



The mark of
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Woodmark SLIMF¹ Generic Standard and Checklist

Adapted for:	Australia
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Version:	3

1 - SLIMF – Small and Low Intensity Managed Forests

Woodmark • South Plaza • Marlborough Street • Bristol • BS1 3NX • United Kingdom
Telephone (+44) (0) 117 914 2435 • Fax (+44) (0) 117 314 5001 • Email wm@soilassociation.org
Soil Association Certification Ltd • Company Registration No. 726903 • A wholly-owned subsidiary of the Soil Association Charity No. 206862

Woodmark Generic SLIMF Standard

SLIMF – Small and Low Intensity Managed Forests

Scope

The Woodmark SLIMF Generic standard has been designed for use worldwide in FSC forest management evaluations where there is no existing FSC accredited SLIMF standard AND where the forest area under evaluation meets FSC SLIMF eligibility criteria. (See below).

Purpose

This standard has been developed to comply with FSC-STD-20-002 Structure and content of Forest Stewardship Standards section 4; FSC-STD-01-003 SLIMF Eligibility Criteria; and FSC-GUI-60-100 Guidance on the Interpretation of FSC Principles and Criteria for Small and Low Intensity Managed Forest Operations. It is derived from the Woodmark Generic Standard and Checklist as accredited by FSC and is designed to facilitate the evaluation of forest areas that meet FSC SLIMF eligibility criteria. (See below). The Woodmark SLIMF Generic Standard is designed to be used as a stand alone document with the Woodmark Generic Standard available for use as a reference.

Development Process

Between 2002 and 2004 FSC developed its approach to improving access to FSC certification for owners of small forest areas. This included the establishment of a SLIMF technical working group, widespread consultation, development of discussion and guidance documents, field trials, and concluded with the establishment of standard requirements and eligibility criteria. In parallel the UK UKWAS (United Kingdom Woodland Assurance Standard) standards group supported by DFID (Department for International Development) field tested alternative approaches to certification for owners of small woodlands. Woodmark was actively engaged in both these processes, and developed both streamlined procedures and evaluation standard checklists as part its contribution to this development process. This standard is based on the outcome of these development processes.

Structure

This standard is derived from the Woodmark Generic Standard as accredited by FSC. The Woodmark Generic Standard is used as the basis for forest management evaluations worldwide and is adapted for use in local conditions according to FSC-STD-20-003 and is updated from time to time in response to FSC policy changes. The Woodmark SLIMF Generic standard is an adaptation of the full Generic standard with adaptation for use appropriate to the scale and intensity of management of small or low intensity managed forests (SLIMF).

There are two key aspects to this adaptation.

- 1) Indicators have been developed that are specific to SLIMF situations according to FSC-STD-20-002 section 4 and incorporating elements of FSC-GUI-60-100 Guidance on the interpretation of FSC Principles and Criteria for SLIMF. (i.e. FSC Criteria 6.1, 6.2, 6.4, 7.1, 7.2, 7.3, 7.4, 8.1, 8.2, 8.3, 8.4, 8.5, 9.1, 10.5 and 10.8).
- 2) Indicators have been grouped according to the verification process and means of verification. i.e. where several indicators may be met through the same verification process – indicators have been grouped together.

The structure is therefore designed to assist a streamlined assessment process in keeping with the scale and intensity of SLIMF operations.

Use of the standard

The standard is intended as a supporting document in SLIMF assessments. In the field the standard will generally be used in the form of a checklist incorporated into the Woodmark report template. This will generally show indicators only.

In the event that evaluation relates to a country where there is an existing accredited national standard including SLIMF indicators this will be used or the indicators may be incorporated into the Woodmark checklist. In the event that an evaluation is planned where there is an existing Woodmark Generic Standard adapted for local use, the adapted standard will be reviewed and the Woodmark Generic SLIMF standard will be adapted based on this. In the event that there is no nationally accredited standard, and no Woodmark Generic Standard adapted for local use, Woodmark will adapt the Woodmark SLIMF Generic standard based on FSC-STD-20-003.

During an evaluation, the checklist derived from the adapted SLIMF standard will be used, and observations recorded against each SLIMF indicator/verifier. In order to maintain efficiency and ensure that audit procedures are in keeping with the scale and intensity of the operation, brief observations will be preferred.

Observations are required for all indicators under sections 1 to 10 for all forest areas. The sections in Annexes 1 to 4 need only be completed if the specific forest type or activity is applicable to the forest area under evaluation.

Scoring

During an evaluation each SLIMF indicator is scored as either being met (Y/√) or not met (N/X).

In the event that an indicator is not met a non-compliance is identified and a corrective action given. Non compliance against an individual indicator will normally be treated as a Minor non-compliance. In the event that there is non compliance against all indicators in one sub - section (e.g. 1a, or 1b, or 2a or 3a etc...) this will normally be treated as a Major non-compliance.

Process of adaptation of standard for use in Australia

The Woodmark Generic SLIMF standard was adapted for use in Australia using the adaptations carried out for the non-SLIMF standard. Adaptation of the non-SLIMF standard is summarized below.

The Woodmark Generic standard was first adapted for use in Australia during 2003. This process took into account the Australian Forestry Standard (AS 4708 (Int) – 2003) prepared by Australian Forestry Standard Technical Reference Committee. Every aspect of each standard was systematically compared to the other using a cross reference matrix aimed at identifying similar indicators/norms and identifying those present in one standard but absent in the other. It resulted in the incorporation of a number of elements from the Australian Forestry standard in the Woodmark Generic Standard adapted for use in Australia. This resulted in Version 1 of the Woodmark Generic Standard Adapted for use in Australia. Woodmark consulted widely on this standard in late 2003 and received comments from four stakeholders. Comments were responded to individually and some edits were made to the draft standard in response to the comments made.

During 2005 and 2006 the Woodmark Generic Standard underwent some changes in response to new FSC policy and as part of FSC evaluation of the Woodmark Standard against FSC-STD-20-002.

