



SGS QUALIFOR
(Associated Documents)

Number:

AD 33-UG-05

Version Date:

23/03/2015

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Approved by:

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SGS QUALIFOR
FOREST MANAGEMENT STANDARD FOR UGANDA
2015

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

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

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CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD

Section	Change	Date
	Changes throughout	23/01/2015

ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

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

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

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

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

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

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

LAYOUT OF THE STANDARD:

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

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

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

PRINCIPLE 7: COMMUNITY RELATIONS AND WORKER’S RIGHTS: The FSC Criterion

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

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

<p>Indicator 4.1.6</p> <p>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</p> <p><u>SLIMF:</u> Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Verifiers & Guidance:</p> <p><i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i></p> <p>Employment policies and procedures.</p> <p>Interviews with Forest Managers, workers and Labor Union representatives.</p> <p><u>SLIMF:</u> Interviews with workers and contractors</p>
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The year of the evaluation (points to the year in the indicator text)

The SGS Qualifor Indicator (points to the indicator text)

The SGS Qualifor observation i.t.o. the indicator (points to the SLIMF text)

The SGS Qualifor verifier (points to the SLIMF text)

An SGS Qualifor Guideline (Italics) (points to the italicized text in the Verifiers & Guidance section)

THE STANDARD

PRINCIPLE 1. COMPLIANCE WITH LAWS AND FSC PRINCIPLES:

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

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

Indicator 1.1.1	Verifiers & Guidance:
There is no evidence of significant non-compliance with all national and local laws and administrative requirements	<p>Interviews with and information supplied by regulatory authorities, other stakeholders and Forest Managers.</p> <p>Control of required legal documentation. policies, operational procedures and standards demonstrate compliance with requirements.</p> <p><u>SLIMF:</u></p> <p>The forest manager knows what the legislation requires.</p> <p>Field observation and documentation available show that legislation is being complied with in-field.</p> <p><i>A legal non-compliance will be considered "significant" if:</i></p> <ul style="list-style-type: none"> <i>i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or</i> <i>ii. it is an intentional or a blatant/self-evident disregard for the law.</i> <p><i>A legal non-compliance will not be considered "significant if the deviation is short-term, unintentional and without significant damage to the environment.</i></p> <p><i>See Appendix A of Uganda AD33 for a list of all the applicable Ugandan laws, regulations and guidelines</i></p>
Indicator 1.1.2	Verifiers & Guidance:
Forest managers shall demonstrate awareness of relevant codes of practice, operational guidelines and other accepted norms or agreements.	<p>Interviews with Forest Managers and field observations.</p> <p>List of applicable laws, regulations and national guidelines.</p>
Indicator 1.1.3	Verifiers & Guidance:
Forest managers shall demonstrate compliance with relevant codes of practice, operational guidelines and other accepted norms or agreements.	<p>Interviews with Forest Managers and field observations.</p> <p>List of applicable laws, regulations and national guidelines.</p>
Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid	
Indicator 1.2.1	Verifiers & Guidance:
There is evidence that required payments have been made.	<p>Invoices, tax returns, receipts.</p> <p>Interviews with and information supplied by regulatory authorities and other stakeholders.</p> <p>No evidence of non-payment</p>

Indicator 1.2.2	Verifiers & Guidance:
Provision has been made to meet the costs of future fees	Specific provisions in financial planning and long-term budgets. <u>SLIMF:</u> Forest manager can explain how future costs will be provided for.
Criterion 1.3	In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.
Indicator 1.3.1	Verifiers & Guidance:
There is implementation of the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such <u>SLIMF:</u> There is awareness of any local species that are covered by the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such	Interviews with Forest Managers Operational documentation Required licenses are in place <i>Uganda is a signatory to CITES</i> <i>Proof of access to lists of CITES plants and animals.</i> <i>Uganda is particularly rich in primates, which have been popular for trade in the past. Whilst the focus is not only on primates, they should specifically be considered.</i> <i>The Uganda Wildlife Authority does issue licenses (e.g. Professional Trappers License) for the collection of certain animals (e.g. reptiles) which also need to be assessed against CITES and the Uganda's own RT&E species.</i>
Indicator 1.3.2	Verifiers & Guidance:
Forest Managers have implemented controls to ensure continuing compliance with the International Labour Organisation (ILO) conventions that apply to their operations. ILO 87 and 98 are minimum requirements for certification. <u>SLIMF:</u> Forest Managers have implemented controls to ensure continuing compliance with national legislation relating to labour matters	Interviews with Forest Managers, workers, contractors, labour unions and regulatory authorities. Review of policies, procedures and personnel records. <u>SLIMF:</u> Forest Managers are aware of the requirements and there are no objective evidence of non-compliance. <i>Uganda is a signatory to ILO.</i> <i>Proof of access to ILO conventions. Copies of the ILO documents 87, 98 and ILO Code of Practice on Safety and Health in Forestry Work (ILO1998) should be available.</i>
Indicator 1.3.3	Verifiers & Guidance:
(Not applicable to SLIMF) Forest Managers have implemented controls to ensure continuing compliance with ITTA.	Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records <i>Uganda is signatory to the International Tropical Timber Agreement (ITTA), and a member of the organisation (ITTO). Members are encouraged to support and develop industrial tropical timber reforestation and forest management activities as well as rehabilitation of degraded forest land, with due regard for the interest of local communities dependent on forest resources</i>
Indicator 1.3.4	Verifiers & Guidance:
(Not applicable to SLIMF) Forest Managers have implemented controls to ensure continuing compliance with the	Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records.

International Biodiversity Convention.	<i>Uganda is a signatory to International Biodiversity Convention. The three objectives of the Convention are: the conservation of biodiversity, the sustainable use of biological resources and the fair and equitable sharing of benefits arising from the use of genetic resources.</i>
Criterion 1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties	
Indicator 1.4.1	Verifiers & Guidance:
Any identified conflicts are brought to the attention of SGS and involved or affected parties.	SGS will assess the conflict and advise on resolution thereof, where such were possible. Interviews with Forest Managers and other stakeholders.
Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities	
Indicator 1.5.1	Verifiers & Guidance:
Forest Managers have taken effective measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.	Field observations show no damage from unauthorised or illegal activities Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc Copies of reports made to the authorities of problem activities Boundaries are known to the manager and local communities and are easily identified in the field. Boundaries are marked in areas where there is a high risk of encroachment.
Indicator 1.5.2	Verifiers & Guidance:
There are adequate personnel and surveillance resources to control such activities	Staff records and records of security incidences Field observations provide no evidence of ongoing illegal activities
Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria	
Indicator 1.6.1	Verifiers & Guidance:
There is a publicly available policy endorsed by the owner/most senior management explicitly stating long term commitment to forest management practices consistent with the FSC Principles and Criteria SLIMF: The forest manager has plans to manage the forest in the long term in a way that is compatible with the FSC Principles and Criteria	Written policy with appropriate statement is available SLIMF: The management plan Plans (written or informal) for investment, training, and sharing of income or other benefits Past management has been compatible with the P&C
Indicator 1.6.2	Verifiers & Guidance:
(Not applicable to SLIMF) The policy is communicated throughout the organisation (including to contractors) and to external stakeholders	Interviews with Forest Managers, workers and stakeholders. Evidence of distribution of policy to stakeholders.

Indicator 1.6.3	Verifiers & Guidance:
Where the owner/manager has some responsibility for forest lands not covered by the certificate, then there is a clear long term commitment to managing all forests in the spirit of the FSC P&C	<p><i>The applicant for certification must make a full disclosure of all forest areas over which the applicant has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. The disclosure shall be documented in the main assessment report. You must record full details of ownership, forest name, type, area and location for each such forest. This information must be made available to stakeholders as part of the consultation process.</i></p> <p><i>When the evaluation does not include all the forest areas in which the applicant is involved, the applicant must explain the reasons for this, and the reasons must be documented in the main assessment report.</i></p> <p>Evidence of such other forest lands.</p> <p>Policies</p> <p>Interviews with Forest Managers.</p>
Indicator 1.6.4	Verifiers & Guidance:
Management of forest areas identified in terms of 1.6.3 complies with the latest FSC Partial Certification Policy	Interviews with Forest Managers, policies, procedures and field observations.
PRINCIPLE 2. TENURE AND USE RIGHTS RESPONSIBILITIES:	
Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.	
Criterion 2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated	
Indicator 2.1.1	Verifiers & Guidance:
There is documentation showing the owner/manager's legal rights to manage the land and/or utilise forest resources	<p>Documentation with appropriate legal status.</p> <p>Maps clearly indicating the boundaries of the FMU.</p> <p><i>In the case of state owned land (e.g. National Parks), there should be documentation showing the legal responsibilities of all partners involved in the management of the of the area covered by the scope of the certificate.</i></p>
Indicator 2.1.2	Verifiers & Guidance:
The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.	Policies and management plans make clear reference to management objectives that support this indicator.
Indicator 2.1.3	Verifiers & Guidance:
Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS Qualifor standard or the objectives of the management plan.	<p>Provisions in agreement for tenure.</p> <p>FMU management plans.</p> <p>FMU long term strategies.</p>

Criterion 2.2		Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.
Indicator 2.2.1	Verifiers & Guidance:	
All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped	Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives.	
Indicator 2.2.2	Verifiers & Guidance:	
Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.	Forest management plans Field observations	
Indicator 2.2.3	Verifiers & Guidance:	
Where communities have delegated control of their legal or customary tenure or use rights, or part thereof, this can be confirmed by documented agreements and/or interviews with representatives of the local communities	Written agreements. Free and informed consent communicated by representatives of local communities. Clear evidence of payment for tenure or use rights.	
Indicator 2.2.4	Verifiers & Guidance:	
Allocation, by local communities, of duly recognized legal or customary tenure or use rights to other parties is documented, with evidence of free and informed consent	Interviews with local communities. Written agreements. Free and informed consent communicated by representatives of local communities.	
Indicator 2.2.5	Verifiers & Guidance:	
The forest is accessible to local rights holders.	Management Plans Interviews with local communities.	
Indicator 2.2.6	Verifiers & Guidance:	
Monitoring results show no significant impacts caused by access taking place in terms of 2.2.5	Monitoring records Inspection of areas/resources where access and/or use has taken place.	
Criterion 2.3		Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified
Indicator 2.3.1	Verifiers & Guidance:	
Documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist	Documented procedures. Interviews with Forest Managers and consultation with representatives of local communities.	
<u>SLIMF:</u>		
There are no major unresolved disputes relating	<i>Documented procedures are available that allow for a process that could generally be regarded as open and acceptable to all parties with an objective of achieving agreement and consent</i>	

<p>to tenure and use rights in the forest. Disputes or grievances are being resolved using locally accepted mechanisms and institutions.</p> <p>Measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided.</p>	<p><i>through fair consultation. Procedures should allow for impartial facilitation and resolution.</i></p> <p><u>SLIMF:</u> Interviews with Forest Manager and local community groups</p>
<p>Indicator 2.3.2</p> <p>The Forest Manager shall maintain a record of disputes and the status of their resolution, including evidence related to the dispute and documentation of steps taken to resolve the dispute.</p>	<p>Verifiers & Guidance: Documented records of disputes</p>
<p>Indicator 2.3.3</p> <p>Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify an operation from being certified.</p>	<p>Verifiers & Guidance: <i>Magnitude of a dispute may be assessed by considering the scale at a landscape level associated with the opinion of a majority of community representatives and/or the time period over which the dispute has been in place</i></p> <p>Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.</p>
<p>Indicator 2.3.4</p> <p>(Not applicable to SLIMF)</p> <p>Dispute resolution procedures shall make provision for the requirement that where the future tenure or use rights of communities may be compromised, forest operations that are, or may be the direct cause of the dispute, will not be initiated or will be suspended until the dispute had been resolved.</p>	<p>Verifiers & Guidance: Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.</p>
<p>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:</p> <p>The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.</p>	
<p>Criterion 3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies</p>	
<p>Indicator 3.1.1</p> <p>The identity, location and population of all indigenous peoples, including migratory groups, living in the vicinity of the management area are documented by the forest managers.</p>	<p>Verifiers & Guidance: Management plans and maps. Consultation with representatives of indigenous peoples and government authorities. ILO 169 (Indigenous and Tribal People's Convention, 1999)</p>
<p>Indicator 3.1.2</p> <p>All rights and claims to lands, territories or customary rights within the management area are documented and/or clearly mapped.</p>	<p>Verifiers & Guidance: Management plans and maps. Consultation with representatives of indigenous peoples.</p>

Indicator 3.1.3	Verifiers & Guidance:
Rights identified in terms of Indicator 3.1.1 are respected.	Consultation with representatives of indigenous peoples.
Indicator 3.1.4	Verifiers & Guidance:
Forest management operations do not take place in areas identified in Indicator 3.1.3 above, without clear evidence of the free and informed consent of the indigenous or traditional peoples claiming such land, territory or customary rights.	<i>Affected communities should have the financial, technical and logistical capacity to enable "free and informed consent"</i> Consultation with representatives of indigenous peoples. No evidence of disputes. Evidence that agreed payments for use right and/or resources are being made.
Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples	
Indicator 3.2.1	Verifiers & Guidance:
Any impacts of forest management on indigenous communities' resources or tenure rights are identified and recorded <u>SLIMF:</u> Any impacts of forest management on indigenous communities' resources or tenure rights are identified and known by the Forest Manager	Records or impact assessments. Consultation with representatives of indigenous peoples
Indicator 3.2.2	Verifiers & Guidance:
Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights	Records of meetings. Consultation with indigenous peoples
Indicator 3.2.3	Verifiers & Guidance:
Forest Management will not proceed without clear evidence of the free and informed consent of the indigenous peoples claiming such land, territory or customary rights, accepting impacts identified in terms of Indicator 3.2.1. Where disputes arise post facto, operations affecting these rights will be suspended until such dispute had been resolved	Consultation with representatives of indigenous peoples. Records of dispute resolution
Indicator 3.2.4	Verifiers & Guidance:
Actions are taken to prevent or mitigate adverse impacts	Field inspections and records of corrective actions
Criterion 3.3 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.	
Indicator 3.3.1	Verifiers & Guidance:
Sites of special cultural, historical, ecological, economic or religious significance are identified,	Interviews with Forest Managers and consultation with stakeholders.

