



Woodmark

Generic Standard and Checklist

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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
Soil Association Certification Ltd • Company Registration No. 726903 • A wholly-owned subsidiary of the Soil Association Charity No. 206862

Scope

The Woodmark Generic Standard has been designed for use worldwide in FSC forest management evaluations where there is no existing FSC accredited national standard.

Purpose

This checklist has been designed to comply with FSC-STD-20-002 (v3.0; 2009) Structure, content and local adaptation of Generic Forest Stewardship Standards.

This checklist presents the Soil Association Woodmark Forestry Standard. The checklist has been designed for use:

- As the basis for development of a regionally specific standard, prior to a forest evaluation
- As the basis for self assessment by a forest manager or owner
- As the basis for a Woodmark scoping visit
- As the basis for a Woodmark evaluation

Layout of the standard:

The FSC Principles and Criteria of Forest Stewardship

The Standard is designed to follow the FSC Principles and Criteria for Forest Stewardship (FSC-STD-01-001 (v4.0; 2002)).

The Standard is divided into 10 sections, each corresponding to one of the FSC principles. The principle itself is written across the top of each section in a grey shaded rows.

Beneath each FSC principle the Standard lists each of the FSC criteria. The criteria are also in grey shaded rows, stretching across the first two columns of the table.

The Woodmark Standard

Each page of the table is divided into 4 columns.

The first column lists all the Soil Association Woodmark indicators for a given FSC Criterion. For example, beneath FSC criterion 1.1 there are three Woodmark indicators, numbered 1.1.1, 1.1.2 and 1.1.3. The Woodmark indicators explain what the owner/manager has to achieve in order to fully meet the FSC criterion. The section on scoring, below, explains what happens if the manager meets some of the indicators but not others, only partially meets the indicators, or feels that the indicator is inappropriate or inapplicable.

The second column lists 'Verifiers'. Verifiers are simply elements of evidence that the inspector can use to verify that the Woodmark indicators are met. Sometimes the verifier is a document, such as a written policy or a map; sometimes the inspector can verify the indicator by talking to the forest manager, to workers, or to other people involved with the forest enterprise; sometimes the inspector can verify the indicator by making an observation in the forest itself. The forest manager does not have to have all the documents mentioned as possible verifiers – the listed verifiers are just examples. If a particular document does not exist the inspector will look for another way of confirming that the criterion has been met.

The third column has several different purposes, depending on the purpose the generic standard is being used for.

- When the standard is being used as the basis for **development of a regional standard**, the third column is used to record local or regional information and comments that will help tailor the standard to the particular region and situation it is being used in. For example, FSC Criterion 2.2 refers to communities with legal or customary tenure. The local guidance column for the first Woodmark indicator requests information about local communities that have customary or use rights. This information will be annotated before a full inspection, and used to create a regional version of the standard for a specific forest evaluation. Parts of the standard may also be modified during this process – where there is a regional consensus as to what constitutes good forest management on some particular issue, or in a given situation. The only thing that cannot be changed during this process of regionalisation is the FSC Principles and Criteria – these can only be changed by FSC.

An additional and important aspect of regionalisation is that stakeholders and the forest manager are provided with an opportunity to comment on the standard before the evaluation visit. The forest managers' comments will be considered at the same time as the comments of other consultees.

- When the standard is being used for **self assessment** by a forest manager or owner, the third column can be used for recording the forester's comments or questions. These might be notes about the location of relevant documentation, or aide memoires to remind the manager how the particular indicator is met. The forest manager can also use this as the basis for comments or questions to Woodmark – for example to clarify what is meant by a particular indicator.
- The third column can also be used by the inspector during a **pre-evaluation or 'scoping' visit**. In this case the inspector will record observations in the column, and make notes about any aspects of the standard that the forest owner or manager does not comply with. The main gaps will then be summarised in a pre-evaluation report for the forester owner/manager. The inspector will also try to record as much local information as possible during the visit, to help make a properly regionalised standard for the full inspection visit.
- Finally, the third column is used by the inspector during a **full evaluation** to record their observations and comments. The inspector will be creating a record of what was seen or observed in order to verify a particular Woodmark indicator, whether anything was missing, or any other information which is relevant to the inspection.

The fourth column is only used for a full evaluation. The column is there for the inspector to provide a 'score' for each Woodmark indicator, and each FSC Criterion. The scoring system is described below:

Scoring

The Woodmark certification system is based on the recording of factual observations by the inspector, and secondly on the inspector's professional judgement as to whether each Woodmark indicator and FSC Criterion has been met. However, Woodmark does not insist on perfection. There will be few forest managers who can meet every one of the indicators consistently.

For each Woodmark indicator, the inspector will mark the fourth column with the appropriate symbol (see key below):

Y or 3= Indicator has been met,
N or x = Indicator has not been met or
NA = Indicator is not applicable in this situation.

These marks do not have a rigid effect on the certification decision, but will show the general level of compliance and non-compliance.

The next stage is more important for coming to a decision. For each FSC criterion, the inspector will recommend a score of between 1 and 5, on the following basis:

1. Major Non-Compliance. Performance on the criterion as a whole does not constitute good stewardship of the forest resource. There is either evidence of poor stewardship, or a significant risk that problems will result if corrective action is not taken;
A non-compliance shall be considered major if, either alone or in combination with further non-compliances of other indicators, it results in, or is likely to result in a fundamental failure to achieve the objectives of the relevant FSC Criterion in the Forest Management Unit(s) within the scope of the evaluation.
continue over a long period of time, *or*
are repeated or systematic¹, *or*
affect a wide area, *or*
are not corrected or adequately responded to by the forest managers once they have been identified.

A Major non-compliance will generally result in a Pre-Condition or Major Condition.

2. Minor Non-Compliance. The most important indicators of the criterion are met, but there are elements that should be improved to ensure that good stewardship is maintained in the long term;
A non-compliance may be considered minor if:
it is a temporary lapse, *or*
it is unusual/ non-systematic, *or*
the impacts of the non-compliance are limited in their temporal and spatial scale, *and*
prompt corrective action has been taken to ensure that it will not be repeated, *and*
It does not result in a fundamental failure to achieve the objective of the relevant FSC Criterion.

A Minor non-compliance will generally result in a Condition or Observation.

3. Compliance. A score of 3 is what would be expected from a well-managed enterprise of the size, type and complexity of the applicant. This level of achievement represents good forest stewardship.

¹ The certification body shall determine whether the number and impact of a series of minor non-compliances identified during sampling is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-compliances shall constitute a major non-compliance.

4. Strength. A score of 4 represents a particularly high level of performance for the criterion. A score of 4 could be awarded when the forest management enterprise has had to overcome particular obstacles to achieve the level of performance shown, or scores particularly highly on some aspects of the criterion, though not on others.
5. Strength. A score of 5 would be awarded for outstanding performance on a particular criterion. A score of 5 recognises outstanding merit in achieving the criterion, through innovative or state of the art management. A score of 5 could be awarded for technical, social or environmental aspects of the management.

Example of Inspector's completed checklist

FSC
Principle

FSC
Criterion

Soil
Association
Woodmark
Indicator

FSC PRINCIPLE # 5: BENEFITS FROM THE FOREST Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.			
SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.		Overall Score for Certification	3
5.1.1 There is a work plan and budget for the forest management enterprise showing expected costs and revenues for at least the current financial year.	Annual budget	Budget clearly set out, expected costs and revenues shown for two years	√
5.1.2 The income predicted in the annual budget is consistent with the expected rate of harvest of forest products (see 5.6).	Product yields stated in annual budget		√
5.1.3 The income predicted in the annual budget is consistent with product values comparable to regional or national indicators,	Product values stated in annual budget	Product values appear to be somewhat overestimated	x
5.1.4 The annual budget incorporates stumpage, royalties or rents as required.	Annual budget	Regional Guidance: <i>royalties must be paid to the local forest department administration on annual basis (see regulation FD 4.511a 1989)</i>	√
FSC Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.		Overall Score for Certification	4
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. (see 5.4 below for related indicators)	Sales information Discussion with local community	Clear management commitment for encouraging local processors with written strategy, several local companies already supplied with timber.	√
FSC Criterion 5.3 Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.		Overall Score for Certification	2
5.3.1 New on-site processing machinery is selected taking into account the need to minimise timber waste	Evaluation of recent machinery purchases	No recent purchase, no short term requirements for extra machinery	NA
5.3.2 Timber is extracted and processed promptly after felling.	No evidence of wastage through delayed extraction or processing	Some evidence of wastage of timber at the road side	X

Score (for
criterion
5.1)

Regional
Guidance

Inspectors
mark (for
indicator
5.2.1)

Verifiers

Inspectors
Comments

The basis for a certification decision

Woodmark will use the inspector's recommended scores to come reach a certification decision.

Firstly, a score of '1' on any criterion normally represents a major non-compliance with the Standard, and requires some corrective action to be taken by the forest manager before a certificate can be awarded. Possible corrective actions may be discussed with the inspector, but ultimately the inspector cannot provide definitive advice about what corrective action would be sufficient to satisfy the requirements for certification. The inspector's role is to identify the problem; it is the forest manager's role to find the solution.

Secondly, a score of '2' on any criterion normally represents a minor non-compliance, and will result in either a recommended 'condition' for certification, or an 'observation'. 'Conditions' are corrective actions that the forest manager will be asked to implement within a set period of time (commonly 1 to 2 years). A certificate can still be issued, on the condition that the manager makes the corrective action within the specified time. Woodmark will check this at subsequent annual monitoring visits. An 'observation' does not *require* any corrective action on the part of the manager, but represents an area that will be looked at closely by inspectors on subsequent visits.

Thirdly, the scores for each FSC Principle will be added together and averaged. In order for Woodmark to issue a certificate the forest manager must have an average score of at least 3 (the level representing good forest stewardship) on *each FSC principle*. If the score on any principle averaged less than 3, then Woodmark would not award a certificate even though no specific pre-conditions had been specified. This does not mean the forest enterprise has failed – but that further work is required on that particular principle before a certificate can be issued. If the manager takes corrective actions within a reasonable length of time, then the Woodmark inspector will carry out an inspection of the requirements for that Principle only, and if performance now averages 3 or more then a certificate can be issued.

Where a single FSC criterion – e.g. criterion 6.2 – is itself subdivided, each subdivision will be summed and averaged to get a single figure for the criterion as a whole. It is this figure that will contribute to the overall score for the Principle. However, a score of '1' on a sub-criterion will still be regarded as a major non-conformance, resulting in the issue of pre-condition to certification.

Review of inspector's recommendations and scores

The inspector's recommendations are not final. Woodmark will only make its final certification decision after the inspector's report has been reviewed by the applicant, and after the report has also been reviewed by our Peer Review Panel.

We will take into account the comments of the forest manager, and the Peer Review Panel. We are ready to discuss the pre-conditions, or conditions for issuing a certificate, and to clear up any outstanding issues. The scores recommended by the inspectors may be changed as a result of this process.

Once we have done this we will finalise the certification evaluation report and finalise our certification decision.

SUMMARY OF SCORES FOR EACH FSC PRINCIPLE	
Principle	Score
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

SUMMARY OF SCORES FOR EACH FSC CRITERION

Principle 1	
Criterion	Score
1.1	
1.2	
1.3	
1.4	
1.5	
1.6	
All Criteria with score of 1 or 2:	
Average for Principle 1	

Principle 2	
Criterion	Score
2.1	
2.2	
2.3	
All Criteria with score of 1 or 2:	
Average for Principle 2	

Principle 3	
Criterion	Score
3.1	
3.2	
3.3	
3.4	
All Criteria with score of 1 or 2:	
Average for Principle 3	

Principle 4	
Criterion	Score
4.1	
4.2	
4.3	
4.4	
4.5	
All Criteria with score of 1 or 2:	
Average for Principle 4	

Principle 5	
Criterion	Score
5.1	
5.2	
5.3	
5.4	
5.5	
5.6	
All Criteria with score of 1 or 2:	
Average for Principle 5	

Principle 6	
Criterion	Score
6.1	
6.2a, 6.2b, 6.2c	
6.3	
6.4	
6.5a, 6.5b, 6.5c	
6.6a, 6.6b, 6.6c	
6.7	
6.8	
6.9	
6.10	
All Criteria with score of 1 or 2:	
Average for Principle 6	

Principle 7	
Criterion	Score
7.1a, bi, bii, c, d, e, f, g, h,	
7.2	
7.3	
7.4	
All Criteria with score of 1 or 2:	

Average for Principle 7	
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Principle 8	
Criterion	Score
8.1	
8.2i, ii, iii, iv	
8.3	
8.4	
8.5	
All Criteria with score of 1 or 2:	
Average for Principle 8	

Principle 9	
Criterion	Score
9.1	
9.2	
9.3	
9.4	
All Criteria with score of 1 or 2:	
Average for Principle 9	

Principle 10	
Criterion	Score
10.1	
10.2a,b,c	
10.3	
10.4	
10.5	
10.6	
10.7	
10.8	
10.9	
All Criteria with score of 1 or 2:	
Average for Principle 10	

FSC 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.			
SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 1.1 Forest management shall respect all national and local laws and administrative requirements.		Overall Score for Certification	
1.1.1 There is no evidence of outstanding claims of non-compliance with national and local laws and administrative requirements related to forest management.	Consultation with regulatory authorities and other interested parties No evidence of non compliance from audit Forest management policies and procedures demonstrate compliance with relevant requirements	Regional Guidance: note relevant laws and administrative requirements: Regional Guidance: note appropriate regulatory authorities	
1.1.2 Forest managers demonstrate awareness of relevant codes of practice, guidelines or agreements.	Discussion with forest managers		
1.1.3 There is no evidence of non-compliance with relevant codes of practice, guidelines or agreements.	Discussion with forest managers Forest management policies and procedures		
FSC Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.		Overall Score for Certification	
1.2.1 Forest managers provide evidence that applicable fees, royalties, taxes and other applicable charges have been paid.	Receipts Accounts No evidence of non-payment	Regional guidance: note applicable fees, royalties, charges	
FSC 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.		Overall Score for Certification	

1.3.1 Forest managers respect CITES provisions.	Discussion with forest managers Species on CITES list are protected (see Annex 3) Export licences are available as required	Regional Guidance: note local species on CITES appendices 1 and 2	
1.3.2 Forest managers implement appropriate controls to ensure that ILO provisions appropriate to their region are respected. 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.	Discussion with forest managers Policies and procedures See Annex 5 for further information on ILO conventions	Regional Guidance: note applicable ILO conventions Note that a number of ILO conventions are addressed under principles 3, 4, 7	
1.3.3 No child labour is used	ILO Conventions 138 & 182, ILO Declaration 1998, or equivalent national legislation. Interviews with workers and their labour organisations or unions Records of labour inspectorate Site inspection	As a general guide children under the age of 15 should not be employed (ILO 138 article 3). National legislation may require a higher minimum. Young people under the age of 18 should not be employed in potentially hazardous activities such as pesticide application, harvesting, heavy work, work at night, unless there is special provision for safety or traditional/community circumstances exist.	
1.3.4 National minimum wage provisions are adhered to.			
1.3.5 There is no forced labour or debt bondage.	ILO Conventions 28 & 105, ILO Declaration 1998, or equivalent national legislation Interviews with workers and their labour organisations or unions Records of labour inspectorate		
1.3.6 Forest managers ensure that implications of ITTA provisions appropriate to their region are respected.	Discussion with forest managers Policies and procedures Interviews with workers and their labour organisations or unions Records of labour inspectorate	Regional Guidance: is country signatory to ITTA?	

1.3.7 Forest managers ensure that provisions of the Convention on Biological Diversity applicable in their region are respected.	Discussion with forest managers Policies and procedures	Regional Guidance: note implications of Convention on Biological Diversity in the region	
1.3.8 Forest managers implement appropriate controls to ensure that other appropriate international agreements are respected.	Discussion with forest managers Policies and procedures	Regional Guidance: note any other applicable international agreements	
FSC 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.		Overall Score for Certification	
1.4.1 Conflicts between laws, regulations and the FSC Principles and Criteria are identified and evaluated by the forest managers, and brought to the attention of the inspection team.	Discussion with forest managers Conflicts shall be assessed by Woodmark in co-operation with the inspectors and involved parties		
FSC Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities.		Overall Score for Certification	
1.5.1 The forest management unit is protected from harvesting activities and other activities not controlled by forest managers or local people with use rights (e.g. settlement, illegal harvesting, poaching).	Systems for protection documented. No evidence of any ongoing unauthorised activities.		
1.5.2 Systems to identify and prevent unauthorised activities are in place.	Systems documented		
1.5.3 Managers have taken measures to stop illegal or unauthorised uses of the forest.	Discussion with managers		
FSC Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.		Overall Score for Certification	

1.6.1 Forest managers shall provide a documented statement declaring their long-term commitment to comply with FSC Principles and Criteria.	Written statement approved by appropriate management personnel Managers display understanding of and commitment to FSC Principles and Criteria		
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 Written declaration and list of sites if applicable	Note need to evaluate against FSC policies on Partial Certification and Excision	

FSC PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES

Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER	COMMENTS and REGIONAL GUIDANCE	score
FSC 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.		Overall Score for Certification	
2.1.1 Legal ownership or tenure can be proved and is not subject to dispute.	Absence of significant disputes In the case of a dispute legal documents such as title deeds, lease agreement, or other appropriate documentation are available for inspection.	Note need to evaluate forest use rights and record these here.	
2.1.2 A map is available clearly showing legal boundaries.	Maps		

2.1.3 Land is dedicated to long term forest management.	<p>Evidence that management planning plans for more than one rotation</p> <p>No evidence of plans or activities that would prevent long term forest management</p>		
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.	<p>ILO Convention 169 Art 14-17</p> <p>Interviews with local community representatives and indigenous peoples</p> <p>Maps demonstrating extent of titled lands or recognised territories</p> <p>Records in land cadasters and/or forestry departments</p>		
<p>FSC Criterion 2.2</p> <p>Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</p>		Overall Score for Certification	
2.2.1 All legal or customary tenure or use rights to the forest resource of all local communities are clearly documented and mapped by the forest managers.	<p>Discussion with managers</p> <p>Consultation with local community</p> <p>Maps</p> <p>Documentation of all rights of way, use of common land, and usufructuary rights, etc.</p>	Regional guidance: identify local communities that have customary tenure or use rights in the area:	

2.2.2 All legal or customary tenure or use rights to the forest resource of all local communities are recognised and respected in forest management planning and practice.	<p>Discussion with managers</p> <p>Consultation with local community representatives</p> <p>Evidence in management plans and practices</p>		
2.2.3 Forest managers provide local communities control over forest operations to the extent necessary to protect their rights and resources.	<p>Existence of formal consultative committees and procedures</p> <p>Consultation with local community representatives</p> <p>Free and informed consent expressed by community representatives</p> <p>Absence of significant disputes</p> <p>Documentary evidence of agreements</p> <p>No evidence of restrictions imposed by forest managers without community consent</p> <p>Appropriate payment or compensation for forest resource use.</p>	<p>Regional Guidance: In countries where local communities are less physically dependent on forests but value the forest for aesthetic, spiritual or recreational reasons, consultation with representative organisations e.g. councils, citizens groups and local environmental groups should take place.</p>	
<p>FSC Criterion 2.3</p> <p>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>		Overall Score for Certification	

2.3.1 Mechanisms exist for resolution of disputes between the forest managers and the local community over claims relating to tenure and/or use rights.	Consultation with local community representatives	Regional Guidance: Please mention any mechanisms exist in the area concerned:	
2.3.2 Mechanisms for dispute resolution are respected in the event of any dispute between local communities and forest managers regarding tenure claims and use rights.	Consultation with local community representatives		
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		
2.3.4 Forest managers provide access to forest resources for local communities without legal or customary land rights, where such access does not prejudice the achievement of management objectives.	ILO Conventions 169 or equivalent national legislation or agreements Documents– records of fora for participation/ meetings Court records Community consultation	Regional Guidance: Please note any known use of forest resources by local communities who do not enjoy legal or customary use rights:	
2.3.5 There is no evidence of any unresolved dispute of substantial magnitude involving a significant number of interests regarding tenure and use rights	Community consultation	Regional Guidance: Please note any known disputes regarding tenure and use rights:	

FSC 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.			
SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER	COMMENTS and REGIONAL GUIDANCE	score
FSC 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.		It should be noted that the requirements of Principle 2 all apply to the special case of Indigenous People's rights. An additional duty of care is required of forest managers operating in or near Indigenous People's lands, in recognition of the poor history of control and consent in these circumstances in the past.	
3.1.1 The identity, location and population of all indigenous and traditional peoples including migratory groups living in the vicinity of the management area are documented by the forest managers.	Documentation No evidence of groups that are not documented by the forest managers	Regional Guidance: identify local communities that have customary tenure or use rights in the area: Regional Guidance: Note that in some countries there are legal requirements in relation to defining indigenous peoples.	
3.1.2 All claims to lands, territories or customary rights within the management area are documented and/or clearly mapped.	Maps Consultation with community representatives		
3.1.3 The communities concerned have identified themselves as indigenous or tribal	ILO Convention 169 Article 1 (2)		
3.1.4 Forest management operations do not take place in areas identified in indicator 3.1.2 above, without clear evidence of the free and informed consent of the indigenous or traditional peoples claiming such land, territory or customary rights.	ILO Convention 169, Article 6 (1) and 1 (2) Consultation with local community representatives Evidence of free and informed consent expressed by community representatives		

	<p>Records of information (EIAs, etc) provided to the representative organisations</p> <p>Absence of significant disputes</p> <p>Documentary evidence of agreements/signed agreements</p> <p>Appropriate payment or compensation for forest resource use.</p>		
FSC Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.		Overall Score for Certification	
3.2.1 Before a forestry operation under outside management commences near an indigenous people's lands, any potential shared boundaries of the community's lands shall be physically demarcated under the supervision of the community.	<p>Field inspection</p> <p>Community consultation</p>		
3.2.2 The forestry management operation shall document any potential threats, direct or indirect, to the resources or rights of such indigenous peoples (e.g. disturbance to water resources and wildlife).	<p>Documented policies and procedures</p> <p>No evidence of such activities</p> <p>Community consultation</p>	Guidance: Identify any potential threats to the resources of neighbouring indigenous peoples.	
3.2.3 The forestry management operation shall have documented policies and procedures to prevent any encroachment, or direct or indirect threat to the resources or rights of such indigenous peoples.	<p>Documented policies and procedures</p> <p>No evidence of encroachment or threats to indigenous peoples' resources or rights</p> <p>Community consultation</p>		
3.2.4 Traditional access for subsistence uses and traditional activities is granted	<p>ILO Convention 169 or equivalent legislation</p> <p>Interviews with representatives of local communities and workers and their labour organisations or unions</p>		

	Interviews with representatives of indigenous and traditional peoples		
FSC Criterion 3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.		Overall Score for Certification	
3.3.1 Policies and procedures for the identification, recording and mapping of sites of archaeological, religious, historical or other cultural sensitivity prior to the commencement of forest management activities in the forest management area as a whole are documented and have been implemented.	Documented policies and procedures Records Maps	Regional Guidance: please note any known sites or types of site of archaeological, religious, historical or other cultural sensitivity within the management area:	
3.3.2 The policies and procedures include the involvement of Indigenous peoples in the identification of such areas.	Records of involvement Consultation with Indigenous peoples' representatives		
3.3.3 Policies and procedures for the identification and protection of such sites during management operations (e.g. harvesting, road building, etc) are documented and implemented.	Procedure documented Employees informed		
3.3.4 Policies and procedures for the appropriate protection or management of identified sites are documented and implemented.	Documented policies and procedures Management planning documents	Regional Guidance: please note any statutory obligations to protect or manage such sites, or to inform appropriate authorities of the existence of such sites.	
3.3.5 All plans for the protection or management of such sites are subject to the full and informed consent of representatives of indigenous peoples.			
FSC 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.		Overall Score for Certification	
3.4.1 Managers have recorded known applications of traditional knowledge (e.g. regarding the use of forest species or management systems) in the forest operations.	Records	Regional Guidance: please note any known applications of traditional knowledge in the use of forest species or management systems in the area:	

3.4.2 Local communities have been informed of such applications, including the potential commercial benefits of such applications to the forest management enterprise.	Records Discussion with local community representatives		
3.4.3 Local communities are compensated for any such applications, in accordance with prior agreements.	Procedure and payment rates for compensation documented Records of payment		

FSC 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.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.		Overall Score for Certification	
4.1.1 Local and forest-dependent people have equal access to employment and training opportunities.	ILO Conventions 169, or equivalent national legislation or agreements Recruitment strategy Evidence of employment of local personnel Advertisements in local newspapers Discussion with local communities		

4.1.2 Appropriate to the size, type and location of the forest management enterprise, members of local communities are provided with access to basic services (e.g. health and education).	Support of local health facilities Provision of clean water Provision of workers' accommodation Provision of nursery or primary schooling Provision of training	Regional Guidance: Please state the kinds of services that would be expected to be provided by a responsible employer in the area concerned: Please mention any relevant laws and regulations	
4.1.3 Workers are not discriminated in hiring, advancement, dismissal, remuneration and employment related social security	ILO Conventions 100 & 111, ILO Declaration 1998, or equivalent national legislation Interviews with workers and their labour organisations or unions Payroll (of enterprise and/or contractors) Findings of employment surveys Records of labour inspectorate		
4.1.4 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.	ILO Convention 131 or equivalent national legislation Interviews with workers and their labour organisations or unions Payroll (of enterprise and/or contractors) Findings of employment surveys Records of labour inspectorate		
FSC Criterion 4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.		Overall Score for Certification	
4.2.1 Managers are familiar with relevant health and safety guidelines and regulations.	Accessible copies of guidelines and regulations Discussion with managers	Regional Guidance: please note all relevant health and safety guidelines and regulations	
4.2.2 Managers have assessed the risk to workers of particular tasks and equipment, and take measures to reduce or eliminate such risks.	Written assessments of risk Discussions with Managers		

4.2.3 Safety training is carried out, relevant to the tasks of workers and the equipment used.	Training procedure documented Training records Employees aware of safety procedure		
4.2.4 Workers are provided with safety equipment, relevant to the tasks of workers, the equipment used and consistent with ILO Code of Practice on Safety and Health in Forestry.	Safety equipment available and in good condition ILO Conventions 155, ILO code of Practice on Safety (1988) or equivalent national legislation		
4.2.5 Managers take measures to ensure that workers use any safety equipment that is provided.	Manager's job descriptions Disciplinary measures for failure to use safety equipment		
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 Discussions with managers Evidence that preventative actions implemented		
4.2.7 There is assured compensation benefits in case of accidents.	Compensation protocol documented Records of payments kept		
4.2.8 Health and safety measures comply with national minimum requirements.	No evidence of non compliance As appropriate: Safety procedures and manuals		
4.2.9 Where workers stay in camps, conditions for accommodation and nutrition comply at least with ILO Code of Practice on Safety and Health in Forestry	ILO Conventions 155, ILO code of Practice on Safety (1988) or equivalent national legislation Interview with workers and their labour organisations or unions and community representatives		
FSC Criterion 4.3 The rights of 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).		Overall Score for Certification	
4.3.1 Employment conditions comply with International Labour Organisation convention 87 This Convention relates to the rights of workers to: freedom of	Copies of ILO convention 87 Discussions with manager Written conditions of employment Contracts		

association and protection of the right to organise.	Collective agreements No evidence of non-compliance		
4.3.2 Employment conditions comply with International Labour Organisation convention 98 This Convention relates to the rights of workers to: organise and bargain collectively.	Copies of ILO convention 98 Discussions with manager Written conditions of employment Contracts Collective agreements No evidence of non-compliance		
FSC 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.		Overall Score for Certification	
4.4.1 There are systems in place that provide an evaluation of the social impact , appropriate to the size and intensity of their operations that: - identifies affected groups - includes consultation with affected groups - identifies the main impacts of the operation on those groups - specifies measures to ameliorate identified negative impacts - provides for regular contact with affected groups to monitor effectiveness of measures.	Records		
4.4.2 Results of social impact evaluation are incorporated into management decisions.	ILO Convention 169, or equivalent national legislation and agreements Management plan or supporting documents		
4.4.3 Forest managers implement a system for ongoing consultation with local people and interest groups (both men and women).	Discussion with forest managers		
FSC 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.		Regular communication will generate trust through transparency of actions, facilitate exchange of information and opinions	

4.5.1 Mechanisms for resolving grievances are documented and implemented.	Documented mechanism for resolving grievances Use of mechanism recorded Statutory procedures if applicable	Regional Guidance: please comment on whether existing statutory procedures are considered adequate to resolve grievances of this nature in the region concerned:	
4.5.2 Mechanisms exist and are implemented for providing fair compensation to local people where their legal or customary rights, property, resources or livelihoods have been damaged.	Documented procedure for deciding compensation Statutory procedures if applicable	Regional Guidance: please comment on whether existing statutory procedures are considered adequate to provide compensation of this nature in the region concerned:	
4.5.3 Inadvertent damage to indigenous and traditional resources on, or near, indigenous and traditional lands shall be compensated as agreed with the indigenous and traditional communities themselves.	Evidence of compensation in the event of any such damage Evidence of community control in determining the compensation		
4.5.4 Mechanisms exist to resolve conflicts through consultation aiming at achieving agreement or consent, avoiding damage to property, resources, rights, and livelihoods.	Discussion with forest managers Documented procedures ILO Convention 169 or equivalent national legislation or agreements		

FSC PRINCIPLE # 5: BENEFITS FROM THE FOREST

Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.		Overall Score for Certification	
5.1.1 There is a work plan and budget for the forest management enterprise showing expected costs and revenues for at least the current financial year.	Annual budget		

5.1.2 The income predicted in the annual budget is consistent with the expected rate of harvest of forest products (see 5.6).	Product yields stated in annual budget		
5.1.3 The income predicted in the annual budget is consistent with product values comparable to regional or national norm.	Product values stated in annual budget		
5.1.4 The annual budget incorporates stumpage, royalties or rents as required.	Annual budget	Regional Guidance: please provide information about regional requirements with respect to royalties or other fee payments	
5.1.5 The annual budget specifies any costs associated with implementation of the social and environmental commitments identified in Principles 4 and 6.	Annual budget		
FSC Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.		Overall Score for Certification	
5.2.1 Forest managers make a proportion of their production available to local enterprises, such as small-scale industries and processing operations. (see 5.4 below for related indicators)	Sales information Discussion with local community Note if there are any over-riding reasons preventing this.		
FSC Criterion 5.3 Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.		Overall Score for Certification	
5.3.1 There is no excessive damage to residual stands of trees during and after harvesting.	Site inspection - No evidence of excessive damage to residual stands of trees.		

5.3.2 Timber is extracted and processed promptly after felling in order to minimise waste.	Site inspection - No evidence of wastage through delayed extraction or processing		
5.3.3 The choice of on-site processing machinery includes an evaluation of the need to minimise timber waste and site damage.	Evaluation of machinery use and purchases		
FSC Criterion 5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.		Overall Score for Certification	
5.4.1 There is an evaluation 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.	Research papers/reports Local survey results Discussion with managers		
5.4.2 Managers are aware of the role of these products and services in the local economy (whether as trade goods or for subsistence).	Discussion with managers		
5.4.3 Managers have assessed the possibility of utilisation of forest services, lesser known species and NTFPs on their own account or by local enterprises.	Discussion with managers Results of assessments		
5.4.4 Managers encourage the use of forest services, lesser known species and NTFPs by local enterprises where this does not jeopardise other management objectives.	Discussion with managers Results of assessments Existing local enterprises		
FSC 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.		Overall Score for Certification	
5.5.1 Forest managers have evaluated the role and impact of the forest within the watershed. (see Criterion 6.5b for indicators with respect to maintenance of water resources and fisheries)	Discussion with managers Management planning documents		
5.5.2 Forest managers have information on the fisheries above, in and below the forest watershed.	Discussion with managers Management planning documents		

(see Criterion 6.5b for indicators with respect to maintenance of water resources and fisheries)			
5.5.3 Management plans and operations include maintenance and enhancement of watershed and fishery values identified.			
FSC Criterion 5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained.		Overall Score for Certification	
5.6.1 The silvicultural system on which management is based is clearly stated.	Management plan and/or associated documentation		
5.6.2 The expected level of harvesting on an annual basis, and in the long term (over more than one rotation) is clearly stated.	Management plan and/or associated documentation		
5.6.3 The expected level of harvesting is clearly justified in terms of the permanently sustainable yield of the forest products on which the management plan is based.	Management plan Inventory information Growth and yield models		
5.6.4 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 from relevant research and/or inventories.	Forest inventories Research papers Forestry journals National, Regional or local guidelines		
5.6.5 The expected level of harvesting in the long term does not exceed local or regional expectations of sustainable yield, taking into account any special silvicultural treatments that have been applied.	Forest inventories Research papers Forestry journals National, Regional or local guidelines		

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.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
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FSC Criterion 6.1 Assessment of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations		Information from descriptions of forest resources detailed in 7.1b should be used in assessments of impacts Assessments of impacts should be used in creating environmental safeguards detailed in 7.1f	
6.1.1 A system is specified that ensures an assessment of environmental impact is made before commencement of any site-disturbing operations. The system: <ul style="list-style-type: none"> - is appropriate to the scale and intensity of the forest management - takes account of landscape level considerations - is appropriate to the uniqueness of the affected resources 	Documented system Records of results of assessment	Regional Guidance: Please identify any regional guidelines or legislation with respect to requirements for environmental impact assessment	
6.1.2 There is a system to ensure that results of the assessment of impacts are taken account of in subsequent operations.	Documented system Records of results of assessment		
FSC Criterion 6.2a Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas).		Overall Score for Certification	
6.2.1 The likely presence of rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas) has been assessed on the basis of the best available information.	Discussion with forest managers Records Consultation with local biologists	Regional Guidance: please note any particular rare, threatened or endangered species that are likely to be relevant in the region	
6.2.2 Areas containing or likely to contain such species or are identified and marked on maps.	Maps		
6.2.3 Procedures are documented and implemented to safeguard such species and their habitats.	Management plan and/or supporting documents		

FSC Criterion 6.2b Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources.		Overall Score for Certification	
6.2.4 Areas of special regional importance for biodiversity are identified on maps, and protected from harvesting and other site disturbance.	Maps Consultation with local biologists Field visit		
6.2.5 At least 10% of the forest area is designated as a conservation zone, identified on maps, and managed with biodiversity as a major objective.	Maps Field visit	Regional Guidance: note statutory requirements for protected areas	
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.	Maps Field visit		
6.2.7 Selection of conservation zones and protected areas is justified in terms of their potential to maximise their contribution to the maintenance or enhancement of biodiversity	Maps Consultation with local biologists		
6.2.8 The protected area includes examples of all existing ecosystems within the forest area.	Maps Consultation with local biologists		
6.2.9 The movement of key plant and animal species between reserved and harvested areas is encouraged by retaining corridors of uncut forest based on streamsid es with links up slopes and across ridges to connecting any large patches of forest which will not be harvested.	Management plan and/or associated documentation Field inspection		
FSC Criterion 6.2c Inappropriate hunting, fishing, trapping and collecting shall be controlled.		Overall Score for Certification	
6.2.10 Systems for controlling hunting, fishing, trapping and collecting of animals or plants are documented.	Documents Management plan		
6.2.11 Systems are in place to prevent hunting or trapping of protected species.	Discussions with forest managers		

FSC Criterion 6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.		Overall Score for Certification	
6.3.1 The silvicultural system adopted is appropriate to the ecology of the forest.	Discussion with forest managers Discussion with local biologists		
6.3.2 Systems that use small clearfell areas, selective felling and create varied age class have been considered.	Discussion with forest managers		
6.3.3 Forestry operations must, if appropriate to the silvicultural system, aim for a mixture of compartments differing in size, shape, species, and date of planting and felling, in harmony with the landscape.	As above		
6.3.4 The scale of felling (e.g. coupe size) is commensurate with the natural dynamics of the forest type and the area under consideration (unless clearly justified silvicultural reasons are given).	Historical evidence if available Management plan and/or supporting documentation		
6.3.5 Management of the forest area as a whole is designed to ensure that the full complement of naturally occurring tree species regenerates successfully in the forest area over the duration of the rotation.	Pre-harvest inventory Post-harvest inventory Best available scientific data Discussion with forest managers Discussion with local biologists		
6.3.6 Selective felling and thinning regimes are designed to maintain genotypic diversity.	Discussion with forest managers Discussion with local biologists		
6.3.7 Biodiversity is routinely maintained by the retention of marginal habitats e.g. streamside vegetation, vegetation on rocky outcrops, swamps and heaths.	Management plan and/or associated documentation Maps Field inspection		
6.3.8 Standing and fallen dead wood habitats are retained.	Management plan and/or associated documentation Field inspection		

FSC Criterion 6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.		Overall Score for Certification	
6.4.1 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources. (See also 6.2.8)	Management plans Maps Survey Site inspection		
FSC Criterion 6.5a Written guidelines shall be prepared and implemented to: control erosion; minimise damage during road construction, and all other mechanical disturbances;		Overall Score for Certification	
6.5.1 There is written guidance or policies and procedures for new road building, road maintenance and other mechanical disturbance.	Policies and Procedures	Regional Guidance: where there are national guidelines for road building, these are adopted.	
6.5.2 Guidance, Policies and procedures include the following indicators for the design and building of new roads: <ul style="list-style-type: none"> - New roads are planned in advance on topographical maps showing existing streams - 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 streamsides is minimised - Roads are not be aligned through environmentally sensitive areas - Embankments and cuttings are stabilised to resist erosion - Drains and culverts are designed to minimise erosion 	Documents Field inspection of roads		
6.5.3 Machinery operators receive adequate training and are aware of the requirements with respect to prevention of erosion.	Training records Discussion with machinery operators		

FSC Criterion 6.5b Written guidelines shall be prepared and implemented to: protect water resources.		Overall Score for Certification	
6.5.4 Policies and procedures for the design and building of new roads include the following indicators with respect to protection of water resources, which are implemented: <ul style="list-style-type: none"> - 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 - Culverts are designed 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. 	Documented policies and procedures Field inspection of roads		
6.5.5 New roads are not constructed in streambeds. Existing roads in streambeds are closed and replacements are constructed.	Field inspection		
6.5.6 Buffer zones in which harvesting does not take place are established around all permanent watercourses.	Field Inspection		
6.5.7 There is no evidence of siltation or other damage to water sources.	Site inspection		
6.5c Written guidelines shall be prepared and implemented to: minimise forest damage during harvesting,		Overall Score for Certification	
6.5.8 There are written policies and procedures to minimise forest damage during harvesting and extraction.	Procedure documented		
6.5.9 Policies and procedures include the following indicators, which are implemented: <ul style="list-style-type: none"> - Protected areas are physically demarcated, at least 	Harvesting procedure Field inspection of harvesting sites		

temporarily, before any forest operations start on near by land - Harvesting machinery must not enter streams except at designated and designed stream crossings - Lop and top shall not be pushed into streams - Extraction is stopped when soils are saturated - The use of brash mats is specified, where appropriate			
6.5.10 Harvesting techniques are designed to minimise erosion and run off.	Procedure documented		
6.5.11 Harvesting and extraction methods are designed to minimise damage to residual trees and regeneration.	Procedure documented Field inspection		
6.5.12 New harvesting and extraction machinery is selected taking into account the need to minimise damage to soils, residual trees and regeneration.	Evaluation of new machinery purchases		
6.5.13 Workers receive appropriate training in harvesting and extraction methods.	Training records		
FSC Criterion 6.6 a 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.		Overall Score for Certification	
6.6.1 Documented pest, disease and weed control strategies are available.	Documentation	Regional Guidance: note laws and guideline referring to forest pest control	
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;	Records	Regional Guidance: note laws and guidelines referring to chemical use	

g) Total quantity of the chemical used;			
6.6.3 Chemicals are only used when absolutely necessary to achieve defined management aims.	Discussion with managers		
6.6.4 Synthetic chemicals are only used where there is no known non-chemical alternative not entailing excessive cost.	Discussion with managers		
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.	Documented procedure Records		
6.6.6 Chemicals are used only in minimum effective quantities, with strict observation of controls and regulations.	Records Field observations		
FSC Criterion 6.6b World Health Organisation Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited.		Overall Score for Certification	
6.6.7 The use or storage of these chemicals on certified units is prohibited.	Documents Site inspection	Regional Guidance: note chemicals banned within country	
6.6.8 The use or storage of seed and seedling dressings based on mercurial, organophosphate and organochlorine compounds (including Gamma HCH, Lindane and BHC), or other long-lasting chemicals which can accumulate in food chains or the ecosystem is prohibited.			
6.6.9 Chemicals classified as Highly Hazardous by FSC shall not be used unless derogation has been approved by FSC. See Annex 6 to this standard.	Chemical purchase records Chemical application records Nursery production procedures / manuals	Refer to www.fsc.org FSC-POL-30-601 Chemical Pesticides in FSC Certified Forests FSC-GUI-30-001 FSC Pesticides Policy: Guidance on Implementation	

FSC Criterion 6.6c If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.		Overall Score for Certification	
6.6.10 Training and relevant equipment are provided to all operators.	Training manuals Training records		
6.6.11 Fuel tanks and stores are located so that spillages from damage, defects or refuelling shall not enter watercourses.	Site inspection		
6.6.12 All equipment for the transport, storage and application of chemicals shall be maintained in a safe and leakproof condition.	Site inspection		
6.6.13 Application of chemicals within 10m of watercourses and 30m around reservoirs and lakes is prohibited.	Documented procedure / manuals		
6.6.14 Application if heavy rain is expected, during wet weather, on frozen snow-covered ground or ground that has baked dry during a drought is prohibited.	Documented procedure / manuals		
6.6.15 Soaking of seedlings treated with chemicals in drains or watercourses prior to planting is prohibited.	Documented procedure / manuals		
FSC Criterion 6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.		Overall Score for Certification	
6.7.1 Off-site locations have been identified for the disposal of chemicals, containers, liquid and solid non-organic waste in an environmentally appropriate manner.	Site inspection		
6.7.2 There is a system in place for taking waste to the appropriate locations for disposal.	Discussion with managers Inspection		
6.7.3 Disposal does not take place in watercourses or lakes or by burying.	No evidence of inappropriate disposal		
6.7.4 There is no evidence of waste left in the forest.	No evidence of inappropriate		

	disposal		
FSC 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.		Overall Score for Certification	
6.8.1 There is a procedure in place for the documentation and monitoring of all use of biological control agents.	Documented procedure Records	Regional Guidance: notes laws and guidelines on use of biological control agents	
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 organisms is permitted).	Pest and disease control strategy		
6.8.3 There is no use of genetically modified organisms by the forest management enterprise.	No evidence of GMO use		
FSC Criterion 6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.		Overall Score for Certification	
6.9.1 All use of exotic species is documented and justified.	Documents		
6.9.2 Exotic species used are monitored to evaluate potential adverse ecological impacts.	Documents Site inspection		
6.9.3 In the event that adverse ecological impacts are identified control actions are implemented.	Documents Site inspection		
FSC Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: 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.		Overall Score for Certification	
6.10.1 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:	No plans for conversion exist No evidence of conversion		

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.			
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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.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 7.1a The management plan and supporting documents shall provide: Management objectives.		Overall Score for Certification	
7.1.1 There is a clear statement of the objectives of forest management	Management plan	Regional Guidance: note requirements of regional authorities and forest grant schemes	
FSC Criterion 7.1b (i) The management plan and supporting documents shall provide a description of the forest resources to be managed and environmental limitations.		Overall Score for Certification	
7.1.2 There is a clear description of the area under management control.	Documents Maps		
7.1.3 There is a description of the physical aspects of the management area (e.g. topography, soils, geology, and water resources), appropriate to the scale and intensity of the forest and management programme.	As above		
7.1.4 There is a clear description of any areas under management control, which are excluded from harvesting, for whatever reasons.	As above		
7.1.5 Areas that have been harvested in the past are known, and are marked as such on maps.	As above		
7.1.6 There is an evaluation of the timber resource (inventory), sufficient in detail and rigour to justify the planned harvesting for the	Forest inventory		

full rotation, and to demonstrate convincingly that yields will be permanently sustainable in successive rotations. (see also Criterion 5.6)			
FSC Criterion 7.1b (ii) The management plan and supporting documents shall provide a description of land use and ownership status, socio-economic conditions, and a profile of adjacent lands.		Overall Score for Certification	
7.1.7 There is a description of the land use and ownership status.	(and see 2.2, 3.1, 3.3, 4.4)		
7.1.8 There is a description of the socio-economic context for management.			
7.1.9 There is a description of adjacent land use.			
FSC Criterion 7.1c The management plan and supporting documents shall provide a description of the silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories		Overall Score for Certification	
7.1.10 The silvicultural system on which management is based is clearly stated and justified in terms of the ecology of the forest.	See 5.6.1 and 6.3.1		
7.1.11 The management prescriptions and procedures required to implement the silvicultural system are clearly stated, as, for example: <ul style="list-style-type: none"> - identification and marking of trees to be retained for future extraction, as seed sources, or to maintain biodiversity; - selection criteria of trees for felling; - method of marking trees or area selected for felling - method of ensuring regeneration; 	Procedure documented Field Inspection (see 5.6)		
FSC Criterion 7.1d The management plan and supporting documents shall provide rationale for rate of annual harvest and species selection			
7.1.12 The management plan and supporting documents shall provide rationale for rate of annual harvest and species selection.	See 5.6		

FSC Criterion 7.1e The management plan and supporting documents shall provide provisions for monitoring of forest growth and dynamics.			
7.1.13 Procedures for monitoring forest regeneration and growth are documented and implemented.	Procedure documented See 8.2		
FSC Criterion 7.1f The management plan and supporting documents shall provide: Environmental safeguards based on environmental assessments.		Safeguards should be based on environmental assessments detailed in 6.1	
7.1.14 The need for fire management and control has been evaluated and is documented.	Discussions with manager Documents Fire plan		
7.1.15 Environmental safeguards based on environmental assessments are implemented.	Discussions with manager Documents		
FSC Criterion 7.1g The management plan and supporting documents shall provide: Plans for the identification and protection of rare, threatened and endangered species.		Overall Score for Certification	
7.1.16 The management plan and supporting documents shall provide plans for the identification and protection of rare threatened and endangered species.	See 6.2a		
FSC Criterion 7.1h The management plan and supporting documents shall provide: Maps describing the forest resource base including protected areas, planned management activities and land ownership.		Overall Score for Certification	
7.1.17 There are maps showing the forest resource base including protected areas.	See also 2.2.1, 3.3.1, 7.1b		
7.1.18 There are maps showing land ownership. are accessible, clear and usable.	Maps		
7.1.19 There are maps showing planned management in the short term (5-10 years) and longer term (20 years or more).	Maps		

FSC Criterion 7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.		Overall Score for Certification	
7.2.1 There is a system in place for the regular revision and updating of the management plan.	Management plan Discussions with managers		
7.2.2 Managers are aware of relevant research being undertaken or planned in the area, e.g. concerning forest management, timber production and biology/ecology.	Discussions with managers	Regional Guidance: note organisations involved in research in the area	
7.2.3 There is a system to review management in relation to socio-economic conditions and trends.	Management Plan Social evaluation Discussions with managers		
7.2.4 There is evidence that significant findings of such research, as well as the results of monitoring by the forest management enterprise, are incorporated into updated policies, plans and procedures.	Management plan Discussions with managers		
FSC Criterion 7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.		Overall Score for Certification	
7.3.1 Managers and supervisors shall have qualification, training or experience appropriate to the scale and intensity of the operation sufficient to enable them to plan and organise forest operations and other elements of the management plan	ILO Convention 142, Code of Practice on Safety (1988) or equivalent national legislation. Skills certificates, records of training Field observation Interviews with workers or unions		
7.3.2 All workers receive training relevant to their tasks and responsibilities.	Training procedures documented Training records Employee consultation		
7.3.3 There are records of training provided to forest workers.	Training procedures documented Training records Employee consultation		

7.3.4 Appropriate to the scale and intensity of the operation there is a policy for training, qualifications, and recruitment that includes skill and experience the basis for recruitment, placement, training and advancement of staff at all levels	Policy		
FSC Criterion 7.4 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above		Overall Score for Certification	
7.4.1 A summary of management activities is available to all interested parties, within the accepted indicators of commercial confidentiality. [N.B. A summary of the main elements of the management plan listed in Criterion 7.1 above will be included in Soil Association's public summary of the evaluation, if a certificate is awarded]	Availability of information		

PRINCIPLE #8: MONITORING AND ASSESSMENT

Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC 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.		Overall Score for Certification	
8.1.1 There is a system for monitoring the impacts of forest operations.	Information may be available in the management plan or supporting documents		
8.1.2 The frequency and expense of monitoring is appropriate to the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment.	As above Monitoring system justified		

8.1.3 Procedures are consistent and replicable over time to allow comparison and assessment of change.	As above	<i>Survey methods may be simple and based on easily-obtained information e.g. fixed point photography.</i>	
8.1.4 Monitoring records are maintained in a well-ordered, up-to-date and accessible form.	As above		
FSC Criterion 8.2 a Forest management should include the research and data collection needed to monitor: Yield of all forest products harvested.		Overall Score for Certification	
8.2.1 Yields of all forest products harvested are recorded.	Production records		
FSC Criterion 8.2 b Forest management should include the research and data collection needed to monitor: Growth rates, regeneration and condition of the forest.		Overall Score for Certification	
8.2.2 Where standard growth models or information on regeneration of commercial species is not known, there is a programme in place to collect detailed information for future management.	Existence of reliable data on regeneration and growth rates A documented programme for collection of data		
8.2.3 The condition of the forest (presence of pests, diseases, evidence of soil compaction, erosion etc) is regularly monitored and reviewed.	Records of regular monitoring		
FSC Criterion 8.2 c Forest management should include the research and data collection needed to monitor: The composition and observed changes in the flora and fauna.		Overall Score for Certification	
8.2.4 Conservation areas (see 6.2) are regularly monitored to ensure that there is no evidence of deterioration or disturbance.	Monitoring procedure Monitoring data		
8.2.5 Forest managers provide for monitoring of the effects of forestry operations on plant and animal species (names, abundance, distribution, habitat requirements, biology, ecology, behaviour), commensurate with the extent and intensity of the forest management, and the rarity and fragility of the forest ecosystem and known species within it.			

FSC Criterion 8.2 d Forest management should include the research and data collection needed to monitor: Environmental and social impacts of harvesting and other operations.		Overall Score for Certification	
8.2.6 There are meetings with representatives of local communities, at which any concerns regarding the social and environmental impacts of operations are recorded.	Records of meetings with representatives of local communities (see also 4.4.1)		
8.2.7 Monitoring programmes are implemented to collect data related to environmental impacts. Such data might relate to: water quality, seasonal water flow, fish populations, wildlife populations.	Documented procedures Monitoring data		
FSC Criterion 8.2 e Forest management should include the research and data collection needed to monitor: Costs, productivity, and efficiency of forest management.		Overall Score for Certification	
8.2.8 There are clear financial accounts for the forest enterprise.	Accounts (see also 5.1)		
8.2.9 There is an evaluation of the productivity and efficiency of the forest management enterprise.	Accounts Annual review Discussion with forest managers		
FSC 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."		Overall Score for Certification	
8.3.1 Forest products that are to be sold as certified are readily identifiable as originating from the evaluated forest. This may be achieved through physical marking of the timber, a system of paper control, daily or weekly production records, or a combination of these and similar techniques.	Procedure documented	In the case of joint forest management and chain of custody evaluations the point of sale MUST be explicitly identified and recorded by the inspector:	
8.3.2 The forest management enterprise maintains control of the chain of custody of the timber up to the point of sale.	Procedure documented	The inspector MUST describe and evaluate the system for controlling the chain of custody of products to the point of sale identified above.	

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 - correspond to details on delivery documents 	Records		
FSC Criterion 8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.		Overall Score for Certification	
8.4.1 There is a system that demonstrates how the results of monitoring are incorporated into the revision of management plans.	Management plan Procedure documented Discussion with manager		
8.4.2 There is evidence to demonstrate that proposed changes to management are implemented.	Management plan Discussion with manager		
FSC 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.		Overall Score for Certification	
8.5.1 Forest managers agree to make a the results and/ or a summary of the monitoring programmes available to all interested parties, within the accepted indicators of commercial confidentiality.	Monitoring summary		

PRINCIPLE 9 : MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

Management activities in high conservation value forests shall maintain or enhance the attributes that define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.

High Conservation Value Forests are those that possess one or more of the following attributes:

- a) forest areas containing globally, regionally or nationally significant :
 - concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or
 - 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
- b) forest areas that are in or contain rare, threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in co-operation with such local communities).

SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criteria 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.		Overall Score for Certification	
9.1.1 Forest managers are able to provide a definition of High Conservation Value Forest for their region.	Results of assessment	Regional Guidance: please note whether you know of any forests or areas of forest in the area which you would consider as being High Conservation Value Forests, according to the definition above	
9.1.2 Forest managers have assessed whether High Conservation Value Forests is present in the area under their control.			
9.1.3 Areas identified as High Conservation Value Forests are marked on maps.	Maps		
FSC Criteria 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.		Overall Score for Certification	
9.2.1 Forest managers shall consult with relevant stakeholders on the identification of High Conservation Values and management options for any High Conservation attributes identified.	Discussion with forest managers Stakeholder consultation	[The certification inspectors will place emphasis on the identified conservation attributes, and the	

		options for their maintenance] Regional Guidance: Please note the main options that you would consider appropriate to the High Conservation Value Forests that you mentioned in 9.1 above.	
FSC Criteria 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.		Overall Score for Certification	
9.3.1 Specific protection measures are implemented for identified High Conservation Value areas and/or attributes.	Protection measures documented and justified Evidence of implementation		
9.3.2 The identified protection measures adopt a precautionary approach.			
9.3.3 The identified protection measures are included in the publicly available management plan.			
FSC Criteria 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.		Overall Score for Certification	
9.4.1 A programme of at least annual monitoring appropriate to the size and vulnerability of the conservation attributes implemented.	Monitoring procedure Monitoring data		

FSC PRINCIPLE # 10: PLANTATIONS Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.			
SOIL ASSOCIATION WOODMARK INDICATORS	VERIFIER(S)	COMMENTS and REGIONAL GUIDANCE	score
FSC Criterion 10.1 The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the		Overall Score for Certification	

implementation of the plan.			
10.1.1 Natural forest conservation and restoration are explicitly included within the management plan objectives for the plantation.	Management plan or supporting documents		
10.1.2 Strategies and procedures for achieving these objectives are implemented.	Management plan or supporting documents Field visit		
FSC Criterion 10.2a The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests.		Overall Score for Certification	
10.2.1 Plantation management is designed to maintain or enhance characteristics of adjacent natural forest	Management plan or supporting documents Situation, design and layout justified from conservation view point	Regional Guidance: note requirements of local authorities and forest grant schemes See indicators of Principle 6, especially 6.3, 6.9 and see 10.9 below.	
FSC Criterion 10.2b 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.		Overall Score for Certification	
10.2.2 Policies and procedures are implemented 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 streamside or in gullies these are protected from planting and harvesting operations, and developed into streamside reserved areas; (see 6.2 and 6.3 for other indicators)	Documented policies and procedures Field inspection		
FSC Criterion 10.2c The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.		Overall Score for Certification	
10.2.3 Both general siting and internal design of plantations are in harmony with the landscape of the area.	Planning procedures Field inspection		
FSC Criterion 10.3		Overall Score for Certification	

Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.			
10.3.1 Management planning includes evaluation of economic, ecological and social stability.	Management plan or supporting documents		
10.3.2 Management promotes diversity of plantation size and distribution in the landscape.	Landscape design plans Field inspection		
10.3.3 Management makes provision for the use of a variety of tree species and provenances or other plants.	Evidence of consideration given to use of species valued by local people Species/provenance lists		
10.3.4 Management makes provision for age and structural diversity of plantation in the landscape.	Evidence of restructuring in even aged plantations Age structure evaluation Field inspection		
FSC 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.		Overall Score for Certification	
10.4.1 There is a clear justification for the choice of species and genotypes chosen for the plantation, which takes into account the objectives of the plantation, and the climate, geology and soils at the planting sites.	Justification of species used		
10.4.2 Where an exotic species has been selected this choice must be explicitly justified. The best alternative native species must have been identified, and reasons be given for its rejection.	Record of assessment		
10.4.3 Before any exotic species is planted an assessment must have been carried out as to the risk that it will become invasive in the	Record of assessment	Regional Guidance: list well known invasive species of area	

surrounding area. Invasive exotics are not planted.			
10.4.4 Invasive exotics are not planted.			
See 8.2b for monitoring indicators			
FSC 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.		Overall Score for Certification	
10.5.1 Forest owner who has over 1,000 ha of land for planting forest spares at least 3% of full condition- land area which will be managed for restoring the natural forest vegetation and this is well documented, mapped and demarcated in the field. <i>(Indicator from Draft National FSC Standard for Vietnam Draft 9c)</i>	Maps Field inspection Justification of total areas managed for natural forest restoration	Regional Guidance: note relevant laws/guidelines and forest grant scheme requirements	
10.5.2 Consistent with Criterion 6.2b, at least 10% of the area of the plantation must be managed to enhance its natural characteristics and with biodiversity as a major objective.	Maps Field inspection Justification of total areas managed for natural forest restoration	Any deviation from this requirement will need to be supported by a full justification and rationale. Consultation may be carried out specifically in relation to this requirement.	
FSC 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.		Overall Score for Certification	
10.6.1 Means to protect soils are explicitly detailed in management plans or supporting documents	Management plan or supporting documents	All provisions in 6.5 apply	
10.6.2 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.	Procedure documented Field inspection		
10.6.3 There is no evidence of site degradation in the field.	Site visit.		
See also 6.5b and 6.5c			

FSC Criterion 10.7 Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management should make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.		Overall Score for Certification	
10.7.1 There is a documented integrated pest management strategy. (see 6.6a, b and c for further indicators related to chemical use)	Documents	Regional Guidance: note laws and guidelines referring to pest control	
10.7.2 The need for fire management and control has been evaluated and is documented (see 7.1f).	Documents		
10.7.3 Measures are taken to control or eradicate exotic invasive plants.	Documents Field inspection		
10.7.4 There is a strategy to minimise use of chemical pesticides and fertilisers in plantations and nurseries.	Documents Field inspection		
FSC Criterion 10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.		Overall Score for Certification	
10.8.1 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.	Records of assessments Management plan or supporting documents		
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.	Planning procedure Consultation with local biologists		

10.8.3 All new plantations or new plantings greater than 5 000 ha are subject to a formal environmental and social impact assessment. (See Criterion 4.4 for related indicators)	Social impact assessment Environmental impact assessment		
FSC 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 for such conversion.		Overall Score for Certification	
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 manager(s) were not directly or indirectly responsible for the conversion.	Evidence of previous land use Date of planting	For further guidance refer to: FSC-ADV-30-602 Conversion of plantation to non forest land FSC-ADV-31-001 Interpretation of criterion 10.9 FSC-ADV-20-007 Certification of forest remnants (inc agricultural use)	

Index to annexes

1. National and local forest laws and administrative requirements which apply in Vietnam
 - 2a. Multi-lateral environmental agreements
 - 2b. Implications of the Convention of Biological Diversity in Vietnam
 3. CITES timber species
 4. Endangered species in Vietnam
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 6. Stakeholder issues relating to standard
 7. Pesticides
 8. Categories of High Conservation Value Forests (Proforest toolkit)
 - 9.
- GLOSSARY

Annex 1.

National and local forest laws and administrative requirements which apply in Vietnam.

- [Title: Decree Of The Council Of Ministers For The Enforcement Of Forest Resources Protection And Development Act \(17HDBT\)](#)
- [Title: Decree Of Council Of Ministers Determining The List Of Rare And Precious Flora And Fauna And Regulations For Their Management And Protection \(18HDBT\)](#)
- [Title: Decision by the chairman of the council of ministers on policies encouraging investment for forestry development \(264CT\)](#)
- [Title: Decision By The Chairman Of The Council Of Ministers On Policies For The Use Of Bare Land, Denuded Hills, Forests, Alluvial Flats, And Water Bodies \(327CT\)](#)
- [Title: Instruction by the prime minister on policies and methods for continued economic and social development in mountainous areas \(525TTG\)](#)
- [Title: Order Of The Chairman Of The Council Of Ministers Urgent Measures To Stop Immediately Deforestation \(90CT\)](#)
- [Title: Decree of the council of ministers regulating in detail the implementation of the law on foreign investment](#)
- [Title: Decree Of The Council Of Ministers Regulating In Detail The Implementation Of The Law On Foreign Investment](#)
- [Title: On Implementation Of Decision No 327-ct With Respect To Appraisal And Approval Of Projects And Compilation Of Programme 327](#)
- [Title: Circular On Guidelines on management and provision of credits from the State for programmes and projects for use of bare land, degraded hills, forests, alluvial flats and water bodies](#)
- [Title: Circular On Guidelines by the Ministry of Forestry Concerning Implementation of Decision 327-CT](#)
- [Title: Statute of the National Parks and Natural Reserves Association Branches.](#)

- [Title: Decree To Promulgate The Regulations For Allocating Forest Land To Organisation, Household, Individual To Use Sustainable And On Long Terms In Forestry \(02CP\)](#)
[Title: Regulations For Allocating Forest Land To Organisation, Household, Individual To Use Sustainable And On Long Terms In Forestry](#)
- [Title: Decision On The Reorganisation And Renewal Of Management In State Enterprises In The Agriculture Sector \(12CP\)](#)
[Title: Government Regulation On Reorganisation And Renewal Of Management Of State Enterprises In The Agriculture Sector](#)
- [Title: Decision On Agricultural Extension \(13CP\)](#)
[Title: Government Regulation for agricultural extension](#)
- [Title: Decree on providing guidance for the implementation of the Law on Environmental Protection \(175CP\)](#)
- [Title: Decree Of The Government On Ensuring Traffic Order And Safety On Roads And In Urban Centres \(36CP\)](#)
[Title: Regulation On Traffic Order And Safety On Roads And In Urban Centres](#)
- [Title: Decree Of The Government Regarding The Organisation, Tasks And Authority Of The Forest Protection Department \(39CP\)](#)
- [Title: Approving the Biodiversity Action Plan for Vietnam \(845TTg\)](#)
- [Title: Circular On Implementation Of Decision No. 264-CT Dated July 22nd 1992 Of The Chairman Of The Council Of Ministers \(now Prime Minister\) Incentives For Investment In Forestry Development](#)
- [Title: Law On Environmental Protection](#)
- [Title: Law On Foreign Investment In Vietnam](#) [12 November 1996]
- [Title: Law On Foreign Investment In Vietnam](#) [29 December 1987]
- [Title: Order Of President Of State Council Socialist Republic Vietnam Promulgating The Laws On Forest Protection And Development \(Order No. 58-ICT/HDNN8\)](#)
[Title: Law On Forest Protection And Development](#)
- [Title: Land Law](#)
- [Title: Law on Nationality of Vietnam](#)
- [Title: Memorandum of Agreement upon Rescue of endangered primates of the Socialist Republic of Vietnam](#)
- [Title: Instructions for Guiding Environmental Impact Assessment To The Operating Units \(1420-QDMTg\)](#)
- [Title: Circular Guiding the Setting up and Appraisal of Assessment Report on Environmental Impact \(715-MTg\)](#)
- [Title: Ordinance On Natural Resources Tax](#)
- [Title: Politburo Decision On Guidelines And Main Policies For Economic And Social Development In The Mountain Area \(22NQTW\)](#)

- [Title: Guidelines For The Implementation Of The Regulations On The Operation Of Foreign Non-governmental Organizations In Vietnam](#)

Forestry related regulations

No.	Name of documents	No.	Issued date
A	Management and Development of forest related regulation		
1	Luật bảo vệ và phát triển rừng	29 /2004/QH 11	03/12/2004
2	Nghị định Thi hành Luật bảo vệ và phát triển rừng	23 /2006/ NĐ-CP	03/03/2006
3	Chiến lược phát triển lâm nghiệp quốc gia	18/2007/QĐ-TTg	02/05/2007
4	Pháp lệnh giống cây trồng	15/2004/PL-UBTVQH11	24/3/2004
5	Quy chế quản lý rừng	186/ 2006/ QĐ-TTg	14/08/2006
6	Thông tư Hướng dẫn một số điều của quy chế quản lý rừng	99/ 2006/ QĐ-TTg	06/11/2006
7	Thông tư sửa đổi một số điểm của Thông tư số 99/ 2006/ QĐ-TTg về hướng dẫn một số điều của Quy chế quản lý rừng	57/ 2007/ TT-BNN	13/6/2007
8	Quyết định sửa đổi bổ sung một số điều Quy chế quản lý rừng 186/ 2006/ QĐ-TTg	34/2011/QĐ-TTg	24/6/2011
9	Một số chính sách phát triển rừng sản xuất	147/ 2007/ QĐ-TTg	10/9/2007
10	Sửa đổi bổ sung một số điều của Q.định 147/2007/QĐ-TTg ngày 10/9/2007 về một số chính sách phát triển rừng sản xuất giai đoạn 2007-2015.	66/2011/QĐ-TTg	12/09/2011
11	Chính sách khuyến khích tiêu thụ hàng hóa thông qua hợp đồng	80/ 2002/QĐ-TTg	24/6/2002
12	Thông tư hướng dẫn thực hiện thống kê, kiểm kê rừng và lập hồ sơ quản lý rừng	25/2009/BNN	05/05/2009
13	Quyết định ban hành Quy chế quản lý đầu tư xây dựng công trình lâm sinh	73/2010/QĐ-TTg	16/11/2010
13.1	Thông tư hướng dẫn thực hiện một số nội dung Quy chế quản lý đầu tư xây dựng công trình lâm sinh ban hành theo QĐ 73/2010/QĐ-TTg	69/2011/TT-BNNPTNT	21/10/2011
14	Chính sách khuyến khích doanh nghiệp đầu tư vào nông nghiệp, nông thôn	61/2010/NĐ-CP	06/04/2010
B	Land use allocation, forest enterprise renovation		
15	Quyền hưởng lợi, nghĩa vụ của Hộ gia đình, cá nhân được giao, được thuê, nhận khoán rừng và đất Lâm nghiệp	178/ 2001/QĐ-TTg	12/11/2001
16	Thông tư liên tịch hướng dẫn thực hiện QĐ số 178/ 2001/QĐ-TTg về quyền hưởng lợi, nghĩa vụ của Hộ gia đình, cá nhân được giao, được thuê, nhận khoán rừng và đất Lâm nghiệp	80/2003/TTLT/BNN-BTC	09/03/2003

17	Hướng dẫn các biện pháp quản lý, sử dụng đất đai khi sắp xếp, đổi mới NLTD	04/2005/TT-BTNMT	18/07/2005
18	Giao khoán đất nông nghiệp, đất rừng sản xuất và đất có mặt nước nuôi trồng thủy sản	135/ 2005/ NĐ-CP	08/11/2005
19	Hướng dẫn một số điều Nghị định số 135/2005/NĐ-CP	102/ 2006/TT-BNN	13/11/2006
20	Hướng dẫn trình tự, thủ tục giao rừng, cho thuê, thu hồi rừng cho tổ chức, hộ gia đình, cá nhân và cộng đồng dân cư thôn	38/2007/TT-BNN	25/4/2007
21	Ban hành định mức kinh tế kỹ thuật trồng rừng, khoanh nuôi xúc tiến tái sinh rừng và bảo vệ rừng	38/ 2005/QĐ-BNN	06/07/2005
22	Quy định nghiệm thu trồng rừng, KNXTTS rừng, chăm sóc, bảo vệ rừng, khoanh nuôi phục hồi rừng tự nhiên	06/ 2005/ QĐ-BNN	24/01/2005
23	Sửa đổi bổ sung một số điều của Q.định 06/2005/QĐ-BNN về Quy định nghiệm thu trồng rừng, KNXTTS rừng, chăm sóc, bảo vệ rừng, khoanh nuôi phục hồi rừng tự nhiên	59/ 2005/ QĐ-BNN	19/6/2007
24	Hướng dẫn thực hiện hồ sơ thanh quyết toán theo quy định nghiệm thu tại quyết định 06/ 2005/ QĐ-BNN ngày 24/1/2006	1791/ BNN-LN	20/07/2006
24a	Quy trình thiết kế trồng rừng	516/QĐ-BNN-KHCN	18/2/2002
D	Harvesting		
25	Hướng dẫn thực hiện khai thác, tận thu gỗ và lâm sản ngoài gỗ	35/2011/TT-BNNPTNT	20/05/2011
26	Hướng dẫn thiết kế khai thác gỗ rừng tự nhiên	87 /2009/TT-BNNPTNT	31/12/2009
27	Ban hành tạm thời định mức lao động thiết kế khai thác và thẩm định thiết kế khai thác rừng	20/2006/QĐ-BNN	28/3/2006
28	Quyết định ban hành Quy chế quản lý và đóng búa bài cây, búa kiểm lâm	44/2006/QĐ-BNN	06/01/2006
29	Quyết định sửa đổi, bổ sung Quy chế quản lý và đóng búa bài cây, búa kiểm lâm ban hành theo Quyết định 44/2006/QĐ-BNN	107/2007/QĐ-BNN	31/12/2007
30	Thông tư Quy định hồ sơ lâm sản hợp pháp và kiểm tra nguồn gốc lâm sản	01/2012/TT-BNNPTNT	01/04/2012
E	Pertiliser, pestidies use regulation		
31	Quyết định về việc ban hành Quy định sản xuất, kinh doanh và sử dụng phân bón	100/2008/QĐ-BNN	15/10/2008
32	Thông tư ban hành danh mục bổ sung phân bón được phép sản xuất, kinh doanh và sử dụng tại Việt Nam	86/2011/TT-BNNPTNT	16/12/2011
33	Thông tư quy định về quản lý thuốc bảo vệ thực vật	38/2010/TT-BNNPTNT	28/6/2010
34	Thông tư ban hành danh mục thuốc bảo vệ thực vật được phép sử dụng, hạn chế sử dụng, cấm sử dụng ở Việt Nam	10/2012/TT-BNNPTNT	22/2/2012

	Quy phạm kỹ thuật phòng trừ sâu bệnh hại cây rừng	2181/QĐ-BNN-KHCN	23/5/2001
F	Others		
35	Thông tư hướng dẫn công tác huấn luyện an toàn lao động, vệ sinh lao động	37/2005/TT-BLĐTBXH	29/12/2005
36	Thông tư hướng dẫn thực hiện chế độ trang bị phương tiện bảo vệ cá nhân	107/1999-TT-BNN-CS	26/7/1999
37	Nghị định về Chính sách chi trả dịch vụ môi trường rừng	99/2010/NĐ-CP	24/9/2010
38	Thông tư hướng dẫn phương pháp xác định tiền chi trả dịch vụ môi trường rừng	80/2011/TT-BNNPTNT	23/11/2011
39	Nghị định về Quỹ bảo vệ và Phát triển rừng	05/2008/NĐ-CP	14/01/2008
40	Quyết định thành lập Quỹ bảo vệ và phát triển rừng Việt Nam	114/2008/QĐ-BNN	28/11/2008
G	Rà soát văn bản		
g1	Rà soát văn bản Nhà nước về công tác lâm sinh		16/1/2012
	Các văn bản gửi Bộ:		
g2	Đề nghị bổ sung điều khoản của Thông tư 69/2011/TT-BNN	101/TCT-LN	02/08/2012
g3	Đề nghị bổ sung điều khoản của Thông tư 01/2012/TT-BNN	309/TCT-LN	22/3/2012

Annex 2a. Multilateral environmental agreements

- Agreement on Trade And Economic Co-operation Between Australia And The Socialist Republic Of Vietnam

- Convention on the Conservation of Migratory Species of Wild Animals
- United Nations Framework Convention on Climate Change
- Agenda 21 and the Statement of Forest Principles
- Commission on Sustainable Development
- United Nations Forum on Forests
- ITTA
- The Ramsar Convention on Wetlands

No.	Name of documents	No.	Issued date
1	Luật lao động	35-L/CTN	23/06/1994
2	Luật phòng cháy chữa cháy	27/2001/QH10	29/6/2001
3	Luật đất đai	13/2003/QH11	26/11/2003
4	Luật bảo vệ và phát triển rừng	29 /2004/QH 11	03/12/2004
5	Luật bảo vệ môi trường	52/2005/QH11	29/11/2005
6	Luật đầu tư	59 /2005/QH 11	29/11/2005
7	Luật Doanh nghiệp	60/ 2005/QH11	29/11/2005
8	Luật đấu thầu	61/ 2005/QH 11	29/11/2005
9	Luật bảo hiểm xã hội	71/2006/QH11	29/6/2006
10	Luật quản lý thuế	78/2006/QH11	29/11/2006
11	Luật chuyển giao công nghệ	80/2006/QH11	29/11/2006
12	Luật hóa chất	06/2007/QH12	21/11/2007
13	Luật thuế thu nhập doanh nghiệp	14/2008/QH12	06/03/2008
14	Luật thuế giá trị gia tăng	13/2008/QH12	06/03/2008
15	Luật ban hành văn bản quy phạm pháp luật	17/2008/QH12	06/03/2008
16	Luật khiếu nại	02/2011/QH13	11/11/2011
17	Luật tố cáo	03/2011/QH13	11/11/2011

Annex 2b. Implications of the Convention of Biological Diversity in Vietnam

Extracts from “Draft : The 4th Country Report Vietnams Implementation of The Biodiversity Convention” Ha Noi, 2008

Priority Activities:

The national objectives of the NBAPs 1995 and 2007 as well as the strategic goals of the CBD have been basically reaching. In order to achieve the national goals and the CBD goals, the following priority activities are recommended:

1. Soon releasing guiding documents for the implementation of the Biodiversity Law 2008, especially those to clearly identify the functions of managing biodiversity of involving ministries and local authorities;
2. Raising public awareness in implementing the Biodiversity Law and improving capacity for state management agencies regarding to biodiversity at central and local levels;
3. Creating mechanism for connection and cooperation among management and implementation agencies of biodiversity protection and focal institutions of biodiversity conservation.
4. Developing a national inter-sectoral programme to study, preserve and develop biodiversity, which is in response to climate change;
5. Developing a monitoring programme and united management of biodiversity database; Conducting baseline investigations of biodiversity resources at national scale;
6. Promoting integration of biodiversity conservation in national, ministerial, and local plans, programmes and projects; Priorities should be given to a/ regional biodiversity planning, b/ strict implementation of EIA for infrastructure construction projects and strict follow-up, c/ development of user-payment policies for commercial exploitation of biodiversity and ecological services.
7. Sustainably developing the system of protected areas in Vietnam through combining those objectives of protection and conservation. Priority giving to assess and develop opportunity for communities to be benefited from ecosystem service provision at PAs and watershed forests.
8. Enhancing the rights and capacity of local communities so that they will actively participate in biodiversity conservation and protected area management; To do these, community awareness, livelihood improvement, legal framework development, operational mechanisms for communities to be participated and benefited from biodiversity conservation and development, particularly in PAs. Allowing local communities to traditionally use natural resources in PAs and practise their livelihoods based on consensus on planning, zoning and monitoring requirements.
9. Enhancing management and gradual suspension of illegal wildlife trade.
10. Paying more attention to new species importation. Production companies must strictly comply with the examination procedures and regulations to oversee imported species before allowing introduction of large scale production. Soon releasing solutions to manage and destroy harmful invasive species;
11. Strengthening diversification and effective management of funding sources for conservation through a/ increasing total investment from state budget for conservation, and b/ focusing on strategic investment to satisfy long-term conservation.
12. Maintaining more foreign aids for nature and biodiversity conservation; promoting effective cooperation with biodiversity-related international and regional organisations such as CBD Secretariat, GEF, UNDP, WWF, IUCN, etc.

Annex 3. CITES timber species

The species covered by the Convention on International Trade in Endangered Species (CITES) are listed in three Appendices, according to the degree of protection they need.

- Appendix I includes species threatened with extinction. Trade in specimens of these species is permitted only in exceptional circumstances.
- Appendix II includes species not necessarily threatened with extinction, but in which trade must be controlled in order to avoid utilization incompatible with their survival.
- Appendix III contains species that are protected in at least one country, which has asked other CITES Parties for assistance in controlling the trade. Changes to Appendix III follow a distinct procedure from changes to Appendices I and II, as each Party's is entitled to make unilateral amendments to it.

Please check the 'How CITES Works' section on the CITES website for more details (www.cites.org)

Convention on International Trade in Endangered Species (CITES)

Updated from the CITES website 10th August 2010 (www.cites.org)

Latin name	Common/Trade name	Distribution
<u>Appendix I:</u>		
<i>Abies guatemalensis</i>	Guatemalan fir	Central America
<i>Araucaria araucana</i>	Monkey-puzzle tree	Chile and Argentina
<i>Dalbergia nigra</i>	Brazilian Rosewood	Brazil
<i>Fitzroya cupressoides</i>	Alerce	Costa Rica, Panama, Columbia
<i>Pilgerodendron uviferum</i>		Argentina, Chile
<i>Podocarpus parlatorei</i>	Parlatore's Podocarp	Argentina, Bolivia, Peru
<u>Appendix II:</u>		
<i>Aquilaria</i> spp. ⁴	Agarwood	Asia (all species)
<i>Aniba roseodora</i> ¹²		
<i>Bulnesia sarmientoi</i>	Vera, palo santo, ibiocaí	
<i>Caesalpinia echinata</i> ¹⁰	Brazilwood, Pau-Brasil, Pau de Pernambuco and Ibirapitanga	
<i>Caryocar costaricense</i> ⁴	Ajillo	Colombia, Costa Rica, Panama
<i>Gonystylus</i> spp. ⁴	Ramin	Asia (all species)
<i>Guaiaacum</i> spp.	Lignum-vitae/Tree of life	Central America, Caribbean
<i>Gyrinops</i> spp. ⁴	Agarwood	Asia (all species)
<i>Oreomunnea pterocarpa</i> ⁴	Gavilaan	Costa Rica, Mexico, Panama
<i>Pericopsis elata</i> ⁵	Afrormosia	Central and West Africa logs
<i>Platymiscium pleiostachyum</i> ⁴	Quira macaewood	Central America
<i>Prunus africana</i> ⁴	African cherry	Africa and Madagascar
<i>Pterocarpus santalinus</i> ⁷	Red Sandalwood	India
<i>Swietana humilis</i> ⁴	Honduras Mahