</b>	<b>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.</b>			
8.1 SLIMF	Regular and consistent monitoring in connection with harvesting operations and reforestation is conducted.	see above	PC	
8.1.1	Records are being kept about all activities. The data in these records is consistent and replicable over time and allows comparison of results and assessment of change. It is used for the permanent improvement of the planning and the social, ecological, and economic services of the company.	records, evaluations	C	
8.1.2	There is a list of activities including those relevant to legal regulations and important management activities that need monitoring. Frequencies of monitoring are defined.	list of monitored activities	PC	

No.	P&C Requirement	Sources of Verification	PC/C	Result
8.1.3	A time table exists for the monitoring, indicating type and amount of data to be gathered.	monitoring plan	C	
8.1.4	Work quality of contractors and compliance with contractual agreements is monitored.	contracts, records, <b>field</b>	C	
8.1.5	Responsibilities for the monitoring are clear.	diagram of responsibilities	C	
8.1.6	Where activities carried out differ from the planned ones or where planned interventions did not yield the expected results justification is given and/or corrective measures are in place or scheduled.	monitoring records, management plan, <b>field</b>	C	
8.1.7	Records of monitoring activities are available.	access to records	C	
<b>8.2</b>	<b>Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</b> <b>a) Yield of all forest products harvested.</b> <b>b) Growth rates, regeneration and condition of the forest.</b> <b>c) Composition and observed changes in the flora and fauna.</b> <b>d) Environmental and social impacts of harvesting and other operations.</b> <b>e) Costs, productivity, and efficiency of forest management.</b>			
8.2 SLIMF	Information on the following is monitored and recorded: a) Amount of products harvested; b) Regular monitoring of any identified high conservation values; c) Invasive exotic species; d) Growth and regeneration of managed species; e) Post harvest inspection for erosion and estimate of residual basal area; and, f) Periodic inventory (10 years).		C	
8.2.1	The applicant proves to keep the following records and disclose them to the certification body upon request: a) concerning monitoring Principle 3: - incidents and complaints by indigenous people b) concerning monitoring Principle 4: - statistics of accidents - training activities for employees c) concerning monitoring Principle 5: - growth and yield of forest products - accounts (incomes and costs of company) - sales (quantities, buyers, dates) d) concerning monitoring Principle 6/9: - deviations from silviculture plans, especially from annual cut and activities in protected areas - assess the effectiveness of the measures employed to maintain or enhance the ap-	records	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	<p>plicable conservation attributes</p> <ul style="list-style-type: none"> <li>- areas in regeneration, techniques used, species composition</li> </ul> <p>e) concerning monitoring Principle 10:</p> <ul style="list-style-type: none"> <li>- species and provenances and area they cover</li> <li>- phytosanitary problems</li> </ul>			
8.2.2	Scope of inventories/surveys and data being gathered are defined.	instruction for inventory/survey	C	
8.2.3	During inventories/surveys data about changes in the composition of flora and fauna are gathered.	inventories/surveys	C	
8.2.4	Effects of harvest and other activities on the environment (ecological and social) are recorded.	records	C	
8.2.5	Significant positive experiences or effects of activities and new knowledge gained is recorded for the continued process of learning.	records	C	
<b>8.3</b>	<b>Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the "chain of custody."</b>			
8.3.1	A system for tracking and tracing forest products back to their origin is in place.	Accountant, bookkeeping	PC	
8.3.2	All invoices for certified products must tell the type, quantity, buyers name and the full sellers details to indicate the origin of the products. After certification in addition the certification registration code must be written to invoices and delivery notes.	accountancy	C	
<b>8.4</b>	<b>The results of monitoring shall be incorporated into the implementation and revision of the management plan.</b>			
8.4.1	Results and knowledge gained from data collection and monitoring are analysed at the latest when the management plan is revised.	evaluations, analysis	PC	
8.4.2	The results of monitoring activities are incorporated into management plans when revised. Policies and specific instructions are adapted.	adaptations in new management plans	PC	
<b>8.5</b>	<b>While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</b>			
8.5.1	Summaries of the results of the monitoring according to 8.2 are produced periodically and are available upon request.	monitoring summaries	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
9.	<b>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.</b>			
9.1	<b>Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</b>			
9.1.1	<p>Definition HCVF:</p> <p><b>HCV1 BIODIVERSITY CONCENTRATION:</b> Globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).</p> <p><b>HCV2 LARGE LANDSCAPE LEVEL (ca. &gt; 10.000 ha):</b> Globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most naturally occurring species exist in natural patterns of distribution and abundance</p> <p><b>HCV3 RARE; THREATENED; ENDANGERED ECOSYSTEMS.</b></p> <p><b>HCV4 BASIC SERVICES IN CRITICAL SITUATIONS (PROTECTION FORESTS / SCHUTZWÄLDER“):</b> Basic services of nature in critical situations (e.g. watershed protection, erosion control).</p> <p><b>HCV5 BASIC SOCIAL NEEDS</b> of local communities (eg subsistence, health).</p> <p><b>HCV6 TRADITIONAL CULTURAL IDENTITY:</b> Critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p> <p>For each category of HCVF it is checked if forest areas are meeting these criteria. For each category the locations and the areas in hectare are listed.</p>	silviculture concept, criteria for planting, HCVF assessment	PC	
see also	6.2: 6.2.1 to 6.2.10			

No.	P&C Requirement	Sources of Verification	PC/C	Result
<b>9.2</b>	<b>The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b>			
9.2.1	Documented consultations with stakeholders outline identified conservation attributes as well as proposed strategies for their maintenance or threat reduction.	concept for protected zone, protection decree, documented stakeholder input and reaction by FMU	C	
<b>9.3</b>	<b>The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b>			
9.3.1	The management plan specifies the areas of HC VF and tells which specific measures must be taken to protect them. These measures are consistent with the precautionary approach: Where threat identified, early preventive action is taken despite of full scientific certainty. The implementation of the measures is controlled.	HC VF management plan	PC	
9.3.2	If planting activities are done in HC VF only species and provenances natural to the site are used. Attention is paid to genetic characteristics (e.g. diversity, quality).	silviculture concept, register for re-productive material, <b>field</b>	PC	
9.3.3	The HC VF management plan or its summary is publicly available.	HC VF management plan	C	
<b>9.4</b>	<b>Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b>			
9.4.1	Annual monitoring shall be fixed to assess the effectiveness of the measures.	concept for control	PC	
9.4.2	Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.	results of internal monitoring	C	
<b>10.</b>	<b><u>PLANTATIONS:</u> 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.</b>			
<b>10.1</b>	<b>The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.</b>			
10.1.1	The management plans define medium and long-term objectives for the plantations <sup>2</sup> as a whole as well as for each single plantation unit (see principle 7).	management plan	PC	
10.1.2	In case of new plantations or extensions of existing plantations, management objectives are defined before any actions are taken.	dates of management plans, records, <b>field</b>	PC	

<sup>2</sup> According to the definition in the P&C's of the FSC plantations are " Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silviculture treatments."

No.	P&C Requirement	Sources of Verification	PC/C	Result
10.1.3	There is evidence that the objectives of the plantation make sense in the social, ecological and economic context of the country/region.	supply and demand for forest products, productivity of planned plantations, potential of protection of natural forests, stakeholder consultation, management plan, general policy	PC	
10.1.4	The plan must be feasible and operational (realistic, provide measurable quantities/qualities, line out a time span) and must be implemented.	see above	C	
<b>10.2</b>	<b>The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the company. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</b>			
10.2.1	The applicant has knowledge of the composition and structure of natural forests or the potential natural vegetation in the region/landscape in question.	survey of natural habitats	PC	
10.2.2	Natural forest vegetation in the broad meaning of the term (i.e. including savannah, natural shrub land) is not replaced or put under pressure (in particular: no filling of naturally open and/or low forest types).	maps of vegetation, <b>field</b>	C	
10.2.3	A concept exists which describes policies and measures regarding the protection, rehabilitation and maintenance of natural forests and other (rare/threatened) habitats in the region.	specific concept	C	
10.2.4	The concept addresses at least the following issues: protected areas (forest and other) and their spatial distribution, areas of rehabilitation of natural forest, distribution of plantation blocks (especially in relation to existing natural forest) and other land uses within the entire company.	specific concept	C	
10.2.5	The different zones are described and recorded on maps and, if appropriate, demarcated in the field.	maps, demarcations and criteria for it	C	
10.2.6	The internal communication guarantees that personnel or contractors responsible for field work know the different zones and are able to identify them in the field.	training, specific instructions, diagram of responsibilities	C	
10.2.7	Based on documented research or local best management practice and stakeholder input, respectively, a certain percentage of the total area is set aside to be restored to natural forest in a certain time frame.	concept for conservation, areas and their distribution, maps	C	
10.2.8	The restoration areas shall be interconnected or efforts for better interconnection are made. Protected areas are not exclusively limited to unproductive land.	concept for conservation, biology of rare/threatened species	C	
10.2.9R	10.2.9 China: The maximum clear cut sizes based on slope, as per China's Regulations on the Man-	maps indicating slope, field, man-	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	agement of Forest Harvesting and Regeneration shall adhered.	agement plan		
<b>10.3</b>	<b>Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</b>			
10.3.1	A concept addresses specifically the issue of diversity.	general policy, management plan	C	
10.3.2	The concept addresses at least the following: definition of maximum size of management units, diversity of species, provenance and genetic level (within and between management units) and age classes and structures.	management plan	C	
10.3.3	Thorough knowledge and extensive experience are required to run plantations with highly specialised management units (genetically). Specific compensatory measures are in place (e.g. maintenance and promotion of gene reserves, in addition to the measures described in 10.2).	education and experience of personnel, register of identity and sources of reproductive material, records, organisational capacities, risk assessment, compensatory measures, <b>field</b>	C	
10.3.4	For formerly established management units which are not as diverse as required, a plan for the increase of diversity exists. Alternatively, a reason is given for non intervention until the end of the turnover for these units.	maps, plantation dates, specific plan	C	
<b>10.4</b>	<b>The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred before exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</b>			
10.4.1	The specific characteristics of the planted sites are known and documented.	maps on climates, soils, plant geography and associations, etc.	C	
10.4.2	The applicant has knowledge about the performance and potential of local species in plantations, and of their products on the market. Efforts to improve this knowledge are continuously made.	scientific literature, applicant's own research and tests.	C	
10.4.3	Species are selected carefully and solid justification for the choice is given based at least on the experience made under similar conditions (found in scientific literature) including research on wood and other qualities, adaptation and growth potential of the species.	reasoning in management plan, scientific literature consulted, research and tests performed.	C	
10.4.4	Native species are preferred before exotic species. Exotic species are only used if their performance is greater.	management plan	C	
10.4.5	If exotic species are used their selection is analysed with particular care, giving addi-	reasoning in management plan, sci-	C	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	tional information on products to be produced, productivity, expected prices, demand and possible ecological and social side effects.	entific literature consulted, research and tests performed.		
10.4.6	Within the company only seed and seedlings of known provenance and genetic quality are used.	register of used seed and seedlings	C	
10.4.7	Appropriate attention is paid to the issues of genetic diversity. Criteria for the use of genetically specialised or diverse seeds are established.	register for each management unit (provenance, seed source, parent trees), management plan	C	
10.4.8	All species and provenances, in particular exotic and/or genetically specialised seeds, are only used on a large scale if justified by the objective of the plantation and if the used provenance has been tested successfully. The production of locally adapted seed is promoted. See also 10.6.	results of provenance test, etc., reasoning in records for species/provenance selection.	C	
<b>10.5</b>	<b>A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.</b>			
10.5 SLIMF	Plantation design and management enhances ecological values, especially around conservation features.	management plans, specific concept	C	
10.5.1	A concept for rehabilitation and management of (near) natural forest (as part of the plantation company) exists.	management plans, specific concept	C	
10.5.2	A minimum of 5 % <sup>3</sup> of the planted area is set aside for rehabilitation of (near) natural forest. Attention is paid to the appropriate size and spatial distribution (e.g. connecting corridors) of areas under rehabilitation, and to represent the different natural forest types of the area in question. The individual units of rehabilitation areas shall be of a minimum area large enough to maintain viable populations of key species. Experts, literature and local conservation organisation are consulted.	management plans, specific concept (especially criteria for selection of sites), maps	C	
10.5.3	Interventions in and development of the areas under rehabilitation are documented. The areas are mapped and delimited.	records, maps, <b>field</b>	C	
<b>10.6</b>	<b>Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.</b>			
10.6.1	The applicant has detailed knowledge of the soil characteristics and the natural water system in the FMU.	soil maps, geologic maps, applicants' surveys	C	
10.6.2	The silviculture system(s) used are adapted to the soil characteristics and prevent from	silviculture concept, criteria for spe-	C	

<sup>3</sup> (...) stands for quantitative indicators which are specified before the assessment in national or regional standards by IMO personnel. See also paragraph 0.2 of this document.

No.	P&C Requirement	Sources of Verification	PC/C	Result
	long-term soil degradation. Relevant considerations exist in written form.	cies fits with soil types		
10.6.3	Special measures (e.g. concerning species, structure, promotion of other vegetation, restraint from planting) are taken for the protection of sites sensitive to erosion, including areas not destined to be planted.	management plan	PC	
10.6.4	Road and harvesting system were developed taking into account the protection of soil and water, avoiding especially erosion and obstruction of water courses.	road plan, harvesting concept	C	
10.6.5	Workers and contractors are sensitised to the issues of soil and water protection.	training, specific instructions, monitoring records	C	
10.6.6	None management activity results in adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.	management plan, harvesting concept, road construction, visual character of landscape, <b>field</b>	C	
10.6.7R	10.6.7 China: Tractor ploughing on areas over 5% slope is not implemented.	records, maps, field	C	
<b>10.7</b>	<b>Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management should make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered by criteria 6.6 and 6.7.</b>			
10.7.1	A monitoring system aimed at the prevention of potential threats to the plantation and surroundings is in place.	(specific) monitoring system	C	
10.7.2	No pesticides or synthetic fertilisers are used systematically. A plan for the pesticide free management of the plantations and nurseries exists.	management plan, records of use of pesticides and fertiliser, specific plan	C	
10.7.3	If seedlings are not produced within the same company, an effort to find seedlings of pesticide free production is made.	nurseries, sources of seedlings	C	
10.7.4	Procedures and methods to minimise possible calamities (typical for region and species) are in place.	description of procedures and methods	C	
10.7.5	A concept defines criteria for the use of pesticides in emergency situations (like insect calamities/invasions). If the management considers, after careful assessment of the situation, to use chemicals necessary they inform the certification body before any further action is taken. See also 4.2, 6.6 and 6.7.	concept listing possible calamities, records, receipts	PC	
<b>10.8</b>	<b>Appropriate to the scale and diversity of the company, 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 fertil-</b>			

No.	P&C Requirement	Sources of Verification	PC/C	Result
	<b>ity, 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.</b>			
10.8 SLIMF	Negative environmental or social impacts are documented and designed. Measures to address the impacts are implemented.	see above	C	
10.8.1	The company keeps records and registers regarding its activities and interventions up-to-date, in particular: seed sources, identification of management units (back tracing to seed source), silviculture interventions, phytosanitary measures.	records, register	C	
10.8.2	A system to monitor periodically the condition and development of the plantations is in place (growth, quality, etc.)	monitoring system, records	C	
10.8.3	All species and provenances, in particular exotic and/or genetically specialised seed, are only used on a large scale if justified by the objective of the plantation and if the used provenance has been successfully tested. See also 10.6.	results of provenance test, etc., reasoning in records for species/provenance selection.	PC	
10.8.4	The management arranges periodical surveys (before starting the plantation or before further extensions and every 5 years thereafter) about ecological and socio-economic effects of its company in the area of their plantations and its surroundings	surveys	C	
10.8.5	Extensive research is carried out prior to interventions on a large scale (relative to size of company and type of environment), involving significant new methods or management practices. Surveys describe the situation (ecological, socio-economic) in the plantation area and the areas under its influence before and after the interventions. This includes acquisition of land.	relevant research and surveys	C	
<b>10.9</b>	<b>Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.</b>			
10.9.1	The plantation does not occupy land converted from natural forest since November 1994, unless clear evidence exists that the current manager/owner was not responsible.	history and date of plantation, purchase contracts, land register (German: Grundbuch; Flächenbuch); fragments of old vegetation in the <b>field</b>	PC	
10.9.2	Primary, degraded primary and mature secondary forests, and threatened or endangered ecosystems were not be cleared or converted by current forest managers to create tree	history and date of plantation, purchase contracts, land register (Ger-	PC	

No.	P&C Requirement	Sources of Verification	PC/C	Result
	plantations.	man: Grundbuch; Flächenbuch); fragments of old vegetation in the <b>field</b>		
10.9.3	Where conversions after November 1994 have occurred, steps are taken that convincingly compensate for such conversions. The same area must be restored to natural forests with the original species composition within the region.	See above plus management plan compared to field	PC	
10.9.4	As soon as this restoration area was successfully established as forest the converted plantation can be included into the scope of the certificate and the timber harvested there can be sold as certified.	list of conversion area, list of restoration area, survey on success of restoration	PC	

### Annex 1 to IMO's checklist China, indicator 1.1.2

## **Annex 1 to IMO's checklist China, indicator 1.1.2**

(Copied from SmartWood Certification Interim Standard For Assessing Forest Management in CHINA; October 2003)

### **ECOLOGICAL & ENVIRONMENTAL**

- Constitution of the People's Republic of China (Date of enforcement: March 15, 1999)
- Regulations Governing the Administration of Nature Reserves (Date of enforcement: Jan. 1, 1997)
- Environmental Protection Law of the People's Republic of China (Date of enforcement: Dec. 26, 1989)
- Law of the People's Republic of China on the Prevention and Control of Water Pollution (Date of enforcement: May 15, 1996)
- Law of the People's Republic of China on the Prevention and Control of Air pollution (Date of enforcement: August 29, 1995)
- Law of the People's Republic of China on the Prevention and Control of Solid Waste Pollution (Date of enforcement: April 1, 1996)
- Law of the People's Republic of China on the Conservation of Water and Soil (Date of enforcement: June 30, 1982)
- Water Law of the People's Republic of China (Date of enforcement: July 1, 1988)
- State Regulations Governing Environmental Monitoring (Date of enforcement: July 21, 1983)
- State System for Environmental Monitoring Report (Interim. Date of enforcement: July 21, 1991)
- Ordinance on the Administration of Certificates for the Evaluation of the Influence of Construction Projects on Environment (Date of enforcement: Sept. 2, 1989)

### **FOREST AND NATURAL RESOURCES**

- Forestry Law of the People's Republic of China (Date of enforcement: April 29, 1998)
- Regulations Concerning the Enforcement of Forestry Law of the People's Republic of China (Date of enforcement: Jan. 29, 2000)
- Regulations Concerning the Prevention of Forest fires (Date of enforcement: Jan. 16, 1988)
- Regulations Concerning the Control of Forest Pests and Diseases (Date of enforcement: Dec. 18, 1989)
- Regulations Concerning Plant Quarantine (Date of enforcement: May 13, 1992)
- Seed Law of the People's Republic of China (Date of enforcement: July 8, 2000)
- Law of the People's Republic of China on the Protection of Wildlife (Date of enforcement: March 1, 1989)
- Regulations Concerning the Enforcement of Law of the People's Republic of China on the Protection of Land Wildlife (Date of enforcement: March 1, 1992)
- Regulations of the People's Republic of China Concerning the Protection of Wild Plants (Date of enforcement: Jan. 1, 1997)
- List of the People's Republic of China Concerning the Protected Wild Animals and Plants (Date of enforcement: Jan. 14, 1989)

### **LABORERS**

- Labor Law of the People's Republic of China (Date of enforcement: Jan. 1, 1995)
- Opinions of the Ministry of Labor on the Problems Concerning the Implementation of Labor Law of the People's Republic of China (Date of enforcement: August 11, 1995)
- Regulations Concerning the Labor Administration of Foreign-Funded Enterprises (Date of enforcement: August 1, 1995)
- Announcement of the Ministry of Labor on the Enforcement of the Minimum Wage Guarantee System (Date of enforcement: Oct. 8, 1994)

### **LAND TENURE**

No.	P&C Requirement	Sources of Ve
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- Law of the People's Republic of China on Chinese-Foreign Contractual Joint Ventures (Date of enforcement: Sept. 20, 1983)
- Law of the People's Republic of China on the Land Administration (Date of enforcement: Jan. 1, 1987)
- Article 15, Forestry Law of the People's Republic of China (Date of enforcement: April 29, 1998)
- Regulations Concerning Conflict Resolution of Forest Tree and Forestland Ownership (Date of enforcement: Sept. 26, 1996)

### **Annex 2 to IMO's checklist China, indicator 1.3**

(Copied from SmartWood Certification Interim Standard For Assessing Forest Management in CHINA; October 2003)

Evidence of the following international laws and regulations on site:

- World Health Organization Recommended Classification of Pesticides by Hazard and Guidelines to Classification 1998 – 99: Class 1a & 1b (Date of enforcement: 1975)
- Convention on International Trade in Endangered Species (CITES) of Wild Fauna and Flora (Date of enforcement: July 1, 1975)
- Convention on Biological Diversity (Date of enforcement: June 5, 1992)
- International Tropical Timber Agreement (ITTA) (Date of enforcement: April 1, 1985)
- International Labor Organization, C87 Freedom of Association and Protection of the Right to Organization Convention, 1948 (Date of enforcement: July 4, 1950)
- International Labor Organization, C98 Right to Organize and Collective Bargaining Convention, 1949 (Date of enforcement: July 18, 1951)
- International Finance Corporation Environmental, Health and Safety Guidelines for Pesticide Handling and Application (Date of enforcement: July 1, 1998)
- International Finance Corporation Environmental, Health and Safety Guidelines for Plantation (Date of enforcement: July 1, 1998)
- International Finance Corporation Environmental, Health and Safety Guidelines for Forestry Operations: logging (Date of enforcement: July 1, 1998)