<p>described and mapped in co-operation with affected indigenous people.</p> <p>SLIMF: Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.</p>	<p>Records and maps. Refer also to Indicator 7.1.1</p>
<p>Indicator 3.3.2</p> <p>Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested indigenous people</p> <p>SLIMF: Clear management objectives have been identified.</p>	<p>Verifiers & Guidance: Management plans and documents. Consultation with stakeholders</p> <p>SLIMF: Interviews with the Forest Manager and field observations</p>
<p>Indicator 3.3.3</p> <p>Such areas are identified in working plans and demarcated in the field where this is considered appropriate</p>	<p>Verifiers & Guidance: Operational plans and maps and field observation</p>
<p>Indicator 3.3.4</p> <p>All operators and contractors can identify such sites in the field</p>	<p>Verifiers & Guidance: Interviews with operators and field observations. Consultation with stakeholders</p>
<p>Indicator 3.3.5</p> <p>Measures are in place to prevent any form of damage or disturbance, other than such agreed with affected indigenous people</p>	<p>Verifiers & Guidance: Interviews with operators and field observations. Consultation with stakeholders</p>
<p>Indicator 3.3.6</p> <p>Rights of access to these areas is permitted</p>	<p>Verifiers & Guidance: Consultation with stakeholders</p>
<p>Criterion 3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</p>	
<p>Indicator 3.4.1</p> <p>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, is documented</p> <p>SLIMF: Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, have been identified</p>	<p>Verifiers & Guidance: Documented records. Consultation with indigenous peoples.</p> <p>SLIMF: Interviews with Forest Manager and indigenous peoples/local communities</p>

Indicator 3.4.2	Verifiers & Guidance: Records of meetings with representatives of indigenous peoples. Consultation with representatives of indigenous peoples. Agreements.
Indigenous peoples shall be fully informed of the intent and nature of the use of their traditional knowledge by the assessed organisation. Such use will not proceed until indigenous peoples have agreed with free consent	
Indicator 3.4.3	Verifiers & Guidance: Agreements. Consultation with representatives of indigenous peoples
If such traditional knowledge is used for profit by the assessed organisation (or any other organisation under an agreement with the assessed organisation) compensation is formally agreed before such knowledge is used	
Indicator 3.4.4	Verifiers & Guidance: Financial records <u>SLIMF:</u> Interviews with indigenous peoples/local communities
All agreed compensation is paid	
PRINCIPLE 4. COMMUNITY RELATIONS AND WORKER'S RIGHTS: Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.	
Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services	
Indicator 4.1.1	Verifiers & Guidance: Interviews with Forest Managers and workers. Consultation with representatives of local communities and labour unions. Training strategies. Job advertisements in local publications
People in local communities are given opportunities in employment, training and contracting <u>SLIMF:</u> Local workers and contractors should be used wherever possible	
Indicator 4.1.2	Verifiers & Guidance: Interviews with contractors. Policies and procedures of the assessed organisation. Documentation on contracting of services.
In <u>large scale organisations</u>, contracts are awarded through a transparent process on the basis of clear criteria; justification for final selections is documented	
Indicator 4.1.3	Verifiers & Guidance: Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit. Long-term training plans. Interviews with Forest Managers and workers.
In <u>large scale organisations</u> training and/or other appropriate forms of assistance to local people and workers to meet the organisation's long-term staffing requirements are developed and supported.	
Indicator 4.1.4	Verifiers & Guidance: <i>Service provision and support for local infrastructure, facilities should, as a minimum, be consistent with meeting management plan objectives over the long term (e.g. provision of basic health,</i>
(Not applicable to SLIMF) Support is provided for local infrastructure and facilities at a level appropriate to the scale of the	

forest resources	<p><i>education and training facilities where these do not exist) as well as avoiding or mitigating any negative social impacts of the operations.</i></p> <p>Consultation with representatives of local communities Provision of training; schooling; medical; facilities; housing; accommodation</p>
<p>Indicator 4.1.5</p> <p>Where practicable, communities are given controlled access to forest and non-forest products on the FMU</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local communities. Evidence of controlled harvesting activities</p> <p><i>The Ugandan wildlife statute stipulates collaborative management as an approach to Protected Area and wildlife management. Local people may have Collaborative Resource Use Agreements that enable them to collect resources.</i></p> <p><i>The Taungya system of intercropping between trees may be used in plantation forestry.</i></p>
<p>Indicator 4.1.6</p> <p>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</p> <p><u>SLIMF:</u></p> <p>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Verifiers & Guidance:</p> <p><i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i></p> <p>Employment policies and procedures. Interviews with Forest Managers, workers and Labour Union representatives.</p> <p><u>SLIMF:</u></p> <p>Interviews with workers and contractors</p>
<p>Indicator 4.1.7</p> <p>All employees, contractors and sub-contractors must be paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region</p>	<p>Verifiers & Guidance:</p> <p>Benefits may include social security payments, pension, accommodation, food, etc. Records of payment Interviews with Forest Managers, workers and Labour Union representatives.</p>
<p>Indicator 4.1.8</p> <p>No workers shall be engaged in debt bondage or other forms of forced labour</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and Labour Union representatives</p>
<p>Indicator 4.1.9</p> <p>Persons under 15 years are not employed in any forestry work</p>	<p>Verifiers & Guidance:</p> <p><i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3.</i></p> <p>Interviews with Forest Managers, workers and Labour Union representatives Observations in the work place.</p> <p><i>The minimum working age in Uganda is 18 but many children work out of economic necessity and because school fees are so high. A large percentage of under-18 children do not attend school. Most children work in the informal sector.</i></p>
<p>Indicator 4.1.10</p> <p>Persons under 18 years shall not be employed at night or to carry out heavy work or hazardous</p>	<p>Verifiers & Guidance:</p> <p><i>Where children and young persons are to be removed from employment in order to comply with this requirement, criterion 4.4</i></p>

operations, e.g. pesticide application, harvesting, except for the purposes of training	<i>on social impact assessment and mitigation will apply. Organisations are expected to carry out a social impact assessment of the displacement of children from the workplace and effectively mitigate that impact e.g. provide suitable alternative sources of family income and ensure the children have access to adequate education facilities.</i>
Criterion 4.2 Forest management <u>should</u> meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families	
Indicator 4.2.1	Verifiers & Guidance:
Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families	<i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i> Interviews with Forest Managers, workers and union representatives. Guidelines/regulations are readily available.
Indicator 4.2.2	Verifiers & Guidance:
Forest Managers comply with laws and/or regulations covering health and safety of employees and their families For <u>large scale organisations</u> a written safety and health policy and management system are in place	<i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i> Interviews with Forest Managers, workers and union representatives. Guidelines/regulations are readily available. Labour directives and inspection reports. Company OHS records
Indicator 4.2.3	Verifiers & Guidance:
Forest Managers have systematically assessed the risk associated with all tasks and equipment In <u>large scale organisations</u> , compliance with this requirement shall be supported by documentation SLIMF: <u>All work done in the forest must comply with health and safety laws and regulations</u>	Documented risk assessments. SLIMF: Equipment is available to workers Interviews with Forest Managers and workers Field observations <i>Risk assessment should include risks of exposure of workers to excessive UV radiation (ILO CoP on S&H in Forestry Work, 1998)</i>
Indicator 4.2.4	Verifiers & Guidance:
In terms of the risks identified (refer 4.3.2) safe procedures which include the use of personal protective equipment (PPE), emergency procedures and key responsibilities have been recorded. SLIMF: <u>All work done in the forest must comply with health and safety laws and regulations</u>	Interviews with Forest Managers, workers and union representatives. Documented risk assessments and safety procedures. SLIMF: Equipment is available to workers Interviews with Forest Managers and workers Field observations
Indicator 4.2.5	Verifiers & Guidance:
All workers have had relevant training in safe working practice and where required, hold the necessary skills certificates.	Interviews with Forest Managers and workers. Training schedules and records Copies of skills certificates.

Indicator 4.2.6	Verifiers & Guidance:
Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry	Interviews with Forest Managers and workers <i>Uganda is a signatory to ILO. The FMU should have a copy of the ILO Code of Practice on Safety and Health in Forestry Work (ILO1998).</i>
Indicator 4.2.7	Verifiers & Guidance:
All necessary tools, machines, substances and equipment, including appropriate PPE, are available at the worksite and are in safe and serviceable condition	Interviews with Forest Managers and workers. Field observations. <i>UV Protection provided for workers based on risk assessment.</i>
Indicator 4.2.8	Verifiers & Guidance:
Managers take measures to ensure that workers use the PPE that is provided	Interviews with Forest Managers and workers. Field observations
Indicator 4.2.9	Verifiers & Guidance:
Health and safety records (including risk evaluations, accident records) are maintained and up-to-date SLIME: Basic record is kept of health and safety related incidents	Records of accidents, incidents, instructions to supervisors and workers <u>SLIME:</u> Records Interviews with Forest Manager and workers
Indicator 4.2.10	Verifiers & Guidance:
Provision is made for medical assistance in case of an accident and/or injury during operations.	<i>Emergency assistance needs to be provided to assist a worker in case of an injury sustained during operations. Communication and transport would be an important aspect of this assistance.</i> Interviews with Forest Managers and workers
Indicator 4.2.11	Verifiers & Guidance:
All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.	Interviews with Forest Managers and workers
Indicator 4.2.12	Verifiers & Guidance:
Where located and provided on the FMU worker accommodation and nutrition comply, as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.	Interviews with Managers and workers Inspection of facilities
Indicator 4.2.13	Verifiers & Guidance:
There is evidence of a programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect forest workers or their families. For large scale organisations there is contribution towards or provision of a prevention and control programme for any illnesses and diseases endemic to the area that	Interviews with Forest Managers and workers. Interviews with social NGOs. Records of support. Health statistics for the region. <u>SLIME:</u> Interviews with forest manager and workers

<p>affect forest workers or their families</p> <p>SLIMF: There is evidence of a basic programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect workers or their families</p>	
<p>Criterion 4.3 The rights of the workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</p>	
<p>Indicator 4.3.1</p> <p>Workers are free to organise and or join a trade union of their choice without fear of intimidation or reprisal. This will at a minimum comply with the requirements of the ILO Convention No. 87: Convention concerning Freedom of Association and Protection of the Right to Organise</p>	<p>Verifiers & Guidance: Interviews with Forest Managers, workers and labour union representatives.</p>
<p>Indicator 4.3.2</p> <p>Workers are free to organise and bargain collectively. This will at a minimum comply with the requirements of International Labour Organisation convention 98, Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively</p>	<p>Verifiers & Guidance: Interviews with Forest Managers, workers and labour union representatives</p>
<p>Indicator 4.3.3</p> <p>There is an effective mechanism in place to provide information to, and enable the participation of workers in decision-making where this directly affects their working terms and conditions</p> <p>SLIMF: Workers or their representatives are accepted as participants in decision making</p>	<p>Verifiers & Guidance: Interviews with Forest Managers, workers and labour union representatives</p>
<p>Criterion 4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</p>	
<p>Indicator 4.4.1</p> <p>In conjunction with the local stakeholders affected (both men and women) and in accordance with the scale and intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are evaluated.</p> <p>For <u>large scale organisations</u>, these impacts shall be documented</p> <p>SLIMF (Small Forests): Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</p> <p>The forest manager must try to avoid negative impacts of operations.</p>	<p>Verifiers & Guidance: <i>New operations will normally be subjected to formal impact assessments and these assessments must include the social environment. For ongoing operations it will be necessary to maintain communication with stakeholders and thus ensure the Forest Manager is aware of any current and/or potential impacts. Management plans must provide mitigatory measures to address such impacts, e.g. problems with dust or noise caused by operations are known and planning is adjusted to reduce or negate such</i></p> <p>Interviews with Forest Managers and local communities.</p> <p>SLIMF (Small Forests): Discussions with neighbours and forest manager Copies of newspaper advertisements, letters, posters and signs used to inform people of operations.</p>

<p>SLIMF (Low Intensity Forests): The forest manager proactively seeks assistance from external organizations to carry out an assessment of social impacts and/or social impact monitoring and uses the results to plan future management.</p>	<p>SLIMF (Low Intensity Forests): Copies of Social Impact Assessment reports Evidence of changes in management following results of an Social Impact Assessment <u>or</u> monitoring of social impacts.</p>
<p>Indicator 4.4.2 (Not applicable to SLIMF) Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</p>	<p>Verifiers & Guidance: Interviews with Forest Managers and local communities. Management plans</p>
<p>Indicator 4.4.3 An up-to-date list of stakeholders is maintained <i>4.4.3.1: An up-to-date list of names of the local council representatives is maintained.</i></p>	<p>Verifiers & Guidance: Records Consultation with stakeholders</p>
<p>Indicator 4.4.4 (Not applicable to SLIMF) There is adequate and ongoing consultation with stakeholders (local people, workers and relevant organisations); in particular, stakeholders are aware that forest management plans and monitoring results are available for inspection, if high impact operations are planned, and that the FMU is being evaluated/monitored for certification</p>	<p>Verifiers & Guidance: Records Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.4.5 Issues raised by stakeholders are treated constructively and objectively</p>	<p>Verifiers & Guidance: Records Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.4.6 In <u>large scale operations</u>, communications with stakeholders on issues that require action and follow-up shall be documented</p>	<p>Verifiers & Guidance: Documentation of communication</p>
<p>Criterion 4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage</p>	
<p>Indicator 4.5.1 Every effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent</p>	<p>Verifiers & Guidance: Records Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.5.2</p>	<p>Verifiers & Guidance:</p>

(Not applicable to SLIMF) Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for <u>large scale operations</u> .	Documented dispute resolution Consultation with stakeholders and interviews with Forest Managers
Indicator 4.5.3 (Not applicable to SLIMF) Dispute resolution mechanism makes provision for compensations to local people in the case of loss or damage affecting their legal or customary rights, property, resources or livelihoods.	Verifiers & Guidance: Records Consultation with stakeholders and interviews with Forest Managers
Indicator 4.5.4 (Not applicable to SLIMF) There is evidence that all payments agreed in terms of 4.5.3 have been made.	Verifiers & Guidance: Records of payments Consultation with stakeholders and interviews with Forest Managers
PRINCIPLE 5. BENEFITS FROM THE FOREST: Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.	
Criterion 5.1 Forest management should strive towards economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest	
Indicator 5.1.1 Optimal use is made of the potential annual yield of forest products	Verifiers & Guidance: Annual plan of operations, budgets and financial statements. Yield estimates
Indicator 5.1.2 Current and future budgets include specific provision for environmental and social, as well as all operational costs <u>SLIMF</u> The Forest Manager is aiming to be in an economically viable situation which permits long term forest management	Verifiers & Guidance: <i>Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, payments for environmental services rendered and subsidies.</i> Financial planning records and statements. Interviews with Forest Managers
Indicator 5.1.3 Investments are made to maintain the ecological productivity of the forest	Verifiers & Guidance: Interviews with Forest Managers and environmental NGOs. Plans and maps. Observation of ecosystems.
Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.	
Indicator 5.2.1 (Not applicable to SLIMF) The owner/manager should promote the	Verifiers & Guidance: Interviews with Forest Managers and consultation with local communities.

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

<p>use.</p> <p><u>SLIMF (Small Forests):</u> Not applicable</p> <p><u>SLIMF (Low Intensity Forests):</u> Forest management should aim to avoid dependence on a single forest product.</p>	<p>Sales records.</p> <p>Discussions with local communities and the forest manager</p> <p><i>Local people have collaborative resource use agreements with National Parks that enable them to collect resources. These are standard documented agreements.</i></p>
<p>Indicator 5.4.2</p> <p>Local initiatives involving the use, processing and/or marketing of forest products are encouraged.</p> <p><u>SLIMF (Small Forests):</u> Not applicable</p> <p><u>SLIMF (Low Intensity Forests):</u> Local initiatives involving the use, processing and or marketing of forest products are encouraged.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers.</p> <p>Interviews with local service providers</p> <p>Forest management planning</p> <p><u>SLIMF (Low Intensity Forests):</u> Sales records.</p> <p>Discussions with local communities and the forest manager</p>
<p>Indicator 5.4.3</p> <p>The utilisation of non-timber forest products by local community enterprises is encouraged</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and consultation with local communities.</p> <p>Evidence of NTFP sales or licenses or permits issued.</p> <p><i>Wildlife Use Rights are necessary for the utilisation of Wildlife according to the National Environmental Statute No.14</i></p>
<p>Criterion 5.5 Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</p>	
<p>Indicator 5.5.1</p> <p>Forest managers are aware of the range of forest services and resources</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers</p>
<p>Indicator 5.5.2</p> <p>Forest management practices minimise negative impacts on services and other forest resources</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers</p>
<p>Indicator 5.5.3</p> <p>Forest management practices maintain and where appropriate, enhance the value of forest services and resources:</p> <ul style="list-style-type: none"> ▪ Monitoring evidence that services and resources are maintained ▪ Practices to enhance services and resources are evident. 	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers</p>
<p>Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.</p>	
<p>Indicator 5.6.1</p>	<p>Verifiers & Guidance:</p>

<p>Data on forest growth, regeneration and volumes harvested and thinned are reported regularly and analysed in comparison with predicted volumes and growth data (data accuracy is appropriate to scale and intensity of management)</p> <p><u>SLIMF (Small Forests):</u></p> <p>Harvest levels are sustainable over the long term (a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Harvest limits are established at sustainable levels, based on conservative estimates of tree growth and yield rates. The harvest limits are stated in the management plan.</p>	<p>Evidence of enumerations, yield calculations and harvesting planning</p> <p><u>SLIMF:</u></p> <p>Management plan</p> <p>Field observations of harvesting sites compared to areas planned for harvesting.</p> <p>Maps of tree location</p> <p>Harvest and sales records and plans over the relevant time span.</p> <p>Data on likely or actual growth rates of species harvested.</p>
<p>Indicator 5.6.2</p> <p>Sustainable harvest and thinning intensities and frequencies have been calculated for the FMU based on the most up-to-date available information and do not exceed calculated replenishment rates over the long term.</p>	<p>Verifiers & Guidance:</p> <p>Timber resource planning</p>
<p>Indicator 5.6.3</p> <p>Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</p>	<p>Verifiers & Guidance:</p> <p>Management plans</p> <p><i>Check specifications of the collaborative resource use agreements and how these were allocated.</i></p>
<p>PRINCIPLE 6. ENVIRONMENTAL IMPACT:</p> <p>Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</p>	
<p>Criterion 6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.</p>	
<p>Indicator 6.1.1</p> <p>(Not applicable to SLIMF)</p> <p>The owner/manager has systematically assessed the potential environmental impacts of all activities (including on-site processing facilities) carried out in the forest; the impacts of forest plans have been considered at the landscape level, taking account of the interaction with adjoining land and other nearby habitats. For <u>large scale organisations</u>, the results of these impact assessments shall be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>For all operations or activities carried out on the FMU, there should be an evaluation of the possibility of the following potentially negative impacts being caused: soil erosion and compaction; changes to soil productivity; changes to invasive exotic, native or naturalised flora or fauna species abundance, diversity or distribution. Habitat fragmentation, pesticide, lubricant, nutrient or fertiliser pollution (by runoff, spray drift or spillage) and sedimentation of watercourses or water bodies; changes to water flow and drainage regimes of watercourses, water bodies, visual changes to prominent landscapes. Working Instruction 01 regarding on-site processing plants must be used as reference.</i></p> <p>Interviews with Forest Managers, environmental NGOs and government conservation agencies.</p> <p><i>In Uganda, the largest number of endangered animals belong collectively to fish and amphibians. This is a reflection of poor</i></p>

	<i>water management and resource utilisation. Protection of Water resources must be prioritised.</i>
Indicator 6.1.2	Verifiers & Guidance:
<p>Site-specific assessments of the potential environmental impacts of all forest operations are carried out prior to commencement of site disturbing operations, in a manner appropriate to the scale of the operations and the sensitivity of the site. Where such activities are considered “significant”, these site-specific assessments are documented. “Significant” activities shall include, but not be restricted to:</p> <ul style="list-style-type: none"> ▪ The building of new roads or substantial rerouting of existing roads; ▪ Any form of flow restriction in streams and rivers; ▪ Aforestation; ▪ Change in genus in the reforestation of more than 100 ha during the same planting season within an operational/management unit, where an FMU comprises more than one; ▪ Recreational activities and associated infrastructure ▪ Communication masts and associated infrastructure ▪ Power lines ▪ Water lines ▪ Change of natural vegetation to commercial or any other use. ▪ Erection of new fences ▪ Use of natural areas and products for commercial gain or any other purpose ▪ New waste disposal sites; ▪ Implementation of new/modified activities/products that may have significant impacts on the environment. <p>SLIMF (Small Forests): Before starting any operation, the possible negative environmental impacts are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p>SLIMF (Low Intensity Forests): Before starting any operation, the possible negative environmental impacts at the site and landscape levels are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p>	<p>A “significant activity is an activity that has the potential to cause environmental impacts that are:</p> <ul style="list-style-type: none"> ▪ Permanent or long term; or ▪ Affects a wide environment <p>An EIA is the formal procedure that is followed to collect, organise, analyse, interpret and communicate data that are relevant to making a decision. The procedure can however be followed as an informal assessment for a project such as the planning of a harvesting operation. The purpose of an EIA is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</p> <p>Principles that a formal EIA should comply with are:</p> <p>Informed Decision Making: Decision-making should be based on reliable information.</p> <p>Accountability: Responsibilities must be clearly defined.</p> <p>Environment in the Broadest Sense: The environment includes all aspects (i.e. physical, social, political, economic, visual).</p> <p>Open Consultation: Consultation with all interested and affected parties must be done in a transparent manner.</p> <p>Specialist Input: Specialists in the particular field must support impact assessments.</p> <p>Alternatives: Consider all possible alternatives in terms of location and activities.</p> <p>Mitigatory Measures: Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</p> <p>Consider all Stages: The assessment should consider all stages of the development, from the planning phase through to closure.</p> <p>Interviews with Forest Managers also testing their basic knowledge of EIAs.</p> <p>Records of assessments and decisions.</p> <p>Environmental management plans.</p> <p><u>SLIMF:</u></p> <p>Manager’s knowledge of the site and impacts of operations</p> <p>Field observations</p> <p>Management plan</p> <p>Documented environmental statement or assessment where legally required</p> <p><i>See requirements of Environmental Impact Assessment Statute No.4 of 1995.</i></p>
Indicator 6.1.3	Verifiers & Guidance:
<p>All potential environmental impacts identified during assessments are considered during operations and planning and ensure that adverse impacts are avoided or mitigated</p>	<p>See also requirements 6.5.1 and 6.5.2.</p> <p>Interviews with Forest Managers, supervisors and workers also testing their knowledge of minimum requirements.</p> <p>Field observations and operational plans. For <u>large scale</u> operations, these provisions and controls will be documented in</p>

