



SGS QUALIFOR
(Associated Documents)

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Approved by: **Gerrit Marais**

SGS QUALIFOR

FOREST MANAGEMENT CHECKLIST FOR PORTUGAL, BASED UPON THE FSC ENDORSED NATIONAL STANDARD FSC-STD-PRT-01-2012 (UNDATED)

2013

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

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

| PHYSICAL ADDRESS | | International | Local |
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| | | | SGS QUALIFOR 58 Melvill Road Booyens South Africa, |
| CONTACT | Person: | Gerrit Marais | Cristina Pereira |
| | Telephone: | +27 (0)11 681 2500 | +351 217 104 334 |
| | Email : | forestry@sgs.com | cristina.pereira@sgs.com |
| | Web address: | WWW.SGS.COM/FORESTRY | www.pt.sgs.com |

CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD

| Section | Change | Date |
|---------|--|------|
| | Based on the FSC Endorsed National Standard for Portugal | |



LAYOUT OF THE STANDARD:

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

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

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| The Requirement: Indicator | This outlines the norm or indicators that 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. |
| Verifiers | Verifiers are examples of what the SGS assessor will look for to ascertain if the specific norm or indicator has been met. This list is not exhaustive and the assessor may use other means of verifying the relevant indicator. |
| Guidance | Guidance is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator. |

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| PRINCIPLE 1. COMMUNITY RELATIONS AND WORKER'S RIGHTS: | |
| Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities. | |
| Criterion 4.1: The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services | |
| Indicator 4.1.6 | Verifiers & Guidance: |
| 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 | <i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i> |
| SLIMF: | Employment policies and procedures. |
| Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security | Interviews with Forest Managers, workers and Labor Union representatives. |
| | SLIMF: |
| | Interviews with workers and contractors |

The year of the evaluation

The Indicator

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

The verifier

A Guideline (Italics)

The FSC Principle

The FSC Criterion

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

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| Indicator 1.1.1 | Verifiers & Guidance: |
| The forest management organization shall demonstrate awareness of applicable legal requirements. | Forest Management Plan and/or associated documentation (e.g. procedures); Records; Interviews with forest management agents. |
| Indicator 1.1.2 | Verifiers & Guidance: |
| The forest management organization shall demonstrate complete compliance with applicable legal and administrative requirements. | Forest Management Plan and/or associated documentation (e.g. procedures); Records (e.g. obligatory "template 1360", contract with service providers in case of outsourced Health and Safety Services, qualification of the organization's Health and Safety Officer, Annual Safety Report, Labour insurance policy, felling declarations); Interviews with forest management agents; Field inspections; Stakeholder consultation (including regulatory authorities). |
| Indicator 1.1.3 | |
| If any non-compliances with legal or regulatory requirements have been identified by the enterprise or by third parties in the previous five years, they shall have been documented by the enterprise, were promptly corrected, and effective action has been taken according to applicable legislations to prevent their recurrence. | Records; Field inspections; Stakeholder consultation (including regulatory authorities). |
| Indicator 1.1.4 | Verifiers & Guidance: |
| All personnel, including contractors, shall demonstrate a working knowledge of relevant codes of practice, operational guidelines and other accepted norms or agreements relevant to their responsibilities. Applicability Note: <i>Applicable only to Non SLIMF organizations</i> | |

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| Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid. | |
| Indicator 1.2.1 | Verifiers & Guidance: |
| The forest management organization shall demonstrate that all applicable legal charges have been identified and paid. | Records (e.g. identification or payment records); Interviews with forest management agents; Stakeholder consultation (including regulatory authorities). |
| Indicator 1.2.2 | Verifiers & Guidance: |
| If there are pending payments, the forest management organization shall have an agreement with the competent authority to deliver them over a certain period of time. | Records (e.g. records of payment); Stakeholder consultation (including regulatory authorities). |
| Criterion 1.3 In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected. | |
| Indicator 1.3.1 | Verifiers & Guidance: |
| The forest management organization shall be aware of, and comply with, the requirements of all binding international agreements to which Portugal is a signatory, even if they have not yet been transposed to national law. <i>Interpretation note: The seven conventions designated by the ILO as key conventions, Conventions n.º 87, 98, 29, 105, 100, 101 and 138, were all ratified by Portugal and are all transposed into National Law. International agreements that have been transposed to national law are complied with through 1.1.</i> | Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Stakeholder consultation (including regulatory authorities). |
| Indicator 1.3.2 | Verifiers & Guidance: |
| The forest management enterprise shall have a list of all locally occurring species that are listed by CITES. <i>Applicability Note:</i> Applicable only to Non SLIMF organizations | |
| 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: |
| The forest management organization shall identify and justify any conflicts between laws, regulations and the FSC Principles and Criteria, and bring them to the attention of the Certification Body. <i>Note: In case conflicts have been identified, the Certification Body shall evaluate the conflict, involving the forest management organization, regulatory authorities and other interested stakeholders.</i> | Records; Interviews with forest management agents; Stakeholder consultation. |

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| <p>Indicator 1.4.2</p> <p>The enterprise shall document the results of any such attempt to resolve the conflict, including written evidence of any government, certification body or FSC National Office formal interpretations, approvals, designations, authorizations, exceptions/ exemptions from requirements, which might allow the conflict to be resolved.</p> | <p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and stakeholders. Evidence of distribution of policy to stakeholders.</p> |
| <p>Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p> | |
| <p>Indicator 1.5.1</p> <p>The forest management organization shall implement a system to prevent and monitor illegal or unauthorized activities. <i>Note: See also indicator 6.2.5</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. monitoring records); Field inspections (with no evidence of illegal or unauthorised activities); Interviews with forest management agents; Stakeholder consultation.</p> |
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| <p>Indicator 1.5.2</p> <p>The enterprise shall maintain a record of all detected instances of illegal harvesting and other unauthorized activities within its management area, and of any subsequent actions taken to control the illegal activity.</p> | <p>Verifiers & Guidance:</p> |
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| <p>Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</p> | |
| <p>Indicator 1.6.1</p> <p>The enterprise shall have a publicly available policy endorsed by the Top Management explicitly stating a long-term commitment to forest management practices consistent with the <i>FSC Principles and Criteria for Forest Stewardship</i>.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (Management Policy); Records (e.g. of communication).</p> |
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| <p>Indicator 1.6.2</p> <p>The forest manager shall disclose information on all forest areas over which (s) he has some degree of management responsibility (see FSC policy on Partial Certification), and there is no substantive evidence that the management of this land conflicts with FSC-POL-01-004 Part I (1) Applicability Note: <i>Applicable only to Non SLIMF organizations</i></p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. list of forest areas).</p> |
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| <p>Indicator 1.6.3</p> <p>The forest management organization shall not implement activities that are in direct conflict with FSC Principles and Criteria in forest areas that are under its control but not included</p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. list of forest areas). Field inspections.</p> |

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| within the certification scope. | |
| PRINCIPLE 2. TENURE AND 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: |
| The forest management organization shall be legally registered and declare its name and legal status to the Certification Body. | Records (identification records such as National Identity Card number, Taxpayer number, Company identification number, Commercial registry certificate (duly updated), Constitutional documents, etc). |
| Indicator 2.1.2 | Verifiers & Guidance: |
| The forest management organization shall demonstrate its long-term use rights to the resources it uses. <i>Note: See also indicator 1.6.1</i> | Records (ex. real estate registry, lease agreements, land use agreements, free of charge loan of use, maps, etc.). |
| Indicator 2.1.3 | Verifiers & Guidance: |
| The forest management organization shall maintain, and make available to the Certification Body, an up-to-date record of any changes made to tenure and/ or use rights. | Records (e.g. communication records, recognition of heirs, real estate registry, lease agreements, etc). |
| 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: |
| The forest management organization shall identify and document the legal or customary tenure or use rights of local communities regarding the area within the certification scope. <i>Interpretation note: See also indicator 4.4.1</i> | Records (e.g. records of identification of local communities or of identification of legal or customary tenure or use rights, maps); Stakeholder consultation. |
| Indicator 2.2.2 | Verifiers & Guidance: |
| The forest management organization shall show that the legal or customary tenure or use rights of local communities were respected in the planning and execution of its forest management activities. | Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Stakeholder consultation (including local communities). |
| Indicator 2.2.3 | Verifiers & Guidance: |
| Where forest operations occur on lands on which local communities have legal or customary tenure or use rights, the organization shall demonstrate that the communities in | |

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| <p>question have EITHER:</p> <p>Maintained clear and direct control over forest operations to the extent necessary to protect their rights or resources;</p> <p>OR: have delegated such control with free and informed consent to other agencies or the organization</p> | |
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| <p>Criterion 2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified</p> | |
| <p>Indicator 2.3.1</p> <p>The forest management organization shall define and implement appropriate mechanisms to identify and resolve disputes over tenure claims and use rights, including regular contacts with locally recognized community representatives and follow legal procedures for dispute resolution, if necessary.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation;</p> <p>Records;</p> <p>Interviews with forest management agents;</p> <p>Stakeholder consultation.</p> |
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| <p>Indicator 2.3.2</p> <p>If there is evidence of unresolved disputes of substantial magnitude involving a significant number of interests regarding tenure and use rights, these will normally disqualify an operation from being certified.</p> | <p>Verifiers & Guidance:</p> <p>Interviews with forest management agents;</p> <p>Stakeholder consultation.</p> |
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| <p>Indicator 2.3.3</p> <p>Dispute resolution procedures shall make provision for the requirement that where tenure or use rights of communities may be compromised, forest operations that are or may be the direct cause of the dispute shall not be initiated or shall be suspended until the dispute has been resolved.</p> <p><i>Applicability Note: Applicable only to Non SLIMF organizations</i></p> | <p>Verifiers & Guidance:</p> |
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| PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS: | |
| The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected. NOT APPLICABLE TO PORTUGAL | |
| 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. |
| Criterion 3.2 | Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples |
| Criterion 3.3 | Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers. |
| 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. |
| 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: |
| Workers from local communities shall be given equal access to employment, outsourced work and other economic activities. | Records (e.g. outsourcing criteria; employment criteria; evidence of employment of local workers or local subcontractors, job advertisements in local newspapers); Interviews with forest management agents; Stakeholder consultation (including local communities/ agents). |
| Indicator 4.1.2 | Verifiers & Guidance: |
| Employment contracts and outsourcing agreements shall be established through mechanisms based on clear, and preferably documented, criteria. | Forest Management Plan and/or associated documentation (e.g. employment procedures); Records; Interviews with forest management agents; Stakeholder consultation (including local subcontractors). |
| Indicator 4.1.3 | Verifiers & Guidance: |
| The results of employment and outsourcing processes shall be available at the request of all candidates, within the rules of commercial confidentiality. | Records (evidence of communication, etc.); Interviews with forest management agents; Stakeholder consultation (including local subcontractors). |
| Indicator 4.1.4 | Verifiers & Guidance: |
| The forest management organization shall show what attempts it has made to provide support services to local communities, namely those related with training, sports, leisure or cultural activities. | Records (agreements, letters, donations, training sessions, etc.); Interviews with forest management agents; Stakeholder consultation (including local communities). |

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| SLIMF applicability note: This indicator is not applicable to SLIMF. | |
| Criterion 4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families | |
| Indicator 4.2.1 | Verifiers & Guidance: |
| The forest management organization shall organize its Health and Safety Services in compliance with national legislation. | Records (e.g. obligatory "template 1360", contract with service providers in case of subcontracting of Health and Safety Services, qualification of the organization's Health and Safety Officer, Annual Safety Report); Interviews with forest management agents; Stakeholder consultation (including regulatory authorities). |
| Indicator 4.2.2 | Verifiers & Guidance: |
| All workers, be they employees of the forest management organization or of its subcontractors, shall be provided with Health, Hygiene and Safety training relevant to their occupation. | Records (e.g. training records, obligatory "Professional Aptitude Record"); Interviews with forest management agents; |
| Indicator 4.2.3 | Verifiers & Guidance: |
| All tools, machinery, equipment and substances shall be in safe working condition. | Forest Management Plan and/or associated documentation (e.g. operational procedures, Machinery Directive); Records (e.g. maintenance records); Field inspections. |
| Indicator 4.2.4 | Verifiers & Guidance: |
| The forest management organization shall ensure that Personal Protective Equipment is used correctly by all workers, be they employees of the forest management organization or of its subcontractors. | Records (e.g. list of Personal Protective Equipment necessary for each job, records of noncompliance); Field inspections; Interviews with forest management agents. |
| Indicator 4.2.5 | Verifiers & Guidance: |
| All necessary tools, machines, substances and equipment, including appropriate PPE, are available at the worksite and are in safe and serviceable condition | Records (e.g. list of Personal Protective Equipment necessary for each job, records of noncompliance); Field observations; Interviews with forest management agents. |
| Indicator 4.2.6 | Verifiers & Guidance: |
| The forest management organization shall evaluate work related accidents that occurred in the Forest Management Unit (involving employees of the forest management organization or of its subcontractors), in order to identify their causes and any appropriate corrective actions that should be taken. | Records (e.g. accident records, Workplace Accident Report, etc.); Interviews with forest management agents; Field inspections (e.g. implementation of preventive measures). |

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| Indicator 4.2.7 | Verifiers & Guidance: |
| The forest management organization shall promote compliance of welfare and labour legal requirements, for all workers operating in the Forest Management Unit. | Records (evidence of compliance such as outsourcing contracts, requirements for subcontractors, social security reports); Interviews with forest management agents (including subcontractors). |
| 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). | |
| Indicator 4.3.1 | Verifiers & Guidance: |
| The forest management organization freely allows workers to form or join trade unions, in compliance with Conventions 87 and 98. | Interviews with forest management agents. |
| Indicator 4.3.2 | |
| 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 | Verifiers & Guidance: Interviews with Forest Managers, workers and labour union representatives |
| Indicator 4.3.3 | |
| The forest management organization shall inform and consult workers prior to decision making, when decisions directly affect their working terms and conditions and/or welfare rights. | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. minutes of meetings); Interviews with forest management agents. |
| 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. | |
| Indicator 4.4.1 | Verifiers & Guidance: |
| The forest management organization shall maintain a list of people and groups that are directly affected by their forest management activities. <i>Note: See also indicator 2.2.1</i> | Records (e.g. list of people and groups); Interviews with forest management agents; Stakeholder consultation. |
| Indicator 4.4.2 | |
| The forest management organization shall define, document and implement a system for previously identifying and evaluating the potential social impacts of forest activities carried out in the Forest Management Unit. | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Interviews with forest management agents; Stakeholder consultation. |
| Indicator 4.4.3 | |
| The forest management organization shall regularly consult people and groups that are directly affected by their forest management activities, on the social impacts of forest | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Consultation records (e.g. minutes of meetings); |

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| <p>activities carried out in the Forest Management Unit.</p> <p><i>Interpretation note: If the forest management organization does not have adequate knowledge, it can involve specialists, non-governmental organizations and regulatory authorities.</i></p> | <p>Interviews with forest management agents; Stakeholder consultation (including the people and groups identified).</p> |
| <p>Indicator 4.4.4</p> <p>The forest management organization shall demonstrate how the results of the evaluation of social impacts of forest operations are considered in planning and management decisions.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. social impact evaluation reports, minutes of meetings).</p> |
| <p>Indicator 4.4.5</p> <p>In case of significant impacts, the forest management organization shall define and implement mitigating measures.</p> | <p>Verifiers & Guidance: Records; Stakeholder consultation (including the people and groups identified).</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</p> <p>The forest management organization shall define and implement a mechanism for resolving grievances which includes:</p> <ul style="list-style-type: none"> • An evaluation of the cause of the grievance and of eventual losses or damages occurred; and • The definition of measures to avoid their recurrence. | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Stakeholder consultation.</p> |
| <p>Indicator 4.5.2</p> <p>In the case of losses or damages affecting local communities, the grievance resolution shall enable fair compensation.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Stakeholder consultation.</p> |
| <p>Indicator 4.5.3</p> <p>In the event of any unresolved dispute, the enterprise shall show that it has followed (or is following) its dispute resolution process in a honest, correct and loyal. effort to resolve the dispute.</p> <p>Applicability Note: Applicable only to Non SLIMF organizations</p> | <p>Verifiers & Guidance:</p> |

| PRINCIPLE 5. BENEFITS FROM THE FOREST: | |
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| Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits. | |
| Criterion 5.1 | Forest management should strive towards economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest |
| Indicator 5.1.1 | Verifiers & Guidance: |
| The forest management organization shall have an annual budget that shows expected costs, investments and revenues. | Forest Management Plan and/or associated documentation; Records (e.g. budgets, budget revision). |
| Indicator 5.1.2 | Verifiers & Guidance: |
| The budget shall be based on credible projections of yield and value of the products or services | Records (e.g. expenses, income, sales, inventory, sources of information) |
| Indicator 5.1.3 | Verifiers & Guidance: |
| The planning, and corresponding budgeting, of forest operations shall: <ul style="list-style-type: none"> • Consider the environmental, social and economic impact of the operations proposed; and • Ensure the investment necessary to maintain the ecological and productive value of the Forest Management Unit. | Forest Management Plan and/or associated documentation; Records (e.g. budget, social and environmental costs). |
| Indicator 5.1.4 | Verifiers & Guidance: |
| There shall be a financial plan which estimates the cost and expected revenue from implementing the forest management plan (including social and environmental commitments) over at least the following five-year period. <i>Applicability Note: Applicable only to Non SLIMF organizations</i> | |
| 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 | Verifiers & Guidance: |
| The forest management organization shall evaluate the actual and potential use of the multiple products of the Forest Management Unit (e.g. wood, game, cork, resin, mushrooms, grazing). <i>Note: See also indicator 5.4.1</i> | Forest Management Plan and/or associated documentation; Records; Field inspections. |
| Indicator 5.2.2 | Verifiers & Guidance: |
| The forest management organization shall evaluate the possibility of processing and selling | Records (e.g. of local dissemination of processing/ sales information); |

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| its forest products, including non timber forest products and slash, to local entities. | Interviews with forest management agents; Stakeholder consultation. |
| Criterion 5.3 Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources. | |
| Indicator 5.3.1 The forest management organization shall plan and execute harvesting and 'in situ' processing operations efficiently, so as to avoid, among other aspects: <ul style="list-style-type: none"> • Wasting wood; • Breaking logs; • Degradation of wood and other forest products; • Damage to forest resources; and • whole tree harvesting. | Verifiers & Guidance: Forest Management Plan and/or associated documentation (e.g. operational procedures; good practice codes, manuals or guides); Interviews with forest management agents; Field inspections. |
| Indicator 5.3.2 Harvesting Adjacent areas shall not be damaged due to careless access or to forest operations. | Verifiers & Guidance: Field inspections. |
| Indicator 5.3.3 Harvesting should be carried out during appropriate times of the year, in order to maximize harvesting effectiveness. | Verifiers & Guidance: Interviews with forest management agents; Field inspections. |
| Criterion 5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product. | |
| Indicator 5.4.1 The forest management organization shall seek the best available information on: <ul style="list-style-type: none"> • the diversity of potential forest products and services, including 'lesser known' timber species, non timber forest products and opportunities for forest recreation/leisure; and • the role of these products and services in the local economy. And incorporated these within the forest management planning process. <i>Note: See also criterion 5.2</i> | Verifiers & Guidance: Records (e.g. scientific publications/ reports); Interviews with forest management agents; Stakeholder consultation. |
| Indicator 5.4.2 The forest management organization shall examine the possibility of diversifying the products and services it offers, considering the previous indicator. <i>Note: See also Indicator 5.2.1</i> | Verifiers & Guidance: Records (e.g. evaluation reports, minutes of meetings); Interviews with forest management agents. |

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| <p>Indicator 5.4.3</p> <p>SLIMF applicability note: only the following indicator applies</p> <p>The forest management organization shall examine the possibility of diversifying the products and services it offers, considering the diversity of potential forest products and services and their contribution to the local economy.</p> | <p>Verifiers & Guidance:</p> <p>Interviews with forest management agents.</p> |
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| <p>Indicator 5.4.4</p> <p>With previous authorization, the enterprise shall allow local people to have access to the forest, and to harvest forest products for their own use, where this does not interfere with the social, financial or ecological objectives of management.</p> | <p>Verifiers & Guidance:</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</p> <p>The forest management organization shall have information on forest resources and services in the Forest Management Unit.</p> <p><i>Interpretation Note: It may be necessary to compile information on the FMU and the surrounding area, in case resources and services in the former are influenced, or influence, for instance:</i></p> <ul style="list-style-type: none"> • The use of permanent watercourses; • Commercial or sport fishing activities; • Landscape quality issues; • Soil conservation; • Recreation and leisure activities; • Hunting and shooting; • Natural and patrimonial values | <p>Verifiers & Guidance:</p> <p>Records;</p> <p>Interviews with forest management agents;</p> <p>Stakeholder consultation.</p> |
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| <p>Indicator 5.5.2</p> <p>The forest management organization shall identify the values of the forest resources and services that are presumably present in the Forest Management Unit.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation;</p> <p>Records (maps, etc);</p> <p>Interviews with forest management agents.</p> |
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| <p>Indicator 5.5.3</p> <p>The forest management organization shall maintain or enhance the values mentioned in the previous indicator.</p> <p><i>SLIMF applicability note: This indicator does not apply to SLIMF</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation;</p> <p>Records (maps, etc);</p> <p>Interviews with forest management agents.</p> |

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| Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained. | |
| Indicator 5.6.1 | Verifiers & Guidance: |
| The forest management organization shall set yield estimates for the various products in the Forest Management Unit, based on the most adequate and up-to-date information. | Forest Management Plan and/or associated documentation; Records (e.g. scientific publications, records of past harvests, technical reports, inventory results); Interviews with forest management agents. |
| Indicator 5.6.2 | Verifiers & Guidance: |
| The planned and actual extraction rate of the forest resource (Including NTFPs) shall not jeopardize the forest's productive potential or potential to maintain its environmental or social services in the medium to long term. | Forest Management Plan and/or associated documentation; Records (e.g. scientific publications, inventory results, growth and yield models); Interviews with forest management agents. |
| Indicator 5.6.3 | Verifiers & Guidance: |
| The enterprise shall keep clear, accurate and up-to-date records of harvested volumes of their own commercial timber species, and of their own commercial harvest of any non-timber forest products, taking in account the commercial method of the forest products. Interpretation Note: In Portugal, some forest products (e.g pine cones, forest fruit (<i>Arbustus unedo</i> , etc.) might be commercialized based on estimated yield/quantities. Some species have very prescriptive legal requirements (e.g. cork). <i>SLIMF applicability note: This indicator does not apply to SLIMF.</i> | Forest Management Plan and/or associated documentation; Records (e.g. scientific publications, records of past harvests, technical reports, inventory results); Interviews with forest management agents. |
| PRINCIPLE 6. ENVIRONMENTAL IMPACT: | |
| Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest. | |
| Criterion 6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations. | |
| Indicator 6.1.1 a | Verifiers & Guidance: |
| The forest management organization shall determine, document and implement a system for identifying and assessing the potential environmental impacts of all the activities carried out in the Forest Management Unit. <i>Note 1: An environmental impact assessment is a management procedure that is applied to identify, organize, interpret and communicate relevant information to decision-making. This procedure can be followed to perform informal assessments of</i> | Forest Management Plan and/or associated documentation; Interviews with forest management agents; Stakeholder consultation. |

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| <p><i>activities such as forest planning or harvesting. The ultimate aim of such an assessment is to minimize negative impacts, ensure conservation of important elements and enhance positive aspects of the activity.</i></p> <p><i>Note 2: The environmental impact assessment shall be performed prior to commencement of ecologically-disturbing operations, in a manner that is appropriate to the scale of the operations and vulnerability of the site.</i></p> | |
| <p>Indicator 6.1.1 b</p> <p>SLIMF applicability note: the above indicator does not apply to SLIMF:</p> <p>The forest management organization shall determine and assess the potential environmental impacts of the forest management activities carried out in the Forest Management Unit.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Interviews with forest management agents; Stakeholder consultation.</p> |
| <p>Indicator 6.1.2</p> <p>Environmental impact assessment at the landscape level shall consider aspects related to landscape planning, visual impacts and cumulative impacts of forest operations in the Forest Management Unit and adjacent areas.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Interviews with forest management agents; Stakeholder consultation.</p> |
| <p>Indicator 6.1.3</p> <p>Environmental impact assessment at the local level shall consider impacts on soil, water, habitats, flora and fauna.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. pre-evaluations, decisions); Interviews with forest management agents; Field inspections.</p> |
| <p>Indicator 6.1.4</p> <p>The forest management organization shall establish and implement a strategy for managing significant environmental impacts, based on the principles of Precaution and Prevention, as well as on mitigation and correction measures.</p> | <p>Verifiers & Guidance:</p> <p>Records; Interviews with forest management agents; Field inspections, including of on-going operations.</p> |
| <p>Indicator 6.1.5</p> <p>The above-mentioned strategy shall include the assessment of impacts caused by past forestry operations and, whenever justified, their correction.</p> | <p>Verifiers & Guidance:</p> <p>Records; Interviews with forest management agents; Field inspections, including of on-going operations.</p> |
| <p>Indicator 6.1.6</p> <p>The assessments of environmental impact referred to in Indicators 6.1.1 (a) - (b) and 6.1.2 above shall be completed prior to commencement of site disturbing activities and</p> | <p>Verifiers & Guidance:</p> |

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| <p>include potential impacts relating to the extraction of forest products (e.g. the choice of equipment, impact of the transport network, , etc), both within FMU and adjacent areas. <i>Applicability Note: Not applicable to SLIMF</i></p> | |
| <p>Indicator 6.1.7</p> <p>The assessments of impacts referred to in Indicators 6.1.1 (a) - (b) and 6.1.2 above shall explicitly consider potential impacts on any High Conservation Values identified within the FMU. <i>Applicability Note: Not applicable to SLIMF</i></p> | <p>Verifiers & Guidance:</p> |
| <p>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.</p> | |
| <p>Indicator 6.2.1</p> <p>The forest management organization shall assess, based on the best available information, the likely presence of threatened species and their habitats (e.g. nesting, shelter and feeding areas) in the Forest Management Unit.</p> <p><i>Note 1: Protected species are covered by legal Conservation instruments applicable to our country (Habitats Directive, Bird Directive, Bern, Bonn and CITES conventions). Their identification should consider, among others, the Natura 2000 Sectoral Plan and the National report on implementation of the Habitats Directive. The identification of threatened species shall consider, but not limit itself to, the 3 IUCN categories of conservation status: critically threatened, threatened and vulnerable, established for Portugal in the Red List of Threatened species for Portugal. Portuguese and Iberian endemisms shall also be considered.</i></p> <p><i>Note 2: If the forest management organization does not have enough knowledge concerning the subject, it can involve specialists, non-governmental organizations and regulatory authorities.</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. evaluation records such as species lists and maps); Stakeholder consultation (including specialists).</p> |
| <p>Indicator 6.2.2</p> <p>The forest management organization shall designate conservation zones and protection areas and mark them on maps, in a manner appropriate to the scale and intensity of forest management and the uniqueness of the affected resources, whenever the best available information permits it.</p> <p><i>Interpretation note: Designation of conservation zones and protection areas is based on their potential to safeguard the species and/or habitats mentioned in 6.2.1.</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. maps); Stakeholder consultation (including specialists).</p> |
| <p>Indicator 6.2.3</p> | <p>Verifiers & Guidance:</p> |

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| <p>Conservation zones shall have been selected to maximize their contribution to the conservation of biodiversity in relation to their size (for example through the creation of conservation corridors, protected wetland areas and consolidation of natural areas). The size and location of conservation zones shall be sufficient overall to ensure the continuing presence of rare, threatened or endangered species as listed, to protect existing examples of ecosystems in their natural state (see Criterion 6.4) and are not less than 10% of the area of the FMU under assessment.</p> <p>Note: conservation zones are not necessarily forested land. They may include wetlands and open space, and may have dual purposes (e.g. they may be located partly on slopes susceptible to erosion, or in order to protect water sources). However, in all cases, the overall selection must be justified to maximize the conservation of biodiversity across the FMU.</p> <p>SLIMF applicability note: Applicable only to SLIMF of small dimension</p> <p>In the case of small dimension SLIMF, the area reserved for this purpose may be less than 10%, if properly justified on environmental, economic and social aspects.</p> | <p>Forest Management Plan and/or associated documentation; Records (e.g. implementation of measures); Field inspections.</p> |
| <p>Indicator 6.2.4</p> <p>At least 5% of the area of the FMU under assessment shall be managed so as to retain it as or restore it to the condition of natural ecosystem if appropriate to the locale of the FMU. This area shall be included in the identified conservation zones (see previous Indicator).</p> | <p>Verifiers & Guidance:</p> |
| <p>Indicator 6.2.5</p> <p>Whenever necessary, the forest management organization shall establish and implement management measures for threatened species and their habitats whose existence in the Forest Management Unit is proven or likely.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. implementation of measures); Field inspections; Stakeholder consultation (including specialists).</p> |
| <p>Indicator 6.2.6</p> <p>The forest management organization shall implement a system for controlling inadequate hunting, fishing, trapping and collecting of animals or plants which facilitates the operation of regulatory authorities.</p> <p><i>Note: See also indicator 1.5.1</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. implementation of control system, such as reports to competent authorities); Field inspections.</p> |
| <p>Indicator 6.2.7</p> <p>There shall be no evidence that the forest enterprise allows or condones illegal or unauthorised hunting, fishing, trapping or collecting within the FMU.</p> | <p>Verifiers & Guidance:</p> |

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| <p>Criterion 6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <ul style="list-style-type: none"> ▪ Forest regeneration and succession. ▪ Genetic, species and ecosystem diversity. ▪ Natural cycles that affect the productivity of the forest ecosystem. | |
| <p>Indicator 6.3.1</p> <p>The forest management organization shall adopt and implement silvicultural models appropriate to the forest ecology</p> <p><i>Interpretation note: It is considered that the concept of the natural cycle is included in the term 'ecology' of the forest area used in the indicator.</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Interviews with forest management agents.</p> |
| <p>Indicator 6.3.2</p> <p>Forest Regeneration and Succession:</p> <p>In natural (see Glossary) and other non-plantation forest areas managed for production the silvicultural system shall be designed to encourage and take advantage of natural regeneration, evidenced, for example by the identification and retention of seed trees, the timing of harvesting, design and size of harvest areas, and short and long term post-harvest treatment of the site.</p> | <p>Verifiers & Guidance:</p> |
| <p>Indicator 6.3.3</p> <p>Forest Regeneration and Succession:</p> <p>The ecological and technical justifications for management prescriptions shall be documented and based on existing data or studies of the ecology of the forest and resources in question.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents.</p> |
| <p>Indicator 6.3.4</p> <p>Specie and Eco-system diversity</p> <p>The forest management organization shall aim for a mixture of compartments differing in size, shape, vegetation layers, species and/or age, with the aim of maintaining or enhancing the ecological, cultural or visual value of the Forest Management Unit, in articulation with the other management objectives.</p> <p><i>SLIMF applicability note: not applicable to SLIMF.</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Field inspections.</p> |
| <p>Indicator 6.3.5</p> <p>Specie and Eco-system diversity</p> <p>The forest management organization shall, if possible, ensure the persistence of forest species through natural regeneration and, if not, provide the reason.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records; Interviews with forest management agents; Field inspections.</p> |
| <p>Indicator 6.3.6</p> | <p>Verifiers & Guidance:</p> |

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| <p>Natural Cycles: When natural regeneration is inappropriate, the forest management organization shall prefer regional landraces.</p> | <p>Forest Management Plan and/or associated documentation; Records (e.g. forestation plans); Field inspections.</p> |
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| <p>Indicator 6.3.7</p> <p>Natural Cycles: The forest management organization shall implement measures to conserve, improve or restore habitat diversity at various scales (e.g. streamside vegetation, rocky outcrops, swamps and heaths, old-growth trees, standing and fallen dead wood).</p> <p><i>Interpretation note: In the case of dead trees the danger of an outbreak of pests and diseases should be considered, to avoid putting the forest's health at risk.</i></p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. list of habitats that are present); Field inspections.</p> |
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| <p>Indicator 6.3.8</p> <p>Natural Cycles: In the Forest Management Unit, no artificial barriers shall be used which block the movement of wildlife, except in specific circumstances that justify their use (e.g. protection of natural regeneration, livestock enclosures, etc.).</p> <p><i>Note: The artificial barriers mentioned in the indicator refer to extreme situations of fencing types.</i></p> | <p>Verifiers & Guidance: Interviews with forest management agents; Field inspections.</p> |
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| <p>Indicator 6.3.9</p> <p>Site preparation and harvesting methods shall have been designed to minimize soil erosion and compaction and maximizes the retention of nutrients on site.</p> | <p>Verifiers & Guidance:</p> |
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| <p>Indicator 6.3.10</p> <p>The forest management organization shall established a mosaic of land cover and/or vegetation between the management areas and the areas, which have high risk of fire or erosion</p> | <p>Verifiers & Guidance:</p> |
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| <p>Criterion 6.4 Representative samples of existing ecosystems within landscapes shall be protected in their natural state and recorded on maps, appropriate to the scale of operations and the uniqueness of the resource.</p> | |
| <p>Indicator 6.4.1</p> | <p>Verifiers & Guidance:</p> |
| <p>The forest management organization shall, in a manner appropriate to the scale and intensity of operations and the uniqueness of the affected resources, survey and map ecosystems that are present in their natural state in the Forest</p> | <p>Forest Management Plan and/or associated documentation; Records (e.g. list of ecosystems that are present, maps); Field inspections; Stakeholder consultation (including specialists).</p> |

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| <p>Management Unit.</p> <p><i>Interpretation note: The representative samples of the ecosystems mentioned in this indicator shall be selected considering their proximity to their natural state, based on the sources listed in indicator 6.2.1. and other land use planning instruments, such as Council Plans and Regional Forest Plans.</i></p> | |
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| <p>Indicator 6.4.2</p> <p>Management prescriptions shall be specified in the enterprise's forest management plan and other documents in order to protect the representative examples of ecosystems within conservation zones in their natural state and in the long term.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. record of accomplished activities, monitoring records); Field inspections.</p> |
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| <p>Indicator 6.4.3</p> <p>Note SLIMF applicability (the indicators above do not apply):</p> <p>If it is known that there are representative samples of ecosystems, it must be protected.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. list of identified ecosystems, mapping, etc.); Field inspections.</p> |
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| <p>Indicator 6.4.4</p> <p>The conservation zones and protection areas designated by the forest enterprise that cover at a minimum an equivalent of 10% of the FMU area (see Indicator 6.2.3) shall include representative areas of any examples of ecosystems in their natural state as identified in 6.4.1.</p> <p>SLIMF applicability note: Applicable only to SLIMF of small dimension</p> <p>In the case of small dimension SLIMF, the area reserved for this purpose may be less than 10%, if properly justified on environmental, economic and social aspects.</p> | <p>Verifiers & Guidance:</p> |
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| <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>The enterprise shall have written guidelines sufficient to:</p> <p>6.5.1.1 control erosion;</p> <p>6.5.1.2 minimize forest damage during harvesting, road construction, and other mechanic disturbances;</p> <p>6.5.1.3 protect water resources within the FMU and avoid negative impacts on the water outside the FMU.</p> | <p>Verifiers & Guidance:</p> |
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| <p>Indicator 6.5.2</p> | <p>Verifiers & Guidance:</p> |

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| <p>Implementation of the guidelines shall be clearly and consistently evidenced in site level management practices.</p> | |
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| <p>Indicator 6.5.3</p> <p>In the specific case of protection against erosion, road construction in narrow valleys, slip-prone or other unstable areas, natural drainage channels and streambanks is minimised.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. operational procedures);</p> <p>Field inspections;</p> <p>Interviews with forest management agents.</p> |
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| <p>Indicator 6.5.4</p> <p>In the specific case of protection of water resources:</p> <ul style="list-style-type: none"> • The number of stream crossings is minimised, • Roads are kept as far back from the stream as possible, • Stream crossings are established so as not to obstruct fish circulation nor destroy areas identified as natural habitats or other areas with well-preserved streamside vegetation. | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. operational procedures);</p> <p>Field inspections;</p> <p>Interviews with forest management agents.</p> |
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| <p>Indicator 6.5.5</p> <p>In the specific case of minimising damage during forest maintenance or harvesting operations:</p> <ul style="list-style-type: none"> • Conservation zones and protected areas shall be identified before commencing any forest operation; • The possibility of phasing out felling in space and time shall be considered, appropriate to the area and characteristics of the site; • Harvesting machinery shall not enter streams except at designated stream crossings; • Lop and top shall not be left in streams nor roads; • Extraction is stopped when soils are saturated. | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. operational procedures);</p> <p>Field inspections;</p> <p>Interviews with forest management agents.</p> |
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| <p>Indicator 6.5.6</p> <p>Forest workers are aware of the significant impacts of their activities, and the way these can be prevented or mitigated.</p> <p><i>Note: See also indicator 7.3.2</i></p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. training records);</p> <p>Field inspections;</p> <p>Interviews with forest management agents.</p> |
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| 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 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. |
| Indicator 6.6.1 The forest management organization shall establish and implement a strategy for pest and disease control which includes: <ul style="list-style-type: none"> • The reduction of pesticide use as a long-term aim; • The restriction of chemical methods to situations with no viable alternative, and always with a justification; • Procedures for transport, storage, handling, application of pesticides and emergency procedures for clean up following accidental spillages that: <ul style="list-style-type: none"> - Are in accordance with in ILO publications ‘Safety & Health in the Use of Agrochemicals: A Guide’, and ‘Safety in the Use of Chemicals at Work’ - Include the consideration of alternatives and justifications for their use as a viable option, in environmental, social or economic terms; and - Comply with instructions on product labels and safety data sheets. • When not indicated on the product label, work instructions that specify the applications allowed, application methods, appropriate concentrations or doses, and specific guidance for emergency situations; • Records of chemical use comprising the name of the product, location of the treated; method of application; total quantity used and date of application. | Verifiers & Guidance: Forest Management Plan and/or associated documentation (e.g. Integrated strategy for pest and disease control); Records (e.g. records of pesticide use); Interviews with forest management agents; Field inspections (including visits to chemical storage areas). |
| Indicator 6.6.2 The forest management organization shall have up to date list of FSC’s highly hazardous pesticides and cannot use chemicals that have been forbidden by FSC unless derogation has been approved by FSC, according to FSC-PRO-01-004 <i>Processing Pesticides Derogation</i>, before use. | Verifiers & Guidance: Records (derogation requests to FSC and subsequent permission, records of pesticide use); Interviews with forest management agents. |
| Indicator 6.6.3 The forest management organization shall ensure that all workers, including those of subcontractors, are provided with proper equipment and training. <i>Note: See also Indicator 7.3.2</i> | Verifiers & Guidance: Records (training plan, training records, records of PPE delivery to workers); Interviews with forest management agents (including workers); Field inspections. |

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| 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. | |
| Indicator 6.7.1 | Verifiers & Guidance: |
| The forest management organization shall establish a mechanism that ensures the collection, temporary storage and adequate disposal of chemicals, containers, liquid and solid non-organic wastes including fuel and oil, according to legislation applicable to the various types of waste. | Forest Management Plan and/or associated documentation (e.g. work instructions or procedures regarding waste management); Records (e.g. evidence of an adequate license for the waste management operator used, Waste Forms); Interviews with forest management agents; Field inspections. |
| Indicator 6.7.2 | Verifiers & Guidance: |
| There shall be no evidence that the enterprise's waste products are disposed of other than at the listed sites (as listed in Indicator 6.7.3), and in accordance with environmentally safe methods and applicable legal requirements. | Field inspections. |
| <i>Interpretation Note: The origin of any waste found shall be adequately confirmed.</i> | |
| Indicator 6.7.3 | Verifiers & Guidance: |
| The enterprise shall keep an up to date list identifying the off-site location(s) for the disposal of all its chemicals, containers, liquid and solid non-organic wastes (including fuel and oil). | |
| 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 shall be justified and documented, as part of the strategy mentioned in Indicator 6.6.1. | Forest Management Plan and/or associated documentation (e.g. Integrated pest and disease strategy) |
| Indicator 6.8.2 | Verifiers & Guidance: |
| When using biological control agents, the forest management organization shall be able to demonstrate that their use complies with good practices and that: | Forest Management Plan and/or associated documentation (e.g. Integrated pest and disease strategy); Records (e.g. records of the analysis of non-chemical alternatives and justification for use of the chemical, records of use of biological control agents); Interviews with forest management agents; Stakeholder consultation (including specialists). |
| <ul style="list-style-type: none"> • Alternative methods have been considered; • The resulting environmental impacts have been evaluated and minimized; and • Monitoring is carried out. | |
| Indicator 6.8.3 | Verifiers & Guidance: |
| The forest manager shall provide a written guarantee that no genetically modified | Records (e.g. lists of sources of biological material and suppliers); Interviews with forest management agents. |

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| <p>organisms (including trees and other organisms) are used or are present in the forestry operations of the enterprise, according to FSC-POL-01-004 V2.0 (Policy for the Association of organization with FSC), and there shall be no evidence of such use.</p> | |
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| <p>Criterion 6.9 The use of exotic species shall be controlled and actively monitored to avoid adverse ecological impacts</p> | |
| <p>Indicator 6.9.1</p> <p>The use of exotic species shall be appropriately justified, with respect to specific management objectives.</p> <p><i>Note: See indicator 7.1.11</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. records of the analysis of alternatives and justification for use); Stakeholder consultation (including specialists and regulatory authorities).</p> |
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| <p>Indicator 6.9.2</p> <p>The use of exotic species shall be monitored to identify potential adverse ecological impacts.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. monitoring plan); Records (e.g. monitoring records).</p> |
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| <p>Indicator 6.9.3</p> <p>In all cases, if an exotic species is newly introduced within the FMU, the enterprise shall have a documented strategy and procedures specifying that if evidence of invasiveness or other adverse ecological impacts is found, the enterprise shall take prompt and effective action to eliminate the species from the FMU and from all other sites in which it may regenerate.</p> <p><i>Interpretation Note:</i> National legislation (DL 565/99,21-12) prohibit the dissemination or release in the wild of non-native species for the establishment of wild populations. It is considered that in the Indicator 'newly introduced' refers to intentional actions of introduction.</p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. records of evaluation of adverse impacts; monitoring; complaints); Interviews with forest management agents; Stakeholder consultation; Field inspections.</p> |
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| <p>Indicator 6.9.4</p> <p>Exotic species shall not be newly introduced into the FMU or onto new sites within the FMU unless there is convincing evidence available that the species will not become invasive or have other adverse ecological impacts at the local level.</p> | <p>Verifiers & Guidance:</p> |
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| <p>Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <ul style="list-style-type: none"> a) entails a very limited portion of the forest management unit; and b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. | |
| <p>Indicator 6.10.1</p> <p>The forest management organization shall not convert natural forests to plantations or non-forest land uses.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. historical records of land use, planning of new buildings); Interviews with forest management agents; Stakeholder consultation; Field inspections.</p> |
| <p>Indicator 6.10.2</p> <p>The enterprise shall clearly identify any parts of the FMU that are scheduled for conversion from natural or semi-natural forest to plantation or non-forest use, over the next five year period.</p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. records of the analysis of alternatives and justification for choice; planning of new buildings; environmental impact assessment records); Interviews with forest management agents; Stakeholder consultation; Field inspections.</p> |
| <p>Indicator 6.10.3</p> <p>In case of conversion is scheduled, the following shall apply:</p> <ul style="list-style-type: none"> - Shall not include any High Conservation Value Forest areas (see Principle 9), <p>AND</p> <ul style="list-style-type: none"> - 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 FMU <p>AND</p> <ul style="list-style-type: none"> - Shall enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit, such as to restore the land securely and in the long term to a pre-existing "High Conversation Value" habitat. | <p>Verifiers & Guidance:</p> <p>Records; Interviews with forest management agents; Stakeholder consultation; Field inspections.</p> |
| <p>Indicator 6.10.4</p> <p>The enterprise shall have all necessary approvals for the conversion, in line with national requirements.</p> | <p>Verifiers & Guidance:</p> |

PRINCIPLE 7. MANAGEMENT PLAN:

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

Criterion 7.1 The management plan and supporting documents shall provide:

- a) Management objectives;
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;
- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.
- d) Rationale for rate of annual harvest and species selection;
- e) Provisions for monitoring of forest growth and dynamics;
- f) Environmental safeguards based on environmental assessments;
- g) Plans for the identification and protection of rare, threatened and endangered species;
- h) Maps describing the forest resource base including protected areas, planned management activities and land ownership;
- i) Description and justification of harvesting techniques and equipment to be used.

Indicator 7.1.1

The forest management organization shall have a Management Plan or a master document that describes and articulates the different elements of the Management System.

Interpretation Note: The Management Plan or master document shall cover all the requirements of this standard, but may refer to other documents instead.

Note: The Forest Management Plan and annual operational plans are documents based on adequate technical criteria, in compliance with environmental legislation and other legal requirements. The management plan concerns the planning of forest activities in the forest management unit as a whole, and the annual operational plan concerns the specific activities for the year in question.

Verifiers & Guidance:

Forest Management Plan and/or associated documentation.

Indicator 7.1.2

The Management Plan shall describe how the forest management organization approaches and intervenes in the area submitted to the certification process (Forest Management Unit).

Verifiers & Guidance:

Forest Management Plan and/or associated documentation.

Indicator 7.1.3

Management objectives shall be clearly set out for the entire Forest Management Unit, and specified at the intervention level.

Verifiers & Guidance:

Forest Management Plan and/or associated documentation.

Indicator 7.1.4**Verifiers & Guidance:**

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| <p>The Management Plan and/or associated documentation shall provide a description of land cover and land use.</p> | <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.5</p> <p>The Management Plan and/or associated documentation shall provide a description of relevant planning aspects (climate, geomorphology, geographical setting, hydrography and soils), appropriate to the scale and intensity of forest management.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.6</p> <p>The Management Plan and/or associated documentation shall show how the Forest Management Unit is conditioned by land planning and forest planning legal instruments.</p> <p><i>SLIMF applicability Note: Not applicable to SLIMF of small dimension</i></p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.7</p> <p>The Management Plan and/or associated documentation shall provide a description of ownership status and of resources being managed.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.8</p> <p>The Management Plan and/or associated documentation shall provide a description of socio-economic conditions, appropriate to the scale and intensity of forest management.</p> <p><i>SLIMF applicability Note: Not applicable to SLIMF of small dimension</i></p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.9</p> <p>The Management Plan and/or associated documentation shall provide a description of the land use and activities in adjacent lands with implications in the Forest Management Unit.</p> <p><i>SLIMF applicability Note: Not applicable to SLIMF</i></p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.10</p> <p>The Management Plan and/or associated documentation shall provide a description of silvicultural and/or other management systems applicable to the ecology of the Forest Management Unit, based on information gathered through resource inventories.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |

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| <p><i>SLIMF applicability Note:</i> For SLIMF areas, identification of models for forestry and / or other models of resource management do not need be based on inventory of resources.</p> | |
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| <p>Indicator 7.1.11</p> <p>The Management Plan and/or associated documentation shall provide a rationale for the rates of annual harvest and species selection.</p> <p><i>Note: See indicator 6.9.1</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. records of harvesting rates).</p> |
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| <p>Indicator 7.1.12</p> <p>The Management Plan and/or associated documentation shall describe the procedures for monitoring forest growth and regeneration, as well as the condition of the other resources in the certification scope.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.13</p> <p>The Management Plan and/or associated documentation shall specify the environmental limitations of the forest, as well as adequate corresponding management measures.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.14</p> <p>The Management Plan and/or associated documentation shall establish, document and implement measures for preventing and responding to forest fires.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.15</p> <p>The Management Plan and/or associated documentation shall include plans for the identification and protection of threatened species and/or their habitats, as well as representative samples of existing ecosystems.</p> <p><i>Interpretation Note: See also criteria. Criteria 6.2, 6.3, 6.4 and 9.3</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.1.16 a</p> <p>The forest management organization shall have maps describing, at a minimum:</p> <ul style="list-style-type: none"> • The forest resources; • The conservation zones and protected areas; • The operations planned for each area; and • Land ownership. | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. maps).</p> |
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| <p>or 7.1.16 b</p> | <p>Verifiers & Guidance:</p> |

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| <p>SLIMF applicability Note: The above indicator is not applicable to SLIMF</p> <p>The forest management organization shall have adequate maps describing, at a minimum:</p> <ul style="list-style-type: none"> • The forest resources; • The conservation zones and protected areas; and • Land ownership. | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. maps).</p> |
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| <p>Indicator 7.1.17</p> <p>The Management Plan and/or associated documentation shall include the description and justification of techniques and equipment to be used in harvesting the resources in the certification scope.</p> <p><i>SLIMF applicability Note: Not applicable to SLIMF</i></p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Criterion 7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic considerations.</p> | |
| <p>Indicator 7.2.1</p> <p>The forest management organization shall establish and document a mechanism for periodic review and revision of the Management Plan, for the next five years even if the revision does not alter the document.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 7.2.2</p> <p>Revisions of the Forest Management Plan shall include, at a minimum:</p> <ul style="list-style-type: none"> • Changes in environmental, social and economic conditions (e.g. fires, change of ownership, catastrophes); • Monitoring results; <p><i>Note: See criterion 8.4</i></p> <ul style="list-style-type: none"> • Relevant new scientific or technical information. | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. of the revision of the Forest Management Plan); Interviews with forest management agents.</p> |
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| <p>Criterion 7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan</p> | |
| <p>Indicator 7.3.1</p> <p>The forest management organization must give notice to employees about the Management Plan, especially about their objectives.</p> <p><i>Note: See also Criterion 10.1</i></p> | <p>Verifiers & Guidance: Records (e.g. records of training sessions); Interviews with forest management agents.</p> |
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| <p>Indicator 7.3.2</p> <p>The forest management organization shall</p> | <p>Verifiers & Guidance: Records (e.g. identification of training needs, training plan,</p> |

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| ensure that all workers, including those of subcontractors, understand the tasks they are responsible for and have received adequate training. | records of training sessions, training certificates, outsourcing contracts); Interviews with forest management agents. |
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| Indicator 7.3.3 There shall be accurate and up-to-date records showing training and education records of all employees. | Verifiers & Guidance: |
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| Indicator 7.3.4 The forest management organization shall supervise workers, including those of subcontractors, to ensure the Management Plan is correctly executed. | Verifiers & Guidance: Interviews with forest management agents. |
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| 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. | |
| Indicator 7.4.1 There shall be a publicly available document which provides a summary of the enterprise's: <ul style="list-style-type: none"> 7.4.1.1 Management objectives; 7.4.1.2 Forest resources (including their environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands); 7.4.1.3 Silvicultural and/or other management system; 7.4.1.4 Rationale for rate of annual harvest and species selection; 7.4.1.5 Provisions for monitoring of forest growth and dynamics; 7.4.1.6 Environmental safeguards based on environmental assessments; 7.4.1.7 Plans for the identification and protection of rare, threatened and endangered species; 7.4.1.8 Justification of harvesting techniques and equipment to be used. | Verifiers & Guidance: Forest Management Plan Summary. |
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| Indicator 7.4.2 The forest management organization shall make the management plan summary available, on request. | Verifiers & Guidance: Records (e.g. requests, publicizing material). |
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| Indicator 7.4.3 The document shall include maps describing the forest resource base and including protected areas, planned management activities and land ownership. <i>Interpretation Note: The confidentiality as well as</i> | Verifiers & Guidance: |

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| <i>some sensitive information (like the location of endangered species nests) should not be publicly available.</i> | |
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| <p>PRINCIPLE 8. MONITORING AND ASSESSMENT:</p> <p>Monitoring shall be conducted - appropriate to the scale and intensity of forest management - to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.</p> | |
| <p>Criterion 8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</p> | |
| <p>Indicator 8.1.1</p> <p>All The forest management organization shall establish and document a monitoring plan which assesses:</p> <ul style="list-style-type: none"> • The degree to which management objectives have been achieved; • The deviations from planned forest management activities; and • The environmental and social impacts of forest management activities. | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. operational plans, records of deviations, and assessments of environmental and social impacts, communication records, and minutes).</p> |
| <p>Indicator 8.1.2</p> <p>The monitoring mechanism mentioned in indicator 8.1.1 shall be appropriate to the scale and intensity of forest management operations as well as the relative complexity and fragility of the area included in the certification scope.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
| <p>Indicator 8.1.3</p> <p>Monitoring procedures shall be consistent and replicable over time to allow comparison of results and assessment of change.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation; Records (e.g. operational plans, records of deviations, and assessments of environmental and social impacts, communication records, and minutes).</p> |
| <p>Indicator 8.1.4</p> <p>Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties</p> | <p>Verifiers & Guidance:</p> <p>Monitoring records, reports and archival system. Internal audit records CAR records</p> |
| <p>Indicator 8.1.5</p> <p>Corrective actions identified through the monitoring process are appropriately implemented and closed out</p> | <p>Verifiers & Guidance:</p> <p>Corrective action documentation</p> |
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| 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 | <p>Verifiers & Guidance:</p> <p>Records (e.g. operational plans, monitoring of operational plans, field inspections, accounting, inventory, records of production and sales, communication records).</p> |
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| Indicator 8.2.2 | <p>Verifiers & Guidance:</p> <p>Records (e.g. monitoring records such as inventory, field inspections).</p> |
| <p>The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at a minimum:</p> <ul style="list-style-type: none"> • The rates of forest growth and regeneration, as well as the condition of the other resources in the certification scope; and • The condition of the forest (e.g. presence of pests, diseases or invasive species, nutrient deficiencies, fire risk). <p>SLIMF applicability Note: For SLIMF areas, it is not necessary to estimate growth rates.</p> | |
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| Indicator 8.2.3 | <p>Verifiers & Guidance:</p> |
| <p>The monitoring of pests and diseases shall be integrated into the enterprise's Integrated Pest Management (IPM) strategy.</p> | |
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| Indicator 8.2.4 | <p>Verifiers & Guidance:</p> <p>Records (e.g. operational plans, monitoring of operational plans, inventory, field inspections).</p> |
| <p>The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at least, environmental impacts (e.g. soil compaction/ erosion, water quality, changes in stream flow, illegal waste dumping, and construction of new infrastructures).</p> | |
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| Indicator 8.2.5 | <p>Verifiers & Guidance:</p> <p>Records (e.g. operational plans, monitoring of operational plans, inventory, field inspections).</p> |
| <p>The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at least, the condition of flora and fauna populations that occur in the Forest Management Unit.</p> <p><i>SLIMF applicability Note: Not applicable to SLIMF</i></p> | |
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| Indicator 8.2.6 | Verifiers & Guidance: |
| The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at least, the condition of conservation zones and protected areas. | Records (e.g. operational plans, monitoring of operational plans, inventory, field inspections). |
| Indicator 8.2.7 | Verifiers & Guidance: |
| The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at least, social impacts (relations with workers and local communities, work-related accidents). | Records (e.g. operational plans, monitoring of operational plans, field inspections, inventory, field inspections, communication records). |
| Indicator 8.2.8 | Verifiers & Guidance: |
| The monitoring mechanism (see Indicator 8.1.1) shall include the research and data collection needed to monitor, at least, the performance of subcontractors. | Records (e.g. field inspections, communication records). |
| 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: |
| The forest management organization shall have documentation describing the process for selling products, including the sales procedure, and an indication of who is responsible for product delivery and invoicing. The system shall also specify how the chain-of-custody of certified products is maintained from the point of harvest to the point of sale. Documentation shall be legible, clear and adequately filed. | Forest Management Plan and/or associated documentation (e.g. product identification procedure, sales procedure); Records (e.g. operational plans, outsourcing agreements, sales agreements, transport documentation, invoices); Interviews with forest management agents; Field inspections. |
| Indicator 8.3.2 | Verifiers & Guidance: |
| A document associated with each sale of certified products shall include at least the following information: <ul style="list-style-type: none">• The source of the certified product (name of the estate/ site/ management unit);• the date of sale or sale period;• the quantity of certified product sold (e.g. volume, weight);• the category (FSC Pure, FSC Mixed, etc.);• product specifications (species, dimensions, quality);• the point at which the buyer takes control of the chain of custody of the certified product;• for invoices, the code attributed by the Certification Body. | Forest Management Plan and/or associated documentation; Records (e.g. outsourced service provision contracts, sales agreements, transport documentation, invoices); Field inspections. |

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| Indicator 8.3.3 | Verifiers & Guidance: |
| Certified products shall remain clearly identifiable and distinguishable from non certified products, through marking or separation, throughout the whole production/ trading process up to the point of sale. | Records (e.g. transport documentation, invoices); Field inspections. |
| Indicator 8.3.4 | Verifiers & Guidance: |
| Records of total quantities of each product type sold are maintained, for certified and non certified products, as well as of the clients they were sold to. <i>Interpretation note: Records shall be sufficient to allow evaluation of the quantity of product harvested versus the quantity sold.</i> | Records (e.g. operational plans, inventories, transport documentation, invoices); Field inspections. |
| 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: |
| Monitoring records are reviewed regularly and taken into consideration by the forest management organization, specifically during revision of the Management Plan. <i>Note: See also Indicator 7.2.2.</i> | Forest Management Plan and/or associated documentation; Records (e.g. monitoring results, revision of the Forest Management Plan, records of deviations from the management plan). |
| 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. |
| Indicator 8.5.1 | Verifiers & Guidance: |
| The forest management organization shall write a summary of the results of monitoring indicators, including those listed in Criterion 8.2. | Records (e.g. summary of monitoring results) |
| Indicator 8.5.2 | Verifiers & Guidance: |
| The forest management organization shall make the summary of the monitoring programmes available to all interested parties, on request. | Records (e.g. of publicizing material related to the monitoring summary) |
| PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS: | |
| Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach. | |
| Criterion 9.1 | Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management |
| Indicator 9.1.1 | Verifiers & Guidance: |
| The forest management organization shall establish a methodology, with clear objectives and deadlines, for identifying the following | Forest Management Plan and/or associated documentation (e.g. information on HCVF – ecosystems, landscape units, habitats, species, protected areas, environmental services, social services) |

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| <p>attributes of High Conservation Value that are present in the Forest Management Unit:</p> <p>HCV1 – Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).</p> <p>HCV2 – Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.</p> <p>HCV3 – Forest areas that are in or contain rare, threatened or endangered ecosystems.</p> <p>HCV4 – Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).</p> <p>HCV5 – Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).</p> <p>HCV6 – Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p> <p><i>Interpretation Note: Additional guidance can be found on Annex 3</i></p> | <p>and cultural values).</p> |
| <p>Indicator 9.1.2</p> <p>The forest management organization shall identify and describe the attributes of High Conservation Value that are present in the Forest Management Unit.</p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. records of the identification and description of the attributes of High Conservation Value)</p> |
| <p>Indicator 9.1.3</p> <p>The forest management organization shall record the results of the assessment in formats that are adequate and accessible to interested Stakeholders, including maps at an appropriate scale.</p> <p><i>Applicability Note: Not applicable to SLIMF</i></p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. HCVF maps, monitoring records for the % of the Forest Management Unit covered by HCVF).</p> |
| <p>Indicator 9.1.4</p> <p>The forest managers shall have consulted with local stakeholders with relevant expertise or knowledge relating to each of the listed High Conservation Values in the identification of areas with those values within the FMU.</p> <p><i>Applicability Note: Not applicable to SLIMF</i></p> | <p>Verifiers & Guidance:</p> |
| <p>Indicator 9.1.5</p> <p>The results of the assessment and the specific measures proposed to maintain or enhance the identified HCV shall have been reviewed by individuals with expert knowledge of the listed High Conservation Values and local knowledge</p> | <p>Verifiers & Guidance:</p> |

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| <p>of the area in which the FMU is located.</p> <p><i>Applicability Note: Not applicable to SLIMF</i></p> | |
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| <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.</p> | |
| <p>Indicator 9.2.1</p> <p>The forest management organization shall carry out Stakeholder consultation on the attributes of High Conservation Value that are present in the Forest Management Unit, and on management options for the maintenance thereof.</p> <p><i>Note: The consultation process shall be appropriate to the scale and intensity of forest management.</i></p> | <p>Verifiers & Guidance:</p> <p>Records (e.g. list of stakeholders, consultation records).</p> |
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| <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.</p> | |
| <p>Indicator 9.3.1</p> <p>The forest management organization shall assess the condition of the High Conservation Value attributes.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. description of the methodology for evaluating the condition of HCVF);</p> <p>Records (e.g. monitoring records for the % HCVF maintained or enhanced).</p> |
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| <p>Indicator 9.3.2</p> <p>The forest management organization shall establish and implement management measures to maintain or enhance the High Conservation Value attributes, consistent with the precautionary approach.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. description of the management measures for HCVF);</p> <p>Records (e.g. monitoring records for the % HCVF under effective management);</p> <p>Field inspections.</p> |
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| <p>Indicator 9.3.3</p> <p>The forest management organization shall include the management measures for High Conservation Value Forests in the publicly available Management Plan.</p> | <p>Verifiers & Guidance:</p> <p>Public summary of the Management Plan.</p> |
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| <p>Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p> | |
| <p>Indicator 9.4.1</p> <p>The forest management organization shall identify, document and implement a monitoring programme appropriate to the scale of the organization and vulnerability of the High Conservation Value attributes.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. monitoring procedure, monitoring programme);</p> <p>Records (e.g. monitoring records);</p> <p>Stakeholder consultation.</p> |
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| <p>Indicator 9.4.2</p> | <p>Verifiers & Guidance:</p> |

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| <p>The monitoring programme established by the forest management organization shall assess the condition of the High Conservation Value attributes, and the effectiveness of the measures employed.</p> | <p>Records (e.g. monitoring records and/or records of evolution of the condition of the attributes of High Conservation Value); Field inspections.</p> |
| <p>PRINCIPLE 10. PLANTATIONS:</p> <p>Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.</p> | |
| <p>Criterion 10.1 The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.</p> | |
| <p>Indicator 10.1.1</p> <p>The management objectives of the plantation, including natural forest conservation and restoration objectives shall be explicitly stated in the management plan, as well as the means/ resources for attaining them.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
| <p>Indicator 10.1.2</p> <p>The management objectives of the plantation shall be implemented according to the plan.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. monitoring results); Field inspections.</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</p> <p>Planning of forest activities shall include the identification of any remaining natural or semi-natural areas that are close to their natural state.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |
| <p>Indicator 10.2.2</p> <p>During planning of forest activities, the following opportunities and measures shall be identified:</p> <ul style="list-style-type: none"> • Protection and conservation of the areas mentioned in the previous indicator; • Maintenance and/or enhancement of ecological corridors; • Maintenance and/or enhancement of streamside vegetation; • Adjustment of the patterns of forest stands to the surrounding landscape. | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation.</p> |

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| Indicator 10.2.3 | Verifiers & Guidance: |
| During forest operations: <ul style="list-style-type: none"> • All identified conservation zones and protection areas shall be safeguarded; and • Previously established measures for restoration and expansion of natural forests, ecological corridors and streamside vegetation shall be implemented. | Forest Management Plan and/or associated documentation (e.g. Good forest practices codes, manuals or guides); Field inspections. |
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| 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. | |
| Indicator 10.3.1 | Verifiers & Guidance: |
| The forest management organization shall establish, document and implement criteria for the establishment of maximum continuous areas (in terms of composition, age and genetic material) of the main species in the Forest Management Unit, based on legal requirements and adequate technical references. | Forest Management Plan and/or associated documentation; Records (e.g. scientific publications, historical records, technical reports) Specialist consultation; Field inspections. |
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| Indicator 10.3.2 | Verifiers & Guidance: |
| The forest management organization shall assess plantation diversity in the Forest Management Unit, according to the criteria defined. | Forest Management Plan and/or associated documentation; Records (e.g. management objectives, statistics on composition diversity). |
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| Indicator 10.3.3 | Verifiers & Guidance: |
| In case of non compliance with the previous indicators, the forest management organization shall specify, plan and implement corrective actions. | Forest Management Plan and/or associated documentation; Records (e.g. monitoring results). |
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| 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: |
| The forest management organization shall have a formal procedure to justify and document its choice of species (and genotypes) for the plantation, taking into account their general suitability to the site and conformity to management objectives. | Forest Management Plan and/or associated documentation. |
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| Indicator 10.4.2 | Verifiers & Guidance: |
| The use of exotic species for establishing plantations or restoring degraded ecosystems is | Forest Management Plan and/or associated documentation; Records (e.g. performance evaluation results). |

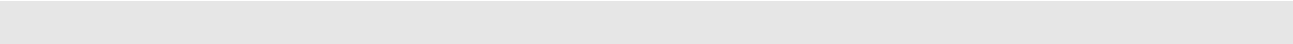
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| only permitted when their performance is superior to that of native species. | |
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| Indicator 10.4.3 Information Monitoring shall provide qualitative and quantitative information on: <ul style="list-style-type: none"> • The health of plantations of exotic species, including the presence and trends of the main pests and diseases; and • Adverse ecological impacts. | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. monitoring results). |
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| 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 The forest management organization shall provide and justify a goal for the proportion of the Forest Management Unit reserved for restoration to natural forest cover. <i>Applicability note: This indicator does not apply to SLIMF</i> | Verifiers & Guidance: Public summary of the Management Plan; Stakeholder consultation; Field inspections. |
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| Indicator 10.5.2 The Management Plan and/or associated documentation shall define: <ul style="list-style-type: none"> • Which areas shall be managed so as to restore the site to a natural; • What measures are planned to attain this goal, within the validity of the certificate. | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. maps); Field inspections. |
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| Indicator 10.5.3 At least 10% of the area of the FMU under assessment shall be managed so as to retain it as or restore it to the condition of natural forest appropriate to the FMU. This area shall be included in the identified conservation zones. <i>Applicability note: This indicator is only applicable to Non SLIMF & Plantations</i> | Verifiers & Guidance: |
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| 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 There The forest management organization shall establish and document measures to maintain or improve soil characteristics, adequate to management objectives, and specifically covering the following aspects: <ul style="list-style-type: none"> • Compaction and erosion; and • Nutritional balance. | Verifiers & Guidance: Forest Management Plan and/or associated documentation (e.g. Good forest practices codes, manuals or guides); Records (e.g. assessment results, studies). |

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| <p>Indicator 10.6.2</p> <p>A comprehensive water impact assessment, appropriate to the scale, intensity of forest management and risk of the affected resources, shall have been completed and includes, at a minimum:</p> <ul style="list-style-type: none"> - Estimates or measures of water flows and quality (including maximum, minimum and seasonal variations) within the FMU and downstream from the FMU prior to plantation establishment; - Comparable measures or predictions of water flow and quality within the FMU and downstream from the FMU subsequent to plantation establishment, and covering at least one rotation period. - An evaluation of the ecological and social impacts of any changes in water flow and/or quality resulting from the plantation establishment. <p><i>Applicability Note: Applicable to Non-SLIMF</i></p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. Good forest practices codes, manuals or guides); Records (e.g. assessment results, studies).</p> |
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| <p>Indicator 10.6.3</p> <p>When adverse impacts on soil or water resources are detected, the forest management organization shall adopt measures to reduce or eliminate them.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation (e.g. Good forest practices codes, manuals or guides); Records. Field inspections.</p> |
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| <p>Indicator 10.6.4</p> <p>The measures shall be:</p> <ul style="list-style-type: none"> • communicated to all who intervene in forest operations; • implemented in the field; and • controlled and monitored. | <p>Verifiers & Guidance:</p> <p>Records (e.g. training records, evidence of conveyance to workers or subcontractors – e.g. contract -, records of control and monitoring efforts - e.g. nonconformities, inspections, audits); Interviews with forest management agents; Field inspections.</p> |
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| <p>Criterion 10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p> | |
| <p>Indicator 10.7.1</p> <p>The forest management organization shall establish, document and implement measures to prevent and control pests, diseases and invasive plants.</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation.</p> |
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| <p>Indicator 10.7.2</p> <p>The use of chemical pesticides and herbicides,</p> | <p>Verifiers & Guidance:</p> <p>Forest Management Plan and/or associated documentation;</p> |

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| including in nurseries, shall be limited to situation for which there is no viable alternative, and shall be justified. | Records (e.g. records of chemical use in the Forest Management Unit). |
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| Indicator 10.7.3 The forest management organization shall establish and implement a plan for preventing and managing forest fires (e.g. organized contacts, first intervention teams, fire fighting equipment). | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Interviews with forest management agents; Stakeholder consultation. |
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| Indicator 10.7.4 The plantation layout shall be designed to prevent uncontrolled fires, and to provide access for fire-control. <i>Applicability Note: Applicable to Non-SLIMF</i> | Verifiers & Guidance: |
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| Indicator 10.7.5 The enterprise shall have a proactive program in place to engage with the local community in the prevention and identification of fires. <i>Applicability Note: Applicable to Non-SLIMF</i> | Verifiers & Guidance: Interviews with forest management agents Stakeholder consultation (CMDFCI – Comissão Municipal de Defesa da Floresta contra Incêndios) |
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| Indicator 10.7.6 The enterprise shall have a plan and procedures for early detection and prompt control of fire. <i>Applicability Note: Applicable to Non-SLIMF</i> | Verifiers & Guidance: |
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| Criterion 10.8 | Appropriate 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 The forest management organization shall carry out regular assessment and monitoring of potential off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and/or soil fertility, and impacts on local welfare and social well-being). <i>SLIMF applicability Note: Not applicable to SLIMF</i> | Verifiers & Guidance: Records (e.g. assessment of social and ecological impacts of plantations). |
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| Indicator 10.8.2 (Not applicable to SLIMF) Selection of species for plantation on a large | Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. trials); |

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| <p>scale shall be based on knowledge of their ecological suitability to the site, through trials and/or experience, and shall ensure they do not result in significant negative ecological impacts on other ecosystems.</p> | <p>Field inspections; Stakeholder consultation.</p> |
| <p>Indicator 10.8.3 Before introducing any exotic species, the forest management organization shall assess the risk of the specie becoming invasive in adjacent areas.</p> | <p>Verifiers & Guidance: Records (e.g. risk assessment).</p> |
| <p>Indicator 10.8.4 The leasing and acquisition processes of land for plantations shall be made available to the Certification Body.</p> | <p>Verifiers & Guidance: Records (e.g. records of land acquisition); Stakeholder consultation.</p> |
| <p>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.</p> | |
| <p>Indicator 10.9.1 The forest management organization shall have evidence that areas occupied by plantations were not established on land converted from natural forest after November 1994. Otherwise, there shall be unequivocal evidence that neither the manager nor the owner were, directly or indirectly, responsible for such conversion.</p> | <p>Verifiers & Guidance: Forest Management Plan and/or associated documentation; Records (e.g. ownerships records, aerial photographs); Stakeholder consultation.</p> |
| <p>Indicator 10.9.2 All areas of the FMU that are managed as plantation and were established as such on land that was natural forest as of November 1994 shall be clearly identified on FMU maps.</p> | <p>Verifiers & Guidance:</p> |
| <p>Indicator 10.9.3 The converted areas shall have met the requirements specified in Criterion 6.10: - Shall not include any High Conservation Value Forest areas (see Principle 9), And - 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 FMU And - Shall enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit, such as to restore the land securely and in the long term to a pre-existing "High Conversation Value" habitat.</p> | <p>Verifiers & Guidance:</p> |

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| Indicator 10.9.4 | Verifiers & Guidance: |
| There shall be clear evidence supported by social, environmental and economic stakeholders in the country concerned that the current owner/manager was neither directly nor indirectly responsible for the conversion. | |
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APPENDIX A**REGULATIONS AND STANDARDS APPLICABLE IN PORTUGAL**

Refer national standard

APPENDIX B**LIST OF RARE THREATENED AND ENDANGERED SPECIES LISTED FOR PORTUGAL**

Refer national standard

END OF STANDARD