In August 2007 Woodmark revised the adapted standard for use in Australia according to the new Woodmark Generic Standard and the new version 2 was issued. In addition information relating to national legislation, CBD and ILO conventions was added.

Since version 2 some relevant Australian standards have been released and some have been revised as follows:

- The Australian Forestry Standard was revised in 2007 (AS 4708 – 2007).
- The FSC working group released DRAFT 00 (“Straw Dog”) of the FSC Australia National Standard – Copy for Public Information, July 7th, 2008.

This standard is comprised of the Woodmark Generic Standard principles, criteria and indicators, with the addition of indicators from the Australian Forestry Standard and the FSC Australia National Standard where these were considered to strengthen the standard for use in Australia. The process was the same as described above for version 1, a cross reference was carried out between the standards.

Indicators which were added to the standard during the original adaptation process (version 1) are identified in *red italics*. Changes made to version 3 of the standard are identified using *green italics*.

Additional consultation undertaken in October 2008 resulted in further, minor changes identified within the standard by green underlined.

Further consultation and slight adaptation in January 2009 (updates in blue italics underlined) resulted in this current adaptation Version 4.0 Jan 2009

This document is Version 2.0 of the Woodmark SLIMF Generic Standard Adapted for use in Australia prepared January 2009.

Comments on this standard may be sent to Soil Association Woodmark by e-mail or letter, or other methods may be proposed for consideration. Soil Association Woodmark have co-ordinated standard consultation with FSC Australia. All comments will be made available to FSC Australia to contribute to the national standards development process.

Ref: Standard Adaptation Australia

Soil Association Woodmark

South Plaza • Marlborough Street

Bristol • BS1 3NX • UK

Telephone (+44) (0) 117 914 2435

Fax (+44) (0) 117 314 5001

Email wm@soilassociation.org

FSC-STD-20-002 clause 4.3

4 Scale and intensity of forest management¹

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

EXAMPLE:

Criterion

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

Means of verification:

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

Means of verification:

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

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

¹ Additional guidance is being prepared by the FSC International Center to facilitate the development of standards applicable to small and low intensity managed forests.

FSC-STD-01-003 SLIMF Eligibility Criteria

1 SLIMF Eligibility Criteria

1.1 A forest management unit shall qualify as a 'SLIMF' if it is either a 'small' forest management unit (as defined in this standard) OR managed at 'low intensity' forest management unit (as defined in this standard).

2 'Small' forest management units

2.1 Forest management units may be recognised as SLIMF units when they are less than 100 ha. in area or when they meet the requirements specified in 2.2 below.

2.2 Forest Management Units of up to 1000 ha. in area may be recognised as 'small' when this is supported by the FSC-accredited national initiative for the country concerned, or in countries in which there is no FSC-accredited national initiative when this has the demonstrated broad support of national stakeholders in the country concerned. Annex 1 to this standard provides the definitive list of countries for which the definition of small is larger than 100 ha.

2.3 Forest Management Units larger than 1000ha in area shall not qualify as 'small' forest management units.

3 Low intensity forest management units

3.1 Forest management units may also be recognised as SLIMF units when:

- a) the rate of harvesting is less than 20% of the mean annual increment (MAI)² within the total production forest area of the unit, AND
- b) EITHER the annual harvest from the total production forest area is less than than 5000 cubic metres,
- c) OR the *average* annual harvest from the total production forest is less than 5000 m³ / year during the period of validity of the certificate as verified by harvest reports and surveillance audits.

FSC-STD-01-003 SLIMF Eligibility Criteria Version 1-0 Addendum

This document provides an up to date list of countries for which the SLIMF eligibility criteria differ from those specified for international use in FSC-STD-01-003 SLIMF Eligibility Criteria Version 1-0.

1. List of countries for which definition of 'small' is greater than 100 ha.

Country national threshold for 'small'

Country new threshold approved	Proposed by	and date
USA 1000 ha.	FSC-US	5 th February 2004
Canada 1000 ha.	FSC-Canada	29 th June 2004
South Africa 600 ha	Certification Body	May 2005
Denmark 1000 ha	FSC Denmark	October 2005

FSC-GUI-60-100

Guidance on the Interpretation of FSC Principles and Criteria for Small and Low Intensity Managed Forest Operations³

Note: this document establishes the precedent of combining criteria where means of verification are essentially the same.

² Where FMU-specific MAI estimates are unavailable or impractical regional estimates of growth rates for specific forest types may be used.

³ Based in part on a consultants report commissioned by FSC. *Developing standards appropriate to small and low intensity managed forests* (2002) by S. Higman, H. Scrase, P. Dam and F. Aguilar.

WOODMARK GENERIC SLIMF STANDARD

1	Land use	7
1a	Tenure	7
1b	Local involvement/control	7
1c	Disputes	8
2	Compliance with legislation and guidelines	9
2a	Commitment	9
2b	Legislation	9
2c	Illegal activities	10
3	Assessment of impacts	10
3a	Social impact	10
3b	Environmental impact	10
4	Management planning	11
4a	Description of the resource	12
4b	Management plan	12
4c	Forest design and conservation zones	13
4d	Fire	13
4e	Budget	13
5	Forest production	16
5a	Silviculture and growth and yield	16
5b	Production diversity and local use	16
6	Forest operations	16
6a	Harvesting	16
6b	Roads	17
6c	Machinery	18
7	Training and health and safety	19
7a	Training	19
7b	Health and safety	19
8	Monitoring	20
9	Chain of custody	21
10	Norms relating to specific forest types and management regimes	22
	Annexes	22
	Annex 1 High Conservation Value Forests	22
	Annex 2 Plantations	23
	Annex 3 Chemicals	25
	Annex 4 Biological control	26

1 Land use

1a Tenure

FSC Criterion	SLIMF Indicator	Means of verification
2.1.1 2.1.2	Legal ownership or tenure can be proved and is not subject to dispute. A map is available clearly showing legal boundaries.	The name and legal status of the entity managing the forest is stated.
2.1.4	Communities have clear, credible and officially recognised evidence, endorsed by the communities themselves, of collective ownership and control of the lands they customarily own or otherwise occupy and use.	Discussion with managers and communities Maps and other land records.

1b Local involvement/control

<p>2.2.1 2.2.2 2.2.3 3.1.1 3.1.2a 3.1.2b 3.1.3 3.1.4 3.2.4 3.2.2b</p>	<p>Legal and customary rights of indigenous people and local communities shall be respected:</p> <ul style="list-style-type: none"> • The manager is aware of indigenous and traditional peoples (including migratory groups) living in the vicinity of the management area • The communities concerned have identified themselves as indigenous or tribal • All legal or customary tenure or use rights are documented and mapped. • All legal or customary tenure or use rights are recognised and respected • The manager is aware of all claims to tenure or use rights to the forest resource. • Forest management operations do not take place in these areas without free and informed consent local/indigenous communities. • Forest managers provide local communities control over forest operations to the extent necessary to protect their rights and resources • Traditional access for subsistence uses and traditional activities is granted. • The enterprise has discussed the potential impacts with the affected communities, and has obtained agreement with the communities on actions to prevent or mitigate the impacts (FSCA00, 3.2.3). 	<p>Discussion with managers and communities.</p> <p>Maps and documentation.</p> <p>Evidence of consultation and relevant consents.</p> <p><i>Indigenous Peoples <u>may</u> formally indicate, clearly, unambiguously and normally in writing or by traditional means, that their legal and customary rights over their lands, territories and resources have been recognised and respected (FSCA00, 3.14).</i></p>
<p>3.1.1 3.1.2 3.1.3</p>	<p><i>In the case of management by the Indigenous Peoples themselves:</i></p> <p><i>The Indigenous Peoples has identified and has maps showing all lands or territories in which it may carry out management activities.</i></p> <p><i>The identification and boundaries of any such lands or territories are not subject to any dispute of substantial magnitude.</i></p> <p><i>Community management of the forest shall be agreed by consensus of community members. (FSCA00, 3.1.1 – 3.1.3)</i></p>	
<p>3.1.5</p>	<p><i>The enterprise has obtained free and informed consent, normally in writing or by traditional means, for the management plan from the appropriate Indigenous People by either:</i></p> <p><i>a) jointly developing the plan according to the process set out in a joint management agreement, or,</i></p> <p><i>b) consulting with the Indigenous People on the plan (FSCA00, 3.1.5)</i></p>	<p><i>Consultation with local community representatives</i></p> <p><i>Documented evidence</i></p>

3.1.6	<i>The Indigenous People's interests or concerns are clearly incorporated in the management plan.(FSCA00, 3.1.6)</i>	<i>Consultation with local community representatives Documented evidence</i>
2.3.4	Forest manager provide access to forest resources for local communities without legal or customary land rights with access to forest resources, where such access does not prejudice the achievement of management objectives.	Discussion with managers and communities
3.4.1 3.4.2 3.4.3 3.4.4	Where traditional knowledge (e.g. regarding the use of forest species or management systems) is applied in forest operations, local communities are informed and fairly compensated for such applications. <i>If traditional knowledge is used by the enterprise or by any other organization under agreement with the enterprise, the enterprise actively assists the Indigenous People in obtaining formal, legal recognition of tribal intellectual property rights (FSCA00, 3.4.4).</i>	Discussion with managers and communities. Records of payments. <i>Discussion with local community representatives Records of legal intellectual property rights</i>
4.1.1 4.1.3 4.1.4	Local and forest dependant people have equal access to employment and training opportunities. Workers are not discriminated in hiring, advancement, dismissal, remuneration and employment related social security Wages or income of self-employed or contractors are at least as high as those in comparable occupations in the same region and in no case lower than the established minimum wage.	Discussion with managers, communities, and local organisations.
4.1.5	<i>The enterprise encourages, participates and assists in local training programmes where practicable to do so.</i>	Consultation with <u>indigenous people's organisations.</u>

1c Disputes

2.3.1 4.5.1 4.5.4	Mechanisms exist for resolution of grievances including: <ul style="list-style-type: none"> disputes between the forest managers and the local community over tenure claims and use rights mechanisms to resolve conflicts through consultation aiming at achieving agreement or consent, avoiding damage to property, resources, rights, and livelihoods 	Discussion with managers and communities
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2.3.2 2.3.5	Mechanisms for dispute resolution are respected in the event of any dispute between local communities and forest managers regarding tenure claims and use rights.	There is no evidence of any unresolved dispute of substantial magnitude.
2.3.3	Management policy and operational procedures exist which require that, in case of a dispute or disagreement between the local community and the forest managers concerning land rights, forestry operations which prejudice the future enjoyment of such rights by the community are halted until the dispute is resolved.	Documented policy and procedure
4.5.2 4.5.3	Mechanisms exist for providing fair compensation: <ul style="list-style-type: none"> • where legal or customary rights, property, resources or livelihoods have been damaged • for inadvertent damage to indigenous and traditional resources 	Compensation is determined by the communities themselves.

2 Compliance with legislation and guidelines

2a Commitment

1.6.1	Forest managers must provide a statement declaring their long-term commitment to comply with FSC Principles and Criteria.	Signed commitment
2.1.3	Land is dedicated to long term forest management.	Management planning assumes more than one rotation
1.6.2	Forest managers shall declare any areas under their control but not included within the scope of the certification evaluation .	Discussion with managers

2b Legislation

1.1.1 1.4.1	There are no substantiated outstanding claims of non-compliance with national and local laws and administrative requirements related to forest management. (Conflicts between laws, regulations and the FSC Principles and Criteria should be identified).	No evidence of non-compliance Discussion with forest managers demonstrates understanding of laws
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1.1.2 1.1.3 1.1.4	There is compliance with any relevant codes of practice, guidelines or agreements. <i>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 have been documented by the enterprise, were promptly corrected, and effective action has been taken to prevent their recurrence (FSCA00, 1.1.3)</i>	Forest managers demonstrate awareness of relevant codes of practice, guidelines or agreements. <i>Records.</i>
1.3.1, 1.3.5 1.3.6 1.3.7	Forest managers implement appropriate controls to ensure that provisions of the International agreements applicable to the region are respected, including: <ul style="list-style-type: none"> • Convention on International Trade in Endangered Species (CITES). • ITTA • Convention on Biological Diversity 	Discussion with managers and workers. Sales documents.
1.3.2, 1.3.3 1.3.4 4.3.1, 4.3.2	Applicable ILO conventions are respected, especially <ul style="list-style-type: none"> • the freedom of association and protection of the right to organise and bargain collectively (conventions 87 and 98) • no child labour is used, national minimum age provisions are adhered to • there is no forced labour or debt bondage <p>Note that implementation of the following ILO conventions is a minimum requirement for certification : 29, 87, 97, 98, 100, 105, 111, 131, 138, 141, 142, 143, 155, 169, 182, ILO Code of Practice on Safety and Health in Forest Work, Recommendation 135, Minimum Wage Fixing Recommendation, 1970.</p>	Discussion with managers and workers.

2c Illegal activities

1.5.1, 1.5.2, 1.5.3	Systems to monitor and prevent unauthorised activities are in place including illegal settlement and harvesting.	Managers have taken reasonable measures to stop such activities
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3 Assessment of impacts

3a Social impact

4.4.1	Managers shall complete an evaluation of social impact appropriate to the size and intensity of	
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4.4.2 4.4.3	<p>the operations and incorporate results into management decisions. This shall include:</p> <ul style="list-style-type: none"> • Identification of affected groups • Ongoing consultation with affected groups to identification of the main impacts of the operation • Specification of measures to ameliorate identified negative impacts. 	
3.2.1 3.2.2 3.2.3	<p>Forest management shall not threaten or diminish the resources or tenure rights of indigenous people shall be protected during forest operations:</p> <ul style="list-style-type: none"> • shared boundaries must be physically demarcated under the supervision of the community before operations start • the forest manager must be aware of potential threats to these resources (e.g. disturbance to water resources and wildlife). • systems must be in place to modify management prescriptions to prevent damage to such resources 	<p>Discussion with managers and communities Documented procedures Field observations</p>
3.3.1 3.3.3 3.3.4 3.3.5 3.3.6	<p>Sites of archaeological, religious, historical or other cultural sensitivity shall be protected: Systems shall be in place to identify and map such sites in co-ordination with local/indigenous people Systems shall be in place to identify and protect such sites during operations (e.g. harvesting, road building) Plans for the protection or management of such sites are subject to the full and informed consent of appropriate representatives of indigenous peoples. <i>The enterprise cooperates with local Indigenous Peoples in educating non-Indigenous People in the care and respect for the forest that is appropriate to the protection of their rights (FSCA00, 3.3.4)</i></p>	<p>Maps Documented procedures Discussions with managers and workers Discussions with communities</p>
8.2.6	<p>There are meetings with representatives of local communities, at which any concerns regarding the impacts (social or environmental) are recorded.</p>	<p>Documented procedures Monitoring data</p>

3b Environmental impact

6.1.1 6.1.2 6.1.3 7.1.15	Managers shall provide an evaluation of potential environmental impact of planned activity and seeks to minimize impacts. The evaluation shall take account of landscape level considerations and the uniqueness of the affected resources. <i>The management plans and other policies and procedures of the enterprise clearly identify actions to mitigate or reduce the environmental impacts identified as a result of the assessment (FSCA00, 6.1.3).</i> Environmental safeguards based on environmental assessments are implemented.	Discussion with forest managers Management plan Records of results of assessment Field observation
6.2.1a 6.2.2 6.2.3 6.2.1b	Rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas) are safeguarded by: <ul style="list-style-type: none"> Assessing the likely presence of these species/habitats Identifying such areas on maps Identifying management prescriptions to protect these areas <i>There is an up to date list of the rare, threatened or endangered species (including those species included on CITES lists 1 and 2, and any species listed as 'rare, threatened or endangered' at State or Commonwealth levels) that are present or are likely to be present within the FMU (FSCA00, 6.2.1).</i> 	Discussion with forest managers Maps Management planning documentation
5.5.1 5.5.2 5.5.6	Forest managers are aware of the down stream uses of water from the forest watershed and fisheries above, in and below the forest watershed. <i>The full range of forest services and resources within the FMU (including but not limited to watershed values, fisheries, landscape quality, specific contribution to local biodiversity and recreation) has been assessed and such services and resources are identified in the forest management plan (or equivalent documentation) for the enterprise (FSCA00, 5.5.1).</i>	Discussion with forest managers
6.2.10a 6.2.11	Forest managers have systems for controlling hunting, fishing, trapping and collecting of animals or plants. Systems are in place to prevent hunting or trapping of protected species.	Discussion with forest managers
9.1.2 9.1.3	Forest managers are able to provide a definition of High Conservation Value Forest for their region. Forest managers have assessed whether High Conservation Value Forests is present in the area under their control.	Discussion with forest managers See Annex 1 if HCVF may be present

<p>Forest managers may use the FSC Australia High Conservation Value Evaluation Framework as guidance. The latest version can be found at: http://www.fscaustralia.org/policies-and-standards/high-conservation-values</p>	
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4 Management planning

4a Description of the resource

<p>7.1.2, 7.1.3, 7.1.4, 7.1.5, 7.1.8 7.1.9 7.1.17 7.1.18 7.1.7</p>	<p>Clear maps (or other relevant documentation appropriate to the scale and intensity of the operation) to show the following are available:</p> <ul style="list-style-type: none"> • description of the land use and ownership status of the area under management control • the physical aspects of the management area (e.g. topography, soils, geology, and water resources), • description of the socio-economic context for management • description of the forest resource base including protected areas • a brief summary of previous use including areas that have been harvested in the past • any areas under management control which are excluded from harvesting, for whatever reasons. • <i>description and rationale of harvesting techniques. (FSCA00, 7.1.9) [modified]</i> 	<p>Maps or other relevant documentation</p>
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4b Management plan

<p>7.1.1 7.1.19</p>	<p>The management planning documentation includes:</p> <ul style="list-style-type: none"> • a clear statement of the objectives of forest management • outline plans for the medium (e.g. 5 – 20 years) and long (e.g. 20+ years) term • planned management activities in the short term (e.g. first five years) • <i>objectives of management including the conservation and/or restoration of representative samples of natural forest within the FMU (FSCA00 7.2.2)</i> 	<p>Management planning documentation Maps</p>
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7.4.1	A summary of management activities is available to all interested parties, within the accepted norms of commercial confidentiality.	Available information. Note; this may include information on monitoring section 8 - 8.5.1
7.2.1, 8.4.1	The management plan is revised on a regular basis and incorporates the results of monitoring.	Management plan up to date Manager demonstrate awareness of results of monitoring/other sources of information.

4c Forest design and conservation zones

6.2.5 6.2.7 6.2.8 6.2.9 6.4.1	At least 10% of the management area is designated as a conservation zone, identified on maps, and managed with biodiversity as a major objective. The location of these zones shall: <ul style="list-style-type: none"> • includes examples of identified conservation features and habitat within the forest area protected in their natural state • maximise their contribution to the maintenance or enhancement of biodiversity • allow movement of key plant and animal species between conservation areas (e.g. by locating conservation zones along stream sides, up slopes and across ridges) 	Maps Management planning documentation Field observation
6.2.4 6.2.6	At least half of this area (i.e. 5% of the total forest area) is designated as a protected area, identified on maps, and is protected from full commercial harvesting. This shall include any areas of special regional importance for biodiversity.	Maps Management planning documentation Field observation
6.10.1	Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: <ol style="list-style-type: none"> a)entails a very limited portion of the forest management unit; and b)does not occur on high conservation value forest areas; and c)will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. 	Management planning documentation Field observation

4d Fire

7.1.14	The need for fire management and control has been properly evaluated.	Discussions with manager
10.7.2	In fire-prone areas, or those in which fire is an integral feature of the ecology of the forest, there is an adequate fire management plan.	Documented procedures

4e Budget

1.2.1, 8.2.8	There are clear accounts for the forest enterprise. Forest managers can provide evidence that applicable fees, royalties, taxes and other applicable charges have been paid.	Records of income and costs.
5.1.1 5.1.2 5.1.4 5.1.5 8.2.8 5.1.7	<p>There is a work plan budget showing expected costs and revenues for at least the current financial year that shall:</p> <ul style="list-style-type: none"> • be based on the expected rate of harvest of forest products and reasonable expectations of product value • specify costs associated with implementation of the social and environmental commitments. • incorporate stumpage, royalties or rents as required. • <i>If the budget shows a deficit for the year, the forest manager can demonstrate how the management plan is implemented in the long term (FSCA00, 5.1.5).</i> 	Budget

5 Forest production

5a Silviculture and growth and yield

5.6.1	<u>Silvicultural system</u>	Management planning documentation Operational manuals Discussion with forest manager
6.3.1, 7.1.10	The silvicultural system on which management is based is clearly stated and justified in terms of the ecology of the forest.	
7.1.11	Management prescriptions describe the relevant procedures, for example:	
7.1.12	<ul style="list-style-type: none"> • selection criteria of trees for felling; • method of marking trees or area selected for felling • identification and marking of trees to be retained for future extraction, as seed sources, or to 	

	<p>maintain biodiversity;</p> <ul style="list-style-type: none"> method of ensuring regeneration. <p>The management plan and supporting documents shall provide rationale for rate of annual harvest and species selection</p>	
5.6.2 5.6.3 5.6.4 5.6.5 8.2.2 5.6.7	<p><u>Growth and yield</u></p> <p>The expected level of harvesting on an annual basis, and in the long term (over more than one rotation) is clearly justified in terms of the permanently sustainable yield.</p> <p>All assumptions regarding regeneration, growth, abundance, quality and size distribution of the main commercial species are explicit, and in line with the best available data for the locality.</p> <p>Expected harvesting does not exceed local or regional expectations of sustainable yield. <i>When stock levels and growth are not well known (e.g. for certain NTFP species) the forest operation uses conservative harvesting levels and a precautionary approach in relation to harvesting systems (FSCA00, 5.6.6 SLIMF)</i></p>	<p>Management planning documentation</p> <p>Operational manuals</p> <p>Growth models, information on regeneration of commercial species or programme to collect information for future management.</p>
7.1.6	<p><u>Inventory</u></p> <p>There is an evaluation of the timber resource (inventory), sufficient in detail and rigour to justify the planned harvesting for the full rotation, and to demonstrate convincingly that yields will be permanently sustainable in successive rotations.</p>	<p>Inventory data</p>
6.3.5 6.3.6	<p><u>Species and genetic diversity</u></p> <p>Management of the forest area as a whole is designed to ensure that the full complement of tree species regenerates successfully in the forest area over the duration of the rotation. Selective felling and thinning regimes are designed to maintain genotypic diversity.</p>	<p>Management planning documentation</p> <p>Operational manuals</p> <p>Discussion with forest manager</p>
6.9.1 6.9.2 6.9.3 6.9.4	<p>All use of exotic species is documented and justified.</p> <p>6.9.2 Exotic species used are monitored to evaluate potential adverse ecological impacts.</p> <p>6.9.3 In the event that adverse ecological impacts are identified control actions are implemented.</p> <p><i>Exotic species are not used for non-commercial purposes (e.g. erosion control, bank stabilisation, etc) within the FMU unless native species have failed to reach the desired land-care outcomes and 6.9.1 – 6.9.3 are met. (FSCA00, 6.9.1).</i></p>	<p>Management planning documentation</p> <p>Operational manuals</p> <p>Discussion with forest manager</p>

6.8.3	No GMOs are used.	Management planning documentation Operational manuals Discussion with forest manager
6.3.2 6.3.3 6.3.4	<u>Coupe size</u> Forestry operations must, if appropriate to the silvicultural system, aim for a mixture of compartments differing in size, shape, species, and age structure, in harmony with the landscape and commensurate with the natural dynamics of the forest type under consideration. Systems which use small clearfell areas and selective felling have been considered	Management planning documentation Operational manuals Discussion with forest manager

5b Production diversity and local use

5.4.1 5.4.2	Managers are aware of the range of the forest's potential products and services (including 'lesser known' timber species, Non Timber Forest Products (NTFPs) and opportunities for forest recreation) and their importance to the local economy.	Discussion with managers
5.4.3 5.4.4	Managers have assessed the possibility of utilisation of forest services, lesser known species and NTFPs on their own account or by local enterprises and encourage the utilisation of lesser known species and NTFPs by local enterprises where this does not jeopardise other management objectives.	Discussions with managers
5.2.1	Forest managers make a proportion of their production available to local enterprises, such as small-scale industries and processing operations, unless there is an over-riding reason preventing this.	Discussions with manger and local people Sales records

6 Forest operations

6a Harvesting

6.3.7	Biodiversity is routinely maintained by the retention of marginal habitats e.g. streamside	Management planning
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	vegetation, vegetation on rocky outcrops, swamps and heaths.	documentation Operational manuals Discussion with forest manager Field observation
6.3.8	<i>Old non-commercial trees; trees with special ecological value; standing deadwood trees; and dead fallen wood are all systematically retained within the production area of the FMU, and in sufficient quantity to support populations of species of birds and insects dependent on old trees and dead wood across the FMU (FSCA00, 6.3.2).</i>	As above
5.3.1 6.5.6 6.5.7 6.5.8 6.5.9 6.5.10 6.5.11	Harvesting and extraction procedures minimise forest damage: <ul style="list-style-type: none"> • Protected areas are physically demarcated, at least temporarily, before any forest operations start on near by land • Buffer zones in which harvesting does not take place are established around all permanent watercourses • Harvesting machinery must not enter streams except at designated and designed stream crossings • Harvesting minimises damage to residual trees and regeneration • Lop and top may not be pushed into streams • Extraction is stopped when soils are saturated • The use of brush mats is specified, where appropriate 	As above No excessive damage to residual stands
10.6.2 6.3.13	Plans and procedures for reforestation after harvesting are designed to minimise exposure of bare soil, and to ensure that trees are re-established as rapidly as possible. <i>There is no evidence that the harvesting of material from the site is reducing the potential productivity of the soil in the long term (FSCA00, 6.3.5).</i>	As above
5.3.2 5.3.4	Timber is extracted and processed promptly after felling. <i>Felling debris (branches, tops, etc) is used to protect soils on <u>extraction routes where appropriate</u> (FSCA00, 5.3.2).</i>	Discussion with forest manager Field observation

6b Roads and other mechanical disturbance

6.5.1	The following norms for the design and building and maintenance of roads and other mechanical	Written policies and procedures
6.5.2	disturbance are followed:	Field observation
6.5.4	<ul style="list-style-type: none"> • New roads are planned in advance on topographical maps showing existing streams 	
6.5.5	<ul style="list-style-type: none"> • Roads are fitted to the topography so that a minimum of alterations to the natural features will occur • Wherever possible roads are located on natural benches, ridges and flatter slopes • Road construction in steep, narrow valleys, slip-prone or other unstable areas, natural drainage channels and stream sides is minimised • Roads are not aligned through environmentally sensitive areas • Embankments and cuttings are stabilised to resist erosion • New roads are not constructed in streambeds (existing roads in streambeds are closed and replacements are constructed). • Stream crossings are planned before operations begin and shown on relevant maps • The number of stream crossings is minimised • Stream crossings are at right angles to the stream • Valley bottom roads and tracks are kept as far back from the stream as possible • Drains and culverts are designed to minimise erosion so they do not obstruct the migration of fish, create fast water velocities or stream beds unsuitable for fish • Drains do not drain into natural watercourses. Where this is unavoidable, regularly emptied silt traps are installed. 	

6c Machinery

5.3.1	New harvesting and processing machinery is selected taking into account the need to minimise	Evaluation of recent purchases
5.3.3	damage to soils, residual trees and regeneration and timber waste	
6.5.12		

6d Waste and pollution

6.7.1	Waste (chemicals, containers, liquid and solid non-organic) is disposed of in an	Discussion with manager
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6.7.2 6.7.3 6.7.4	environmentally appropriate manner. Disposal does not take place in watercourses or lakes or by burying.	There is no evidence of waste left in the forest.
6.6.10	Fuel tanks and stores are located so that spillages from damage, defects or refuelling will not enter watercourses.	Site inspection

7 Training and health and safety

7a Training

4.2.3 6.5.3 6.5.13 7.3.1 7.3.2 7.3.3 7.3.5	All workers (including managers and supervisors) receive training relevant to their tasks and responsibilities. Training shall include: <ul style="list-style-type: none"> • safety issues, appropriate to the tasks of workers and the equipment used. • environmental protection (e.g. protection of water resources and prevention of erosion) and emergency procedures (e.g. pollution mitigation procedures) • <i>All workers (including contractors and their workers) are supervised to ensure they implement their tasks effectively and safely, and the quality of their work is effectively monitored by the enterprise itself. (FSCA00,7.3.3)</i> 	Training records Discussions with workers
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7b Health and safety

4.2.1	Managers are familiar with relevant health and safety guidelines and regulations.	Accessible copies of relevant documents Discussion with managers
4.2.2	Managers have assessed the risk to workers of particular tasks and equipment, and take all reasonable measures to reduce or eliminate such risks.	Risk assessments carried out