	plans.
Indicator 6.1.4	Verifiers & Guidance:
Timely corrective actions are considered and implemented to address both past and potential non-conformances.	<p><u>Corrective Actions:</u></p> <p><i>The first objective is, whenever there is a non-conformance:</i></p> <ul style="list-style-type: none"> ▪ <i>action is taken to correct any damage to the environment that may have occurred (corrective action); and</i> ▪ <i>measures are instituted to prevent the non-conformance from recurring (preventive action).</i> <p><i>The second objective is to ensure that preventative action is taken where there is obvious potential for an activity to develop into a non-conformance with subsequent environmental impact(s).</i></p> <p><i>The third objective is to ensure that CARs are reviewed periodically to identify persistent problem areas and to ensure that such problem areas are appropriately addressed, in either a corrective or a preventative manner.</i></p> <p>Interviews with managers.</p> <p>Comparison of quality of ongoing operations and associated record of past CARs.</p>
Indicator 6.1.5	Verifiers & Guidance:
Corrective action requests (CARs) are recorded and closed out appropriately	<u>Records of CARs</u>
SLIMF:	<u>SLIMF:</u>
Timeous corrective actions are taken	Interviews with the forest Manager and workers and field observations
Indicator 6.1.6	
Criterion 6.2	Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.
Indicator 6.2.1	Verifiers & Guidance:
Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented	<i>Where survey data are incomplete, it should be assumed that relevant species ARE present.</i>
SLIMF (Small Forests):	Interviews with Forest Managers, local experts and government agencies.
Where known, rare, threatened and endangered species and their habitats are protected.	Refer also to 7.1.7
SLIMF (Low Intensity Forests):	<u>SLIMF (Small Forests):</u>
Where known, rare, threatened and endangered species and their habitats are mapped and protected.	Manager's knowledge of rare, threatened and endangered species in the area.
	Records from other sources of species found on the site.
	Field observations of nesting and feeding areas of rare, threatened and endangered species.
	<u>SLIMF (Low Intensity Forests):</u>
	Manager's and workers' knowledge of rare, threatened and endangered species in the area.
	Reports of training for forest workers on protection issues.
	Field observations of nesting and feeding areas of rare,

	threatened and endangered species. Reports of the conservation status of the FMU from other sources.
Indicator 6.2.2	Verifiers & Guidance:
There is co-operation with acknowledged experts and/or conservation organisations and/or regulatory authorities in identifying conservation zones and protection areas for rare, threatened and endangered species present SLIMF: Other features which are important for conservation are identified and protected.	Interviews with Forest Managers, local experts and government agencies. SLIMF: Maps showing conservation features Field observations and interviews with forest manager
Indicator 6.2.3	Verifiers & Guidance:
The habitats of rare, threatened and endangered species are demarcated on maps, and, where necessary, on the ground	Records and maps.
Indicator 6.2.4	Verifiers & Guidance:
Rare, threatened and endangered species are protected during operations	Operational plans. Interviews with Forest Managers, local experts and government agencies.
Indicator 6.2.5	Verifiers & Guidance:
Authorised hunting, fishing, grazing and collecting activities are managed to ensure they do not exceed sustainable levels	Policies and procedures. Interviews with Forest Managers, local experts and government agencies. Field observations and records of collection. <i>Wildlife Use Rights (WUR) are necessary for the utilisation of Wildlife according to the National Environmental Statute No.14 as follows:</i> <i>Class A WUR for hunting</i> <i>Class B WUR for farming</i> <i>Class C WUR for ranching</i> <i>Class D WUR for trading in wildlife and wildlife products</i>
Indicator 6.2.6	Verifiers & Guidance:
Measures are in place to control inappropriate hunting, fishing, grazing and collecting activities	Policies and procedures. Interviews with Forest Managers, local experts and government agencies. Field observations and records of collection.
Criterion 6.3	Ecological functions and values shall be maintained intact, enhanced, or restored, including:
	<ul style="list-style-type: none"> ▪ Forest regeneration and succession. ▪ Genetic, species and ecosystem diversity. ▪ Natural cycles that affect the productivity of the forest ecosystem.
Indicator 6.3.1	Verifiers & Guidance:

<p>The status of the FMU with regard to:</p> <ul style="list-style-type: none"> ▪ regeneration and succession ▪ genetic, species and ecosystem diversity ▪ natural cycles <p>is known or estimated.</p>	<p><i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i></p> <ul style="list-style-type: none"> ▪ <i>Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</i> ▪ <i>Impacts of past management e.g. logging, collection of NTFPs, soil erosion</i> ▪ <i>Distribution and status of plant communities;</i> ▪ <i>Conservation status of native floral and faunal assemblages, species and their habitats;</i> ▪ <i>Spread of invasive species</i> ▪ <i>Ongoing soil erosion</i> ▪ <i>Water quality</i> <p>Records and maps Interviews with Forest Managers and local experts.</p>
<p>Indicator 6.3.2</p> <p>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local experts</p>
<p>Indicator 6.3.3</p> <p>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, local experts. Plans and maps and field observations.</p> <p><i>ITTO Members are encouraged to support and develop industrial tropical timber reforestation and forest management activities as well as rehabilitation of degraded forest land.</i></p>
<p>Indicator 6.3.4</p> <p>There is a programme for restoration of degraded sites</p>	<p>Verifiers & Guidance:</p> <p><i>Enhancement, maintenance and restoration activities should be prepared to provide for the restoration of degraded natural areas, weed infestation, erosion, borrow pits, waste sites, quarries, etc.</i></p> <p>Interviews with Forest Managers, local experts. Plans and maps and field observations.</p>
<p>Indicator 6.3.5</p> <p>In natural and semi-natural forest, natural regeneration is preferred where adequate for the meeting of management objectives</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps Interviews with Forest Managers, local experts</p>
<p>Indicator 6.3.6</p> <p>Where artificial regeneration is planned, the environmental impact has been assessed (refer Criterion 6.1)</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps Interviews with Forest Managers, local experts</p>
<p>Criterion 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>Indicator 6.4.1</p>	<p>Verifiers & Guidance:</p>

<p>Conservation zones and protection areas, representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</p> <p>SLIMF: Where representative samples of ecosystems are known to exist in the FMU these shall be protected.</p>	
<p>Indicator 6.4.2</p> <p>(Not applicable to SLIMF) Where less than 10% of the total area included in the scope of certification has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation with local experts and/or government agencies.</p>	<p>Verifiers & Guidance: Plans and maps and records of completed work. Interviews with Forest Managers, local experts and government agencies.</p>
<p>Indicator 6.4.3</p> <p>Conservation management and protection activities are documented in plans and demarcated on maps. SLIMF: Conservation management and protection activities have been determined and are demarcated on maps</p>	<p>Verifiers & Guidance: Plans and maps, including annual plan of operations.</p>
<p>Indicator 6.4.4</p> <p>Conservation management and protection activities are implemented.</p>	<p>Verifiers & Guidance: Records of operations Field observations</p>
<p>Criterion 6.5 Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</p>	
<p>Indicator 6.5.1</p> <p>All environmentally sensitive forest operations are identified (see 6.1) and written guidelines defining acceptable practice are available to forest managers and supervisors; operational guidelines must meet or exceed national or regional best practice requirements SLIMF: All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.</p>	<p>Verifiers & Guidance: <i>Forest operations include: site preparation, fire belt management, planting, weed control, stand management, harvesting and extraction, road surfacing material extraction and excavation site closure, road network design, road design, construction, maintenance and closure.</i> Records, plans and maps. Interviews with Forest Managers and field observations. SLIMF: Interviews with Forest Managers and field observations Maps showing new roads and locations of new and ongoing operations</p>
<p>Indicator 6.5.2</p>	<p>Verifiers & Guidance:</p>

<p>Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning</p>	<p><i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p>
<p>Indicator 6.5.3</p> <p>Buffer zones are maintained along watercourses and around water bodies in compliance with specifications made in national and regional best practice guidelines</p>	<p>Verifiers & Guidance:</p> <p><i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p>
<p>Indicator 6.5.4</p> <p>Operators are able to implement adequate emergency procedures for clean-up following accidental oil and chemical spillages</p>	<p>Verifiers & Guidance:</p> <p>Operational plans, interviews with staff and field observations.</p> <p>No evidence of significant spillages.</p>
<p>Criterion 6.6 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 chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</p>	
<p>Indicator 6.6.1</p> <p>There is an up-to-date list of all pesticides used in the organisation that documents trade name, and active ingredient. Where not provided by the product label, authorised applications, application methods and rates will also be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i></p> <p>Records of chemicals in use.</p> <p>Receipts and invoices.</p> <p>Procedures for the safe and appropriate use of chemicals</p>
<p>Indicator 6.6.2</p> <p>Prohibited pesticides are not used except where:</p> <ul style="list-style-type: none"> ▪ a derogation of policy has been obtained from the FSC Secretariat; or ▪ a temporary exemption has been authorised in terms of FSC-POL-30-001 and its associated documents. 	<p>Verifiers & Guidance:</p> <p><i>Refer SGS Qualifor Work Instruction 16 for:</i></p> <ul style="list-style-type: none"> □ <i>Current list of prohibited pesticides;</i> □ <i>Derogations;</i> □ <i>Temporary derogations; and</i> □ <i>Use of prohibited chemicals for emergency situations.</i> <p>Chemical records</p>
<p>Indicator 6.6.3</p> <p>Where chemicals are used on an on-going basis the owner/manager must prepare a strategy that will have at least the following components:</p> <ul style="list-style-type: none"> ▪ reduction of use is stated as a long-term objective; ▪ a range of methods for pesticide control providing justification for chemical-use as an option; ▪ procedures that promote the optimal use of 	<p>Verifiers & Guidance:</p> <p><i>Usage, and reduction targets should be expressed on a per hectare basis and sub-divided according to operations and catchment/drainage basin; targets should be quantitative</i></p> <p><i>Some organisations may be allowed to increase use of certain chemical pesticides in the short or medium term, where the use of these pesticides is justified on social or environmental grounds, see 6.6.</i></p> <p>This requirement applies to nurseries located on the certified FMU.</p>

<p>chemicals (timing, follow-up, equipment, etc)</p> <ul style="list-style-type: none"> ▪ clear measurable targets for long term chemical use; with reduction as the objective; <p>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</p> <p>SLIMF: There is an indication that alternative methods are being considered leading to a reduction in use of the long term</p>	<p>Documented long term strategy Chemical use records.</p>
<p>Indicator 6.6.4</p> <p>(Not applicable to SLIMF) The chemical use strategy (refer 6.6.3) is implemented.</p>	<p>Verifiers & Guidance: Field observations and records.</p>
<p>Indicator 6.6.5</p> <p>(Not applicable to SLIMF) Where pesticides are the preferred method of control for environmental or social reasons, the consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts</p>	<p>Verifiers & Guidance: <i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i> Interviews with Forest Managers and local experts. Documented justification.</p>
<p>Indicator 6.6.6</p> <p>All transport, storage, handling, application and emergency procedures for clean up following accidental spillages of chemical pesticides comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'</p>	<p>Verifiers & Guidance: Procedures and records. Interviews with staff</p>
<p>Criterion 6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed in an environmentally appropriate manner at off-site locations.</p>	
<p>Indicator 6.7.1</p> <p>Where such facilities exist, the owner/manager shall ensure that non-organic wastes (e.g. oil, tyres, containers, etc.), including those generated by contractors working on the FMU are recycled where recycling is possible</p>	<p>Verifiers & Guidance: Field observations and interviews with staff Records of waste deliveries</p>
<p>Indicator 6.7.2</p> <p>The owner/manager shall ensure that waste that cannot be re-cycled, including that generated by contractors working on the FMU, is disposed of in environmentally appropriate ways.</p>	<p>Verifiers & Guidance: <i>Waste includes:</i></p> <ul style="list-style-type: none"> ▪ Surplus chemicals ▪ Chemical containers ▪ Plastic waste ▪ Fuels and lubricants ▪ Worn vehicle tyres

	<ul style="list-style-type: none"> ▪ <i>Used vehicle batteries</i> ▪ <i>Waste produced from processing operations</i> ▪ <i>Domestic</i> <p>Evidence that waste has been disposed off in an acceptable manner.</p>
Indicator 6.7.3	Verifiers & Guidance:
The owner/manager shall ensure that the handling and disposal of chemicals and chemical containers, including that generated by contractors working on the FMU, shall comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'	Interviews with staff
Indicator 6.7.4	Verifiers & Guidance:
On-site facilities for easy collection of waste are provided	Presence of waste receptacles or other at operational sites and service areas.
Criterion 6.8	Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.
Indicator 6.8.1	Verifiers & Guidance:
The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing excessive cost	Interviews with Forest Managers. Policies and procedures.
Indicator 6.8.2	Verifiers & Guidance:
Any use of biological control agents must be supported by documented justification which details: alternative methods of pest or disease control considered, ecological impact assessment, relevant organisations and regulatory authorities consulted	Documentation
Indicator 6.8.3	Verifiers & Guidance:
All activities where biological control agents are used are documented and monitored	Documentation
Indicator 6.8.4	Verifiers & Guidance:
No genetically modified organisms are used in management, production or research programmes within the FMU.	Interviews with staff. Records of biological material sources and supplies
Criterion 6.9	The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts
Indicator 6.9.1	Verifiers & Guidance:

Exotic species are assessed for adverse ecological impacts	Records of scientific studies. Interviews with Forest Managers
Indicator 6.9.2	Verifiers & Guidance:
The impacts identified in terms of 6.9.1 are avoided or mitigated	Monitoring records
Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: <ol style="list-style-type: none"> a) entails a very limited portion of the forest management unit; and b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. 	
Indicator 6.10.1	Verifiers & Guidance:
FME shall not convert forests to plantations or non- forest land uses, except where the conversion meets the conditions of 6.10.2 – 6.10.4 below.	<i>Clear felling and replanting of a natural or semi-natural forest with a mixture native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i> Interviews with Forest Managers, local experts and government agencies. Plans and maps. Field observations.
Indicator 6.10.2	Verifiers & Guidance:
If conversion occurs, the area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the Management Unit.	Interviews with Forest Managers, local experts and government agencies. Plans and maps. Field observations.
Indicator 6.10.3	Verifiers & Guidance:
If conversion occurs, the forest manager shall demonstrate that any conversion produces clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.	<i>Conversion may, for example, have a net conservation benefit where an area is converted back to its original natural or semi-natural habitat type such as open wetland or grassland.</i> Interviews with Forest Managers, local experts and government agencies.
Indicator 6.10.4	Verifiers & Guidance:
If the conversion occurs, it shall not occur on high conservation value forest areas.	Scientific evidence and interviews with Forest Managers and local experts

PRINCIPLE 7. MANAGEMENT PLAN:

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

Criterion 7.1 The management plan and supporting documents shall provide:

- a) management objectives;
- b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;
- c) description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resources 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.

Indicator 7.1.1	Verifiers & Guidance:
There is a management plan (or overview linking different planning documents)	Management plan
SLIMF: Management plans may consist of brief notes and a map	SLIMF: Checking the plan exists and contains all the information required. Field checks that the plan has been implemented in the past and is currently still followed.
Indicator 7.1.2	Verifiers & Guidance:
Management objectives are clearly described	Management plan
SLIMF: An outline is provided of objectives and how these will be achieved	
Indicator 7.1.3	Verifiers & Guidance:
Forest resources, attributes of any high conservation value forest, environmental limitations, special characteristics of the forest, land use and ownership status, socio-economic conditions, and adjacent lands are described	Management plan
SLIMF: The forest is broadly described	
Indicator 7.1.4	Verifiers & Guidance:
Silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resources and inventories, are described	Management plan
SLIMF: The forest is broadly described	

Indicator 7.1.5	Verifiers & Guidance:
Rate of harvest, species selection, management prescriptions (for production and conservation zones) and operational techniques are documented and justified	Management plan
<u>SLIMF:</u>	<u>SLIMF:</u>
Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided	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 DBH, seed trees for each species, etc.
Indicator 7.1.6	Verifiers & Guidance:
Provisions for monitoring forest growth and dynamics are described	Management plan
<u>SLIMF:</u>	
The plans include provisions for monitoring forest regrowth	
Indicator 7.1.7	Verifiers & Guidance:
Refer Criterion 6.1 for description of environmental safeguards	
Indicator 7.1.8	Verifiers & Guidance:
Refer 6.2 for conservation planning and provision for RTE species.	
Indicator 7.1.9	Verifiers & Guidance:
The pest management strategy is documented and describes and justifies objectives, control methods and precautions.	
Refer also Criterion 6.6 for chemical use in pest management	
Indicator 7.1.10	Verifiers & Guidance:
Any control of wild animals is based on a written strategy, which describes and justifies objectives, cull targets, control methods and precautions	Written strategy and communication with interested and affected parties.
<u>SLIMF:</u>	Interviews with Forest Managers and consultation with local stakeholders, experts and government agencies.
Refer Criterion 6.2	
Indicator 7.1.11	Verifiers & Guidance:
There are appropriate maps (at a scale appropriate for planning and supervision activities) showing the forest resource base including protected areas, watercourses, roads and other features important for forest management. <u>SLIMF:</u>	Maps and associated records
There are appropriate maps showing the forest resource base including protected areas, watercourses, roads and ownership.	

Indicator 7.1.12	Verifiers & Guidance:
Maps shall be prepared prior to commencement of harvesting and road construction	Maps and associated records
Indicator 7.1.13	Verifiers & Guidance:
Harvesting techniques and equipment are described and justified	Management plan and operational controls. Interviews with staff
<u>SLIMF:</u> The plan describes harvesting methods and silviculture to ensure responsible management	
Indicator 7.1.14	Verifiers & Guidance:
For <u>large scale operations</u>, planning includes short (operational/annual), medium (tactical/3-5 yearly) and long (strategic, rotation/harvesting cycle) term plans covering all operations and these shall be documented.	Management plan and operational controls. Interviews with staff
For <u>small-scale operations</u> a long-term plan covering harvesting operations will be documented. The requirement for documented planning in small-scale operations will be decided by the scale, duration and intensity of the operation.	
<u>SLIMF:</u> Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.	
Indicator 7.1.15	Verifiers & Guidance:
Plans are being implemented and any deviation from prescription or rate of progress is adequately justified; overall objectives will still be achieved	Management plan and operational controls. Interviews with staff
<u>SLIMF:</u> Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained	
Criterion 7.2	The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances
Indicator 7.2.1	Verifiers & Guidance:
In <u>large scale organisations</u>, staff members with responsibility for the overall compilation and updating of the management plan are identified	Company procedures
Indicator 7.2.2	Verifiers & Guidance:
(Not applicable to SLIMF)	Publications
New scientific and technical developments in	Interviews with Forest Managers

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

Indicator 7.3.4	Verifiers & Guidance:
Evidence of formal or informal training exists in the field	Interviews with workers and field observations
Indicator 7.3.5	Verifiers & Guidance:
In <u>large scale organisations</u> a formal long-term training plan shall be available	Strategic training plan
Criterion 7.4	While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above.
Indicator 7.4.1	Verifiers & Guidance:
There are publicly available statements that provide an up-to-date summary of the primary management plan elements listed in 7.1 at company level	Public Summary of Management Plan
<u>SLIMF:</u>	<u>SLIMF:</u>
The management plan, or a summary of it (which includes the information required by Indicators 7.1.2 to 7.1.11 is available for the public to see on request.	Management Plan is available
PRINCIPLE 8. MONITORING AND ASSESSMENT:	
Monitoring shall be conducted - appropriate to the scale and intensity of forest management - to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.	
Criterion 8.1	The frequency and intensity of monitoring <u>should</u> 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 <u>should</u> be consistent and replicable over time to allow comparison of results and assessments of change.
Indicator 8.1.1	Verifiers & Guidance:
All activities that require monitoring are identified.	Interviews with Management and environmental specialists/stakeholders
For <u>large scale organisations</u> these shall be documented in a monitoring programme.	Monitoring programme
Indicator 8.1.2	Verifiers & Guidance:
The frequency, intensity and expense of monitoring are defined and is appropriate to the scale and intensity of the forest management operations and the sensitivity of the receiving environment	Monitoring programmes
<u>SLIMF:</u>	<u>SLIMF:</u>
Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.	Manager's field notes Manager's description of how monitoring is done.

Indicator 8.1.3	Verifiers & Guidance:
(Not applicable to SLIMF) Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.	Monitoring procedures Interviews with Forest Managers and local experts
Indicator 8.1.4	Verifiers & Guidance:
Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties	Monitoring records, reports and archival system. Internal audit records CAR records
Indicator 8.1.5	Verifiers & Guidance:
Corrective actions identified through the monitoring process are appropriately implemented and closed out	Corrective action documentation
Criterion 8.2	<p>Forest management <u>should</u> include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ul 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.
Indicator 8.2.1	Verifiers & Guidance:
Yields of all forest products harvested are recorded	Harvesting records
Indicator 8.2.2	Verifiers & Guidance:
<p>A timber resource inventory is conducted, appropriate to the scale and intensity of forest management</p> <p>SLIMF: The manager knows what information they need in order to judge progress towards their objectives. The information is collected and recorded.</p> <p>In all cases this will include:</p> <ul style="list-style-type: none"> ▪ Amount of products harvested ▪ Effects of operations as identified under C6.1 ▪ Changes in features identified under C6.2 ▪ At least annual monitoring of high conservation values identified under C 9.1 ▪ Invasive exotic species 	<p><i>Data are collected on growth rates, regeneration, and yield of all forest products harvested as well as the condition of the forest (data accuracy is appropriate to scale and intensity of management)</i></p> <p>Documented inventory</p> <p>SLIMF: Discussions with forest manager. Evidence of the manager's knowledge of the forest and proactive approach to field observation and field notes Review of manager's field notes, observations or reports on HCVs. Available maps and reports from other sources</p>
Indicator 8.2.3	Verifiers & Guidance:
<p>Where non-timber products are used, a resource inventory is conducted, appropriate to the scale and intensity of forest management</p> <p>SLIMF:</p>	<p>Documented Inventory</p> <p>SLIMF: Interviews with the Forest Manager and field observations</p>

The sustainable harvest levels of non-timber forest products is known	
Indicator 8.2.4 (Not applicable to SLIMF) Data are collected on the composition and observed changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species	Verifiers & Guidance: Monitoring data <u>SLIMF:</u> Interviews with Forest Managers
Indicator 8.2.5 Indicators to track long term changes in terms of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected <u>SLIMF:</u> The forest manager is aware of the social impacts of operations and mitigate these where they are negative	Verifiers & Guidance: Monitoring data Interviews with Forest Managers and consultation with local communities <i>The intent of the indicator is to ensure that long term trends in terms of the social and bio-physical environments can be measured. Specific indicators that can provide this information need to be identified.</i>
Indicator 8.2.6 Data are collected on any wild mammals culled	Verifiers & Guidance: Data
Indicator 8.2.7 Post-harvest monitoring is carried out to assess waste and damage to the site. For <u>large scale operations</u> this monitoring shall be documented.	Verifiers & Guidance: Interviews with Forest Managers and supervisors. Field observations Post-harvest monitoring record
Indicator 8.2.8 The owner/manager records and analyses data on the costs, productivity and efficiency of forest management activities	Verifiers & Guidance: Data and records
Indicator 8.2.9 The results of such analyses (refer 8.2.8) are incorporated into plans	Verifiers & Guidance: Data and records
Indicator 8.2.10 Contractors' performance is monitored, including compliance with contract specifications and legal requirements. In <u>large scale organisations</u> , formal auditing of contractors shall be carried out on a regular basis and records thereof maintained	Verifiers & Guidance: Interviews with Forest Managers and contractors. Audit documents <i>The intent of the indicator is not only the monitoring of the daily operations of contractors, but also their compliance with the requirements of their contracts, compliance with legal requirements, the payment of any fees and taxes and compensation of employees and allowances for leave and other associated requirements.</i>

Indicator 8.2.11	Verifiers & Guidance:
Waste disposal sites within the FMU are regularly checked	Interviews with Forest Managers and field observations
Criterion 8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the “chain of custody.”	
Indicator 8.3.1	Verifiers & Guidance:
There is a procedure for identifying all products (timber and non-timber) leaving the forest so that the recipient can easily determine the forest of origin. For <u>large scale organisations</u> this procedure shall be documented.	<i>The scope of a joint FM/CoC certificate covers harvesting and transportation of roundwood to the first point of sale, unloading or processing. On site processing e.g. charcoal burning, use of a mobile saw-bench, or purchase and harvesting of standing timber by a third party (e.g. sawmill, harvesting contractor, timber merchant) must be covered by a separate chain of custody certificate if the products are to be sold as certified.</i> Interview with Forest Managers Procedures.
Indicator 8.3.2	Verifiers & Guidance:
Documentation of origin and destination of all certified forest products is available for products held at landing areas, stacking areas and processing sites on the FMU	Delivery notes, receipts and stock records
Indicator 8.3.3	Verifiers & Guidance:
Sales invoices and other documentation related to sales of certified material include the chain of custody certificate number, in the correct format (SGS-FM/CoC-XXXXXX) and indicating the FSC category “FSC 100%”.	Sales invoices
Indicator 8.3.4	Verifiers & Guidance:
Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders	Sales records, invoices
Indicator 8.3.5	Verifiers & Guidance:
Use of the FSC trademark is in accordance with policy and has been approved by SGS Qualifor	Samples of trademark use
Criterion 8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.	
Indicator 8.4.1	Verifiers & Guidance:
The results of research and monitoring programmes are regularly analysed and incorporated into planning on a regular basis SLIME: Refer Indicators 7.2.3 and 7.2.4	Interviews with local experts and Forest Managers. Forest planning documents

Indicator 8.4.2	Verifiers & Guidance:
<p>There is evidence that monitoring results are used to improve forest management</p> <p>SLIMF:</p> <p>Refer Indicators 7.2.3 and 7.2.4</p>	<p>Interviews with local experts and Forest Managers</p>
<p>Criterion 8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</p>	
Indicator 8.5.1	Verifiers & Guidance:
<p>Results and/or summaries of monitoring programmes (including those listed in Criterion 8.2) are available to the public within the accepted norms of commercial confidentiality.</p> <p>SLIMF:</p> <p>Refer Indicator 7.4.1</p>	<p>Public summary</p>
<p>PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS:</p> <p>Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.</p>	
<p>Criterion 9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management</p>	
Indicator 9.1.1	Verifiers & Guidance:
<p>The FMU has been adequately assessed (in consultation with conservation organisations, regulatory authorities and other local and national stakeholders) and any HCVFs and their biological and/or socio-economic or cultural attributes have been identified</p> <p>SLIMF:</p> <p>The FMU has been adequately assessed (in consultation with conservation organisations and regulatory authorities) and any HCVFs and their biological and/or socio-economic or cultural attributes have been identified</p>	<p><i>This requirement must be applied to all forests undergoing assessment. HCVFs possess one or more the following attributes:</i></p> <ul style="list-style-type: none"> ▪ Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values and/or large landscape level forests where viable populations of most/all naturally occurring species exist in natural patterns of distribution and abundance; ▪ Rare, threatened or endangered ecosystems; ▪ Forests that provide basic ecological services in critical situations (e.g. water quality or flow, protection against erosion or natural disasters such as cyclones or hurricanes, pollinators); ▪ Forests fundamental to meeting basic economic or bio-physiological needs of local communities or critical to local community cultural identity. <p>Interviews with Forest Managers and local experts. Evidence of assessments.</p>
Indicator 9.1.2	Verifiers & Guidance:
<p>For large scale organisations the assessment procedure shall be documented and records of consultation maintained</p>	<p>Documented procedures and records</p>

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

Indicator 9.3.5	Verifiers & Guidance: Management plans and maps. Interviews with Forest Managers and local experts
Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)	
Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.	
Indicator 9.4.1	Verifiers & Guidance: Interviews with Forest Managers and local experts
Monitoring indicators and frequency are defined in consultation with acknowledged experts, local and national stakeholders to monitor effectiveness of each measure described in the plan SLIMF: Refer Indicator 8.2.2	
Indicator 9.4.2	Verifiers & Guidance: Records of monitoring
Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management SLIMF: Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management	
Indicator 9.4.3	
Indicator 9.4.4	Verifiers & Guidance: Scientific evidence. Interviews with Forest Managers and local experts
Managers are actively monitoring research developments which might contribute to management of HCVFs SLIMF: Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs	
PRINCIPLE 10. PLANTATIONS: Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.	
Criterion 10.1 The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.	
Indicator 10.1.1	Verifiers & Guidance:

<p>The management plan of the plantation explicitly states the management objectives for the plantation itself, as well as for natural forest conversion and restoration (see also Criterion 7.1)</p>	<p><i>"Natural forest" can be also be interpreted as natural vegetation.</i> Forest Management Plan Interviews with Forest Managers and local experts.</p>
<p>Indicator 10.1.2 The achievement of the objectives can be clearly demonstrated</p>	<p>Verifiers & Guidance: Interviews with Forest Managers and local experts. Field observations</p>
<p>Criterion 10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</p>	
<p>Indicator 10.2.1 Natural vegetation areas are considered during planning</p>	<p>Verifiers & Guidance: Maps</p>
<p>Indicator 10.2.2 For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 10.2.3 Buffer zones along watercourses and around water bodies are demarcated on maps in compliance with specifications made in national and regional best practice guidelines. Refer indicator 6.5.3.</p>	<p>Verifiers & Guidance: Maps and documentation</p>
<p>Indicator 10.2.4 Buffer zones identified in terms of 10.2.3 are maintained</p>	<p>Verifiers & Guidance: Maps and field observations</p>
<p>Indicator 10.2.5 The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.</p>	<p>Verifiers & Guidance: Maps and field observations</p>
<p>Criterion 10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity <u>may</u> include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</p>	
<p>Indicator 10.3.1 Plantation planning and reestablishment make provision for diversity in species and/or provenances and/or clones to achieve optimal</p>	<p>Verifiers & Guidance: Forest plans and maps Field observations</p>

economic, ecological and social stability	
Indicator 10.3.2	Verifiers & Guidance:
Maximum clear-cut size is defined. Documented justification shall be provided where there are potential adverse environmental or socio-economic impacts	Policies and procedures.
SLIMF:	SLIMF:
Maximum clear-cut size is defined and justified.	Interviews with Forest Managers and field observations
Criterion 10.4	The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.
Indicator 10.4.1	Verifiers & Guidance:
Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives	Scientific evidence and interviews with local experts
SLIMF:	SLIMF:
The species chosen for plantations are suited to the site and matched to the objectives.	Discussions with manager about plantation objectives Plans for future planting
Indicator 10.4.2	Verifiers & Guidance:
Exotic species are used only where they outperform native species in meeting management objectives	Scientific evidence and interviews with local experts
Indicator 10.4.3	Verifiers & Guidance:
Information is available on seed sources and these can be traced to the stand data	Plant records
Criterion 10.5	A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.
Indicator 10.5.1	Verifiers & Guidance:
At least 10% of the overall forest management area is managed so as to restore the site to a natural forest cover and/or other natural ecosystems. Refer Criterion 6.2. Where less than 10% is present, this shall be agreed with authorities and/or local experts.	SLIMF:
SLIMF:	Field observations of conservation features Plans for future improvements
Improvements to the ecological value of the plantation are made where conservation features exist.	

Criterion 10.6		Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns
Indicator 10.6.1	Verifiers & Guidance:	
There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species; Small growers and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the managed area.	Interviews with Forest Managers and local experts. Documented site information. Evidence that site information is being used in planning of operations.	
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Indicator 10.6.2	Verifiers & Guidance:	
Where soils are degraded from previous activities, there are plans to restore them	Soil degradation through erosion, oil and chemical spills, etc. Interviews with Forest Managers and field observations.	
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Indicator 10.6.3	Verifiers & Guidance:	
Major water resources within the forest area are identified	Maps and interviews with Forest Managers	
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Indicator 10.6.4	Verifiers & Guidance:	
For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5		
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Criterion 10.7		Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management should make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.
Indicator 10.7.1	Verifiers & Guidance:	
The principle forest pests and diseases are identified. For <u>large scale organisations</u> these shall be documented.		
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Indicator 10.7.2	Verifiers & Guidance:	
There is a documented pest and invasive plant management strategy. (For chemical use, refer to criterion 6.6)		
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Indicator 10.7.3	Verifiers & Guidance:	
Effective control and remedial action is taken in the event of a pest, disease or invasive plant problem. For <u>large scale organisations</u> these actions shall	Interview with Forest Managers and staff. Documentation	

be documented.	
Indicator 10.7.4	Verifiers & Guidance:
Where required, effective measures are taken to protect the plantation from fire. For large scale organisations there is regular monitoring of fire readiness that test all procedures	<i>These measure will include documented* procedures for fire suppression that include definition of responsibilities and reporting lines.</i> Interviews with staff and records of training. Fire readiness and control procedures.
Criterion 10.8	Appropriate to the scale and diversity of the operation, monitoring of plantations, shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.
Indicator 10.8.1	Verifiers & Guidance:
For potential on-site impacts, see Criteria 6.1 and 6.5	
Indicator 10.8.2	Verifiers & Guidance:
(Not applicable to SLIMF) Potential biophysical and social off-site impacts shall be monitored on a regular basis	<i>Off-site impacts may include:</i> <ul style="list-style-type: none"> ▪ <i>Spread of exotic plantation species.</i> ▪ <i>Unwanted natural regeneration of native plantation species</i> ▪ <i>Effects on water resources</i> ▪ <i>Effects on soil fertility</i> ▪ <i>Impacts on the aesthetics of the landscape</i> Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.
Indicator 10.8.3	Verifiers & Guidance:
(Not applicable to SLIMF) There is evidence of consultation with affected parties in terms of the impacts identified under 10.8.2	Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.
Indicator 10.8.4	Verifiers & Guidance:
For exotic or invasive species issues, see Criteria 6.9 and 10.7	
Indicator 10.8.5	Verifiers & Guidance:
For social impacts, see Criteria 2.1, 2.2, 4.2 and 4.4.	

Criterion 10.9		Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.
Indicator 10.9.1	Verifiers & Guidance:	
Accurate data is compiled on all conversions since 1994.	<p><i>Clear felling and replanting of a natural or semi-natural forest with a mixture of native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation.</i></p> <p><i>Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i></p> <p><i>Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence.</i></p> <p>Interviews with Forest Managers and Government Agencies. Plantations plans and maps.</p>	
Indicator 10.9.2	Verifiers & Guidance:	
Areas converted from natural forest to plantation since November 1994 are not certified, except where the Organization provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion.	Legal evidence of ownership or use-right	

APPENDIX A

LAWS, REGULATIONS AND STANDARDS APPLICABLE IN UGANDA

A.	NATIONAL LEGISLATION
	<p>Legal Rights to Harvest:</p> <ul style="list-style-type: none"> • Land tenure and management rights <i>Legislation covering land tenure rights, including customary rights as well as management rights that includes the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legal required licenses.</i> • Concession licenses <i>Legislation regulating procedures for the issuing of forest concession licenses, including use of legal methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection with concession licenses.</i> • Management and harvest planning <i>Any legal requirements for management planning, including conducting forest inventories, having a forest management plan and related planning and monitoring, as well as approval of these by competent authorities.</i> • Harvesting permits <i>Legislation regulating the issuing of harvesting permits, licenses or other legal document required for specific harvesting operations. It includes the use of legal methods to obtain the permit. Corruption is a well-known issue in connection with the issuing of harvesting permits.</i>
1.	According to the National Forestry Authority (NFA), the Central Government or Local Government holds Forest Reserves in trust for the people of Uganda (The 1995 Constitution), it is therefore illegal to sell or cut off any part of a Forest Reserve for the benefit of an individual or a group of (Land Act). Any activity in Forest Reserves, unless for management purposes, must be permitted by the responsible body (National Forestry & Tree Planting Act) after EIAs.
2.	Land Act (Act No. 16 of 1998): Any person who owns or occupies land must manage and utilise the land in accordance with the National Environmental Management Act (1995) and any other binding laws; it also stipulates land rental procedures.
3.	Land Act, 1999
4.	Forests Act, 1947 (CH 146)
5.	National Environmental Act, 1995: Specifies projects that need environmental impact assessments (listed activities that need EIAs). These include timber harvesting, clearance of forest areas, reforestation and afforestation, the building of roads and the use of new pesticides.
6.	Collaborative Resource Use Agreements
	<p>Taxes and Fees</p> <ul style="list-style-type: none"> • Payment of royalties and harvesting fees <i>Legislation covering payment of all legally required forest harvesting specific fees such as royalties, stumpage fees and other volume based fees. It also includes payments of the fees based on correct classification of quantities, qualities and species. Incorrect classification of forest products is a well-known issue often combined with bribery of officials in charge of controlling the classification.</i> • Value added and sales taxes <i>Legislation covering different types of sales taxes which apply to the material being sold, including selling material as growing forest (standing stock sales).</i> • Income and profit taxes <i>Legislation covering income and profit taxes related to the profit derived from sale of forest products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies or related to salary payments.</i>
7.	Companies Act, 1961 (Ch 110)
8.	Value Added Tax Act, CAP. 349

9.	Income Tax Act, CAP. 340
	<p>Timber Harvesting Activities</p> <ul style="list-style-type: none"> ● Timber harvesting regulations <i>Any legal requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from felling site and seasonal limitations etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities and elements that shall be preserved during felling etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges etc. shall also be considered as well as planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.</i> ● Protected sites and species <i>Covers legislation related to protected areas as well as protected, rare or endangered species, including their habitats and potential habitats</i> ● Environmental requirements <i>Covers legislation related to environmental impact assessment in connection with harvesting, acceptable level for soil damage, establishment of buffer zones (e.g. along water courses, open areas, breeding sites), maintenance of retention trees on felling site, seasonal limitation of harvesting time, and environmental requirements for forest machineries.</i> ● Health and safety <i>Legally required personal protection equipment for persons involved in harvesting activities, use of safe felling and transport practice, establishment of protection zones around harvesting sites, and safety requirements to machinery used. Legally required safety requirements in relation to chemical usage. The health and safety requirements that shall be considered relate to operations in the forest (not office work, or other activities less related to actual forest operations).</i> ● Legal employment <i>Legal requirements for employment of personnel involved in harvesting activities including requirement for contracts and working permits, requirements for obligatory insurances, requirements for competence certificates and other training requirements, and payment of social and income taxes withhold by employer. Furthermore, the points cover observance of minimum working age and minimum age for personal involved in hazardous work, legislation against forced and compulsory labour, and discrimination and freedom of association</i>
10.	Land Act of 1998 Part III section 44 & 45 providing for protection of forests by both Local and Central Governments; Forests are to be held in trust for the people of Uganda.
11.	National Environmental Act, 1995: Sustainable management of the environment including listed activities that need EIAs, protection of rivers, wetlands, prevention of pollution, conservation of biological diversity. Stipulates <i>inter alia</i> the need for EIA for afforestation projects and that an area within 30 m of a small river/stream be protected.
12.	Environmental Impact Assessment Regulations, 1998
13.	The National Environment Statute (No 4 of 1995)
14.	<p>National Forest and Tree Planting Act of 2003 (NFTPA): Stipulates <i>inter alia</i> that forest produce must be harvested in accordance with the management plan and regulations made under this Act. Section 5 obliges both Local and Central Government to hold forest reserves in trust and responsible for protection of forest reserves, Sections 14 and 32 making encroachment illegal and punishable by law and Section 85(a)& (b) also provides for the National Forestry Authority (NFA) to ask Court to order for compensation to the NFA for the loss caused by encroachers and other illegal operators in Central Forest Reserves (CFRs) Section 32 states that: No person shall, except, for forestry purposes and in accordance with a management plan, or in accordance with a license granted under this Act, in a forest reserve or community forest –</p> <ul style="list-style-type: none"> - Cut, take, work or remove forest produce; - Clear, use or occupy any land for – <ul style="list-style-type: none"> ● Grazing; ● Camping; ● Livestock farming; ● Planting or cultivation of crops; ● Erecting of a building or enclosure; or ● Recreational, commercial, residential, industrial or hunting purposes; - Collect biotic and abiotic specimens; or - Construct or re-open a road, track, bridge, airstrip or landing site. <p>A person who contravenes this section commits an offence and is liable on conviction, to a fine not exceeding</p>

	thirty currency points or to imprisonment for a term not exceeding three years, or both.”
15.	The Employment Decree 1975
16.	Employment Regulations 41 of 1977
17.	The Employment Act 6 of 2006
18.	The Workers Compensation Act 2000
19.	The Occupational Safety and Health Act, 2007
20.	The National Social Security Fund Act 1985
	<p>Third Party Rights</p> <ul style="list-style-type: none"> • Customary rights <i>Legislation covering customary rights relevant to forest harvesting activities including requirements covering sharing of benefits and indigenous rights</i> • Free prior and informed consent (FPIC) <i>Legislation covering “free prior and informed consent” in connection with transfer of forest management rights and customary rights to the organisation in charge of the harvesting operation</i> • Rights of indigenous peoples <i>Legislation that regulates the rights of indigenous people as far as it's related to forestry activities. Possible aspects to consider are land tenure, right to use certain forest related resources or practice traditional activities, which may involve forest lands</i>
21.	The Constitution of The Republic of Uganda (1995) Under the National Objectives & Directive Principles, Parts XIII & XXV11 providing for the protection of natural resources and Section 237,2 (b) providing for holding in trust and protection of Forest Reserves for the people of Uganda.
22.	Constitutional Amendment Act 2 of 2005
23.	The Uganda Human Rights Commission Act 4 of 1997
24.	Land Act of 1998 Part III section 44 & 45 providing for protection of forests by both Local and Central Governments; Forests are to be held in trust for the people of Uganda.
	<p>Trade and Transport</p> <ul style="list-style-type: none"> • Classification of species, quantities, qualities <i>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce/avoid payment of legality prescribed taxes and fees</i> • Trade and transport <i>All required trading permits shall exist as well as legally required transport document which accompany transport of wood from forest operation</i> • Offshore trading and transfer pricing <i>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and considered as an important generator of funds that can be used for payment of bribery and black money to the forest operation and personal involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should be noted that only transfer pricing and offshore trading as far as it is legally prohibited in the country, can be included here.</i>
25.	Access to Roads Act 1969 (Cap 350)
26.	Roads Act 1949 (Cap 358)
27.	The Traffic and Road Safety Act, 1998: Regulates the licensing of goods vehicle transport.
28.	Uganda National Roads Authority (UNRA Act), 2006.
29.	The Uganda National Roads Authority (UNRA) was established by the Uganda National Authority Act, n° 15 of 2006 and became operational on 1 July 2008. The UNRA is responsible for developing and maintaining the national roads network, managing ferries linking the national roads network and controlling axle overloading.
30.	EAC Tripartite Agreement on Road Transport.
	<p>Custom regulations</p> <p><i>Custom legislation covering areas such as export/import licenses, product classification (codes, quantities, qualities and</i></p>

	<i>species)</i>
31.	Customs Management Act, Part 1-4
32.	Customs and Excise Act, 1977 (CH 335)
33.	East African Community Customs Management Act, 2004
	CITES <i>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention)</i>
34.	<p>The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) was developed in the early 1970's in response to concerns that unregulated international trade in wild species of wild fauna and flora could have a detrimental impact on species and their ecosystems. It currently has 167 State Parties and regulates trade in about 30 000 species. Only a small number of these are actually endangered, the majority being species for which trade measures have been introduced to avoid conservation threat. Parties acceding to CITES agree to place controls on international trade in species that are listed in any of the Convention's three Appendices.</p> <p>Uganda is particularly rich in primates, which have been popular for trade in the past. Whilst the focus is not only on primates, they should specifically be considered. The Uganda Wildlife Authority does issue licenses (e.g. Professional Trappers License) for the collection of certain animals (e.g. reptiles) which also need to be assessed against CITES and the Uganda's own RT&E species.</p> <p>The Uganda Wildlife Policy (1995) and the Uganda Wildlife Statute (1996) brought the management of all wildlife resources under the newly created Uganda Wildlife Authority (UWA). This policy and law are aimed to implement Uganda's obligation under CITES, Convention on Migratory Species of Wild Animals 1979 (CMS) and the Convention on Biological Diversity, 1992.</p> <p>See also IUCN Red List of Threatened Species</p>
	Other
35.	Uganda Wildlife Act, 1996
36.	The Game Preservation and Control Act 1959
37.	The Water Act, 1997: This act aims to promote the rational management and use of water in Uganda and includes the need for water use permits and the prevention of pollution as well as the establishment of water works and construction of impoundments.
38.	Plant Protection Act: Prohibits the import of seeds without a permit – this includes seeds of <i>Acacia</i> spp, <i>Eucalyptus</i> spp and all Conifer species.
39.	The Trade Unions Act 7 of 2006
40.	The Labour Disputes (Arbitration and Settlement) Act 8 of 2006
41.	Children Act, 1997
42.	Children Statute, 6 of 1996
43.	The Prohibition of Burning of Grass Act (Cap 33)
44.	Mining Act (Cap 148)
45.	The Control of Agricultural Chemicals Act 1989 (Cap 28)
46.	The Seed and Plant Act (2006)
47.	The Investment Code Act (Cap 92)
48.	Administration of Estates (Small Estates) (Special Provisions) Cap 156
49.	Arbitration and Conciliation (Cap 4)
50.	Business Names Registration (Cap 109)
51.	Cattle Grazing (Cap 42)
52.	Community Service (Cap 115)
53.	Companies Act (Cap 110)
54.	Cooperative Societies (Cap 112)

55.	Historical and Monuments (Cap 46)
56.	Partnership Act (Cap114)
57.	Produce Protection Act (Cap 32)
58.	Rivers (Cap 35)
59.	Survey (232)
60.	Trade (Licensing) (Cap 101)
61.	Town and Country Planning (Cap 246)
B.	REGULATIONS PERTINENT TO FORESTRY RELATED TO AND EMERGING FROM NATIONAL LEGISLATION AND OTHER LEGISLATIVE INSTITUTIONS:
62.	The Water Statute No. 7 of 1995
63.	The Water (Water Resources) Regulations, 1998 (Statutory Instrument 152-1)
64.	The Uganda Wildlife Statute No. 14 of 1996: Provides for conservation and protection of wildlife and their derivatives in the country, including trees.
65.	<p>National Environmental Statute No. 4 of 1995</p> <p>Provides for the protection of the environment and critical ecosystems. Section 35 deals with the management of rivers and lakes. It prohibits the carrying out of any of the following activities without the consent and written authorisation of the National Environment Management Authority (NEMA):</p> <ul style="list-style-type: none"> • use, erect, alter, extend or remove any structure in, above, on or under the bed; • excavate, drill, tunnel or disturb the bed otherwise; • introduce any plant, micro-organism or animal whether alien or indigenous into a river or lake; • divert or block any river; and • drain any river or lake. <p>Section 37 addresses the management of wetlands. It requires the approval of NEMA in consultation with the lead agency for any person to:</p> <ul style="list-style-type: none"> • reclaim or drain any wetland; • erect, construct, place, alter, extend, remove or demolish any structure that is fixed in any wetland; • disturb any wetland by drilling or tunnelling in a manner likely to have an adverse impact on the wetland; • deposit in, on or under any wetland any substance in a manner that is likely to have an adverse impact on the environment; and • introduce any plant or animal into the wetland.
66.	The National Environment Assessment Regulations SI 1998 No.13
67.	The National Environment (Hilly and Mountainous Areas Management) Regulations SI 2000 No. 2
68.	The National Environment (Wetlands, Riverbanks and Lakeshores Management) Regulations SI 2000 No. 3
69.	The National Environment (Delegation of Waste Discharging Functions) Instrument SI 1999 No. 56
70.	National Environment (Minimum Standard for Management of Soil Quality) Regulations SI 2001 No. 59
71.	The National Environment (Waste Management) Regulations SI 1999 No. 52
72.	The National Environment (Management of Ozone Depleting Substances and Products) Regulations SI 2001 No. 63
73.	The Access to Information Regulations, 2011 (Statutory Instrument 2011 No. 17)
74.	Administration of Estates (Small Estates) (Special Provisions) SI No. 156-1
75.	Business Names Registration Rules SI No. 109-1
76.	Cattle Grazing (Application of Act) Instrument SI No. 42-1
77.	Companies (General) Regulations SI No. 110-1
78.	Cooperative Societies Regulations SI No. 112-1
79.	Employment Regulations SI No. 219-1

80.	Mining Regulations SI No. 148-1
81.	Motor vehicle Insurance (3rd Party Risks) Regulations SI No. 214-1
82.	National Social Security Fund (Contributions) Regulations SI No. 222-3
83.	Plant Protection (Pests Declaration) Rules SI No. 31-1
84.	The Plant Protection (Importation of Plants) Order Statutory Instrument 31-3
85.	Plant Protection (Pests) Rules SI No. 31-2
86.	The Local Governments (Public Procurement and disposal of Public Assets) Regulations, 2006. Statutory Instruments 2006 No. 39
87.	Public Health (Rural Areas) (Health & Sanitation) Rules SI No. 281-6
88.	Roads (Road Reserves) (Declaration) Instrument SI No. 358-1
89.	Timber Reserve Certificates Regulations SI No. 347-1
90.	Timber (Export) (Grading & Export) Rules SI No. 151-1
91.	Town and Country Planning Regulations SI No. 246-1
92.	Trade Unions Regulations SI No. 223-1
93.	Trade Marks Rules SI No. 217-1
94.	Traffic & Road Safety (Carriage of Goods by Motor) Rules SI No. 363-57
95.	Traffic & Road Safety (Condition of Motor Vehicle) Regulations SI No. 361-9
96.	Traffic & Road Safety Regulations SI No. 361-10
97.	Value Added Tax Regulations SI No. 349-1
98.	Workers Compensation Regulations SI No. 225-1
C.	INTERNATIONAL AGREEMENTS PERTINENT TO FORESTRY
99.	<p>Convention on Biological Diversity</p> <p>The convention has 3 main goals:</p> <ol style="list-style-type: none"> i) The conservation of biological diversity ii) The sustainable use of its components, and iii) The fair and equitable sharing of the benefits from the use of genetic resources. <p>Enabling Legislation: National Environmental Act, 1995</p> <p>The Uganda Wildlife Policy (1995) and the Uganda Wildlife Statute (1996) brought the management of all wildlife resources under the newly created Uganda Wildlife Authority (UWA). This policy and law are aimed to implement Uganda's obligation under CITES, Convention on Migratory Species of Wild Animals 1979 (CMS) and the Convention on Biological Diversity, 1992.</p>
100.	<p>The International Tropical Timber Agreement (ITTA) was adopted on 26 January 1994 (successor agreement to the ITTA, 1983). There are currently 58 members, comprising 32 producing and 26 consuming members, including the European Community. The agreement is open to any state that produces or consumes tropical timber, and to intergovernmental organizations having responsibilities in respect of the negotiation, conclusion, and application of international agreements. The members represent 90 per cent of world trade in tropical timber and over 75 per cent of the world's tropical forests.</p> <p>The International Tropical Timber Organization (ITTO), established by the ITTA, 1983, administers the provisions and supervises the operation of this Agreement. It has the following mission statement: 'The ITTO facilitates discussion, consultation and international co-operation on issues relating to the international trade and utilization of tropical timber and the sustainable management of its resource base. Among its objectives are to:</p> <ul style="list-style-type: none"> • Provide an effective framework for consultation, international co-operation, and policy development among all members with regard to all relevant aspects of the world timber economy; • Provide a forum for consultation to promote non-discriminatory timber trade practices; • Contribute to the process of sustainable development; • Encourage members to support and develop industrial tropical timber reforestation and forest management activities as well as rehabilitation of degraded forest land, with due regard for the interest of local communities dependent on forest

	<p>resources; and,</p> <ul style="list-style-type: none"> Encourage members to develop national policies aimed at sustainable utilization and conservation of timber-producing forests and their genetic resources and at maintaining the ecological balance in the regions concerned, in the context of tropical timber trade.
101.	<p>International Labour Organisation (ILO): with specific reference to</p> <ul style="list-style-type: none"> ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998) ILO Safety and Health in the use of Agrochemicals, A guide. 1991 ILO Safety in the use of Chemicals at Work (Code of Practice), 1993 Convention 29: Forced Labour, 1930 Convention 87: Freedom of Association and Protection of the Right to Organise, 1948 Convention 97: Migration for Employment, 1949 Convention 98: Right to Organise and Bargain Collectively, 1949 Convention 100: Equal remuneration, 1951 Convention 105: Abolition of Forced Labour, 1957 Convention 111: Discrimination (occupation and Employment), 1958 Convention 131: Minimum Wage Fixing, 1970 Convention 138: Minimum Age for Working, 1973 Convention 141: Rural Worker's Organisations, 1975 Convention 142: Human Resources Development, 1975 Convention 143: Migrant Workers (Supplementary Provisions), 1975 Convention 155: Occupational Safety and Health, 1981 Convention 169: Indigenous and Tribal People, 1989 Convention 182: Worst Forms of Child Labour, 1999 Guidelines for worker's health surveillance Guidelines for Labour Inspection in Forestry 2005 Guidelines for Occupational Health and Safety Protection of Worker's personal data <p>Uganda is one of the 135 states that has ratified all of the fundamental ILO conventions.</p>
102.	<p>Convention on Wetlands (Ramsar www.cites.org)</p> <p>This is an intergovernmental treaty that provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources.</p> <p>Negotiated through the 1960s by countries and non-governmental organizations that were concerned at the increasing loss and degradation of wetland habitat for migratory waterbirds, the treaty was adopted in the Iranian city of Ramsar in 1971 and came into force in 1975. It is the only global environmental treaty that deals with a particular ecosystem, and the Convention's member countries cover all geographic regions of the planet. Many wetland dependent species, particularly birds, are migratory or nomadic, and cross national borders as they move between wetlands. Thus, cooperation among different countries may be necessary for effective wetland conservation.</p> <p>Uganda acceded to the Ramsar Convention on 4 March 1988. Uganda has 12 Ramsar wetland sites covering an area of 454 303 ha. The National Environmental Statute (1995) is the enabling legislation for meeting the Ramsar obligations.</p>
103.	<p>Convention on Migratory Species of Wild Animals (CMS or Bonn Convention):</p> <p>The CMS is concerned particularly with those species of wild animals that migrate across or outside national jurisdictional boundaries. It recognises that the States are and must be the protectors of the migratory species of wild animals that live within or pass through their national jurisdictional boundaries. The conservation and effective management of migratory species of wild animals require the concerted action of all States within the national jurisdictional boundaries of which such species spend any part of their life cycle.</p> <p>The Uganda Wildlife Policy (1995) and the Uganda Wildlife Statute (1996) brought the management of all wildlife resources under the newly created Uganda Wildlife Authority (UWA). This policy and law are aimed to implement Uganda's obligation under CITES, Convention on Migratory Species of Wild Animals 1979 (CMS) and the Convention on Biological Diversity, 1992.</p>
104.	<p>The Convention for the Protection of World Cultural and Natural Heritage, 1972;</p>

105.	The United Nations Framework Convention on Climate Change, 1992
106.	The Convention to Combat Desertification, 1994
107.	The Africa Forest Law Enforcement and Governance
108.	Membership to the Common Market for Eastern and Southern Africa (COMESA)
109.	Protocol on the Sustainable Development of Lake Victoria Basin;
110.	The East African Community Protocol on Environment and Natural Resources Management
111.	Membership to the African Great Lakes Pact
112.	Kagera Basin Agreement, 1997
D.	LOCAL STANDARDS AND BEST OPERATING PRACTICES
113.	Tree Planting Guidelines for Uganda: SPGS, 2007.
114.	Dykstra, D.P. (1997), FAO model code of forest harvesting practice. ISBN 92-5-103690-X. The information provided in this model code of forest harvesting practice has been compiled with the intend of highlighting the wide range of environmentally sound harvesting practices that are available to forest managers, especially those requiring only a modest level of investment in training and technology. This will permit policy-makers to develop national, regional or local codes of practice which will best serve the particular needs of government agencies, the private sector, non-governmental organizations and other constituents.
115.	STRATEGIC PLANNING FRAMEWORKS RELATED TO FORESTRY: 1. National Development Plan (2010/11 – 2014/15) 2. The National Forest Plan 2001 3. Strategy for management of natural forests in Central Forest Reserves July 2006 – June 2016 (NFA, 2006) 4. National Environment Action Plan 5. Plantation strategy 6. NFA strategic plan
116.	Human Resource Manual 2002
117.	Uganda Wildlife Authority (UWA), (1995): <i>Uganda Wildlife Policy</i> .
118.	NEAP/Ministry of Natural Resources (MNR), (1994): <i>The National Environment Management Policy</i> .
119.	National Environmental Action Plan (NEAP), 1993: <i>Policy, Environmental Legislation and Institutional arrangements</i> .
120.	MNR, (1994): <i>The National Policy for Conservation and Management of Wetlands Resources</i> .
121.	Guidelines for development of Forest Management Plans (National Forestry Authority, 2005)
122.	A Guide to the Management of Uganda's Tropical Moist Forests for Timber Production (NFA, 2006)
123.	Standards For Boundary Demarcation (NFA, 2005)
124.	A field guide for assessing and restoring growth and development in degraded natural forests in Uganda (NFA, 2007)
125.	Guidelines For Environmental Impact Assessment of Forestry Developments (NFA, 2005)
126.	Guideline for land allocation in Central Forest Reserves (NFA, 2005)
127.	A Field Guide to Exploratory Inventory in Uganda's Tropical Moist Forests in Central Forest Reserves (NFA, 2008)
128.	Designing a licencing system for grazing domestic animals in Central Forest Reserves (NFA, 2005)
129.	Exploratory inventory and integrated stock-survey and management inventory (contained in the report on the Management of Tropical Moist Forests in Uganda, Denis Alder, NFA 2005)
130.	Guidelines for felling trees in built-up areas (NFA, 2003)
131.	Logging in Natural Forests: Supervisor's Toolkit (NFA, 2005)
132.	Plantation development guidelines for Plantation Planning, management, costings, productivity and profitability (NFA, 2006)

133.	Guidelines for Collaborative Forest Management
134.	Guidelines for successful communication at the National Forestry Authority - NFA Guidelines and Standards No. 8 (NFA, 2005)
135.	Guidelines for valuing natural forestry resources in Uganda (NFA, 2006)
136.	Guidelines for valuing plantation forestry resources in Uganda (NFA, 2007)
137.	Guidelines for verification of legal sources of timber – the Case for Central Forest Reserves in Uganda (NFA, 2007)
138.	Tree Improvement for Timber Plantations in Uganda
139.	Threat reduction assessment (TRA): A field manual (NFA, 2008)
140.	Mechanism for collaboration between UWA and the Forestry Department (2003)
141.	Guidelines for the preparation of species action plans at the forest management unit level (David N.L. Hafashimana)
142.	Development of Forest Management Guidelines for Forest Certification and Labeling of Forest Products (NFA, 2003)
143.	Guidelines for Forest Engineering Practices in South Africa. Forest Engineering Working Group of South Africa (FESA) May 1999.
144.	FSC Guidelines for the Implementation of the right to free, prior and informed consent (FPIC). Version 1, 30 October 2012.



APPENDIX B

RARE THREATENED AND ENDANGERED SPECIES LISTED FOR UGANDA

The following websites provide information about Uganda's RT&E species:

www.iucnredlist.org (IUCN red lists)

www.panda.org

www.earthsendangered.com Uganda (this allows a search per country for species lists)

www.nationsencyclopedia.com (information per country)

www.animalinfo.org (information per country)

www.conservationoutdoors.org (species search per country)

www.nationalredlist.org (email info@nationalredlists.org)

Some of the species are listed in the table below, but complete lists can best be accessed via www.earthsendangered.com which will provide species lists per group.

Of concern is the fact that so many fish and amphibians are endangered due to poor management of water resources. This aspect must be emphasized during the FSC audits and water quality management specifically assessed.

	SCIENTIFIC NAME	COMMON NAME	STATUS
A.	FLORA		
1.	See above		
B.	FAUNA (MAMMALS)		
1.	<i>Dasymys montanus</i>	Montane Shaggy rat	Endangered and endemic to Uganda
2.	<i>Gorilla beringei</i>	Eastern Gorilla	Endangered. National park dedicated to gorilla conservation
3.	<i>Pan troglodytes</i>	Chimpanzee	Endangered. Kibale National park well known for primate conservation
C.	FAUNA (REPTILES & AMPHIBIANS)		
1.	<i>Hyperolius castaneus</i>	<i>Ahl's Reed Frog</i>	Endangered
2.	<i>Hyperolius frontalis</i>	<i>Bushoho Reed Frog</i>	Endangered
3.	<i>Hyperolius discodactylus</i>	<i>Disc-fingered Reed Frog</i>	Endangered
4.	<i>Leptopelis karissimbensis</i>	<i>Karissimbi Forest Treefrog</i>	Endangered
5.	<i>Afrivalus orophilus</i>	<i>Kivu Banana Frog</i>	Endangered
6.	<i>Leptopelis kivuensis</i>	<i>Kivu Tree Frog</i>	Endangered
7.	<i>Phrynobatrachus versicolor</i>	<i>Rwanda River Frog</i>	Endangered

	SCIENTIFIC NAME	COMMON NAME	STATUS
D.	FAUNA (BIRDS)		
1.	See above		
E.	FAUNA (FISH)		
1.	64 fresh water species		26 of the 64 fresh water species endangered are endemic to Uganda. Water pollution and over fishing are the main threats

APPENDIX C

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

Issue Nr	Issue

End of Standard