4.2.5	<i>An effective first aid programme is in place, including worker training in basic first aid and the provision of readily accessible first aid kits with up to date supplies (FSCA00, 4.2.7).</i>	Discussions with manager and workers Safety equipment in use.
4.2.6	Workers are provided with safety equipment, appropriate to the tasks of workers and the equipment used.	
4.2.7a	Managers take reasonable measures to ensure that workers use any safety equipment that is provided.	
4.2.7.b	<i>All workers (including contractors) are prohibited from working without the personal protective equipment that has been provided (FSCA00, 4.2.5)</i>	
4.2.3	<i>All tools, machines, and equipment, including personal protective equipment are in safe and serviceable condition (FSCA00, 4.2.6)</i>	
4.2.6	Managers implement an accident reporting system that includes all work related accidents and deaths of employees, their causes, corrective action taken to prevent similar accidents in future.	Records
4.1.12,	<i>No work likely to jeopardize health, safety or morals is carried out by anyone under the age of 18 (unless there is special provision for safety, training or traditional community circumstances) (FSCA00, 4.2.3).</i>	Documented protocol Discussions with workers
4.2.9	There are assured compensation benefits in case of accidents.	
4.2.8	Health and safety measures comply with national minimum requirements and ILO Code of Practice on Safety and Health in Forestry.	No evidence of non-compliance
4.2.11	Where workers stay in camps, conditions for accommodation and nutrition comply at least with ILO Code of Practice on Safety and Health in Forestry	Field observation
4.2.13	<i>There is a written emergency plan in case of serious injury to any forest worker or contractor, and which includes provision for timely evacuation to an appropriately equipped medical facility (FSCA00, 4.2.8)</i>	<i>Written emergency plan</i>

8 Monitoring

8.1.1a 8.1.1b 8.1.2 8.1.3a 8.1.3b	There is a system for monitoring the impacts of forest operations appropriate to the scale and intensity of operations and the relative complexity and fragility of the affected environment. Procedures are consistent and replicable over time to allow comparison and assessment of change. <i>Procedures describe the techniques for collecting the data for each Indicator listed below, and specify the frequency with which data is collected. (FSCA00, 8.1.2)</i>	Monitoring procedure Management plan Managers field notes/records Discussion with manager
7.1.13 8.2.5 8.2.1 8.2.3 8.2.4 8.2.7	Monitoring shall include: <ul style="list-style-type: none"> • Yields of all forest products harvested • Forest regeneration and growth. • The condition of the forest (post harvest stand condition, presence of pests, diseases, evidence of soil compaction, erosion etc) • The effects of forestry operations on plant and animal species, including aquatic habitats • Evidence of deterioration or disturbance of conservation areas (see 6.2) • Information related to environmental impacts e.g. water quality and flow and fish and wildlife populations. 	Monitoring data Discussion with forest manager
8.1.4 8.4.3	Monitoring records are maintained in a well-ordered, up-to-date and accessible form <i>and in a format which permits the analysis of trends over time. (FSCA00, 8.4.1)</i>	Records
8.4.4	<i>The monitoring of pests and diseases is effectively integrated into the enterprise's Integrated Pest Management (IPM) strategy.</i>	
8.5.1 8.5.3	The results of the monitoring programmes are made available to all interested parties on request (within the accepted norms of commercial confidentiality, on request). <i>The document referred to in 8.5.1 is updated on at least a five-yearly basis. (FSCA00, 8.5.3SLIMF)</i>	<i>Hard copies of the document referred to in 8.5.1 are available to the public on request. (FSCA00, 8.5.4SLIMF)</i> Note: this may be combined with public management plan 4b (7.1.1)

9 Chain of custody

8.3.1	Forest products that are sold as certified are readily identifiable as originating from the evaluated forest.	Physical marking of the timber A system of paper control Daily or weekly production records.
8.3.2	The forest management enterprise maintains control of the chain of custody of the timber up to the point of sale.	Documented procedure Felling/extraction/haulage records
8.3.3	Invoices issued for certified timber sales specify: <ul style="list-style-type: none"> • The source of the certified timber • the date of sale • the quantity of certified timber sold • the specifications (species, dimensions, quality) of certified timber sold • the point at which the buyer shall take control of the chain of custody of the certified timber • certificate code • Invoices correspond to details on delivery documents 	Invoices
8.3.4	<ul style="list-style-type: none"> • <i>The enterprise keeps copies of production records and sales invoices for at least five years. (FSCA00, 8.3.5)</i> 	

10 Norms relating to specific forest types and management regimes

Does the management area contain High Conservation Value Forests ⁴ ?	Annex 1
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Does the management area contain plantations?	Annex 2
Are synthetic chemicals used?	Annex 3
Are biological control agents used?	Annex 4

Annexes

Annex 1 High Conservation Value Forests

9.1.3	<p>Managers have assessed their forest for high conservation value attributes¹. Areas identified as High Conservation Value Forests are marked on maps.</p> <p><i>HCVF include but are not limited to:</i></p> <ul style="list-style-type: none"> <i>_ threatened (including vulnerable, rare and endangered) forest types or ecosystems and old-growth forest which is depleted within a forest type or ecosystem as identified under the nationally agreed forest reserve criteria;</i> <i>_ forest types or ecosystems and old-growth forest which are under-represented in the regional conservation reserve system as implemented through Regional Forest Agreements;</i> <i>_ known and likely occurrences of threatened (including vulnerable, rare, or endangered) species and communities and relevant habitat;</i> <i>_ habitat of migratory species listed under the Commonwealth's Environment Protection and Biodiversity Conservation Act 1999;</i> <i>_ Ramsar wetlands; and</i> <i>_ natural heritage places with regionally or nationally significant concentrations of biological diversity values (e.g. refugia and centres of endemism).</i> <p><i>(defined as 'Significant Biological Diversity Values' in the AFS)</i></p> <ul style="list-style-type: none"> <i>_forest areas fundamental to meeting basic needs of local communities (eg subsistence, health)</i> <i>_forest areas critical to local communities traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in co-operation with such local communities).</i> <p>Forest managers may use the FSC Australia High Conservation Value Evaluation Framework as guidance. The latest version can be found at: http://www.fscaustralia.org/policies-and-standards/high-conservation-values</p>	Maps Assessment/management plan
9.2.1	Forest managers should consult with relevant stakeholders on the identification of High Conservation Values and management options for any High Conservation attributes identified.	Discussion with forest manager Consultation results
9.3.1 9.3.2 9.3.3	<p>Specific protection measures are detailed and implemented for identified High Conservation Value areas and/or attributes.</p> <p>The identified protection measures adopt a precautionary approach.</p>	Management planning documentation Operational manuals

	The identified protection measures are included in the publicly available management plan.	Discussion with forest manager Field observation
9.4.1	A programme of at least annual monitoring, appropriate to the size and vulnerability of the conservation attributes, is documented and implemented.	Monitoring programme and records

Annex 2 Plantations

10.1.1 10.1.2	Natural forest conservation and restoration are explicitly included within the objectives of plantation management. Strategies and procedures for achieving these objectives are effectively implemented.	Management planning documentation
10.2.1	Plantation management is designed to maintain or enhance characteristics of adjacent natural forest	Management planning documentation
10.2.2	There are documented policies and procedures which ensure that:: <ul style="list-style-type: none"> - a mosaic of stand ages and rotations are created and maintained; - wildlife corridors are provided; - where there are corridors of natural vegetation by streamsides or in gullies these are protected from planting and harvesting operations, and developed into streamside reserved areas; 	Documented policies and procedures
10.2.3	Both general siting and internal design of plantations are in harmony with the landscape of the area.	Management planning documentation Field observations
10.3.1 10.3.2 10.3.3	Management planning includes evaluation of economic, ecological and social stability. Management promotes diversity of plantation size and distribution in the landscape. Management makes provision for:	Plantation design Species composition Age class distribution

10.3.4	<ul style="list-style-type: none"> the use of a variety of tree species and provenances or other plants. age and structural diversity of plantation in the landscape. 	Range of products
10.4.1	There is a clear justification for the choice of species and genotypes chosen.	Discussion with managers
10.4.2 10.4.3 10.4.5 10.8.1	<p>Where an exotic species has been selected:</p> <ul style="list-style-type: none"> The use of an exotic species must be explicitly justified It must not be invasive. <i>If the objective of planting is the restoration of a degraded ecosystem, exotic species shall not be used unless there is no viable native species alternative. (FSCA00, 10.4.3P)</i> There is no large scale planting of species that have not been shown to be appropriate to the site on the basis of local trials or experience 	Documented justification and assessment
10.5.1 10.5.2	At least 10% of the area of the management area must be managed to enhance its natural characteristics and with biodiversity as a major objective. <i>Note : Under active review based on further development of FSC Australia standard.</i>	See 4c
10.6.1 10.6.3	Means to protect soils are explicitly detailed in management plans or supporting documents	There is no evidence of site degradation in the field.
10.7.1 10.7.3	<p>There is an integrated pest management strategy.</p> <p>This shall incorporate measures to control or eradicate exotic invasive plants.</p>	Discussion with manager. Documented strategy
10.7.4	There is a strategy to minimise the use of chemical pesticides and fertilisers in plantations and nurseries.	Discussion with manager. Documented strategy
10.8.2	Plantations are not established on sites of important or sensitive ecosystems; areas of high or unique biological diversity; planned conservation or protection areas or where there are possible adverse effects on an important water catchment area.	Management planning documentation
10.9.1	The plantation is not established on land converted from natural forest after November 1 st 1994 (but see 6.10 and 10.9), unless there is clear evidence that the current owner(s) and	Evidence of previous land use

	manager(s) were not directly or indirectly responsible for the conversion.	
6.10.1.d	<i>Any conversion complies with relevant state or federal legislation, and the enterprise has all necessary approvals for the conversion, in line with the applicable Commonwealth and state territory requirements (FSCA00, 6.10.3)</i>	

Annex 3 Chemicals

6.6.1	Documented pest, disease and weed control strategies are available.	Documented strategy
6.6.2	Procedures are in place to record all use of synthetic chemicals by the forest management enterprise Records of chemical use include: a) Name of the product b) Location of the site treated; c) Area of the site treated; d) Method of application; e) Date chemical use started; f) Date chemical use finished; g) Total quantity of the chemical used;	Records
6.6.3 6.6.4	Chemicals are only used when absolutely necessary to achieve defined management aims where there is no known non-chemical alternative not entailing excessive cost.	Discussion with manager
6.6.5	A procedure is in place to record the most appropriate non-chemical alternative that was considered and rejected prior to use of the synthetic chemical, together with the justification for use of the chemical rather than the non-chemical alternative.	Records

6.6.6 10.6.1	Chemicals are used only in minimum effective quantities, with strict observation of controls and regulations.	Records
6.6.7 6.6.8 6.6.9	The use or storage of chemical chemicals prohibited by FSC (see FSC-POL-20-602) on certified units is prohibited unless a derogation has been approved by FSC. <i>The enterprise shall have an up-to-date copy of FSC's list of 'highly hazardous' pesticides (FSCA00, 6.6.3).</i>	Documents Site inspection
6.6.9	Training and relevant equipment are provided to all operators.	Training records and equipment availability
6.6.11	All equipment for the transport, storage and application of chemicals must be maintained in a safe and leakproof condition.	Site inspection
6.6.12	Application of chemicals within 10m of watercourses and 30m around reservoirs and lakes is prohibited.	Documented procedure
6.6.13	Application if heavy rain is expected, during wet weather, on frozen snow-covered ground or ground which has baked dry during a drought is prohibited.	Documented procedure
6.6.14	Soaking of seedlings treated with chemicals in drains or watercourses prior to planting is prohibited.	Documented procedure

Annex 4 Biological control

6.8.1	There is a procedure in place for the documentation and monitoring of all use of biological control agents.	Documented procedure
6.8.2	Biological control agents are used only when absolutely necessary to achieve defined management aims as part of integrated pest management system (use of naturally occurring	Documented strategy

	organisms is permitted).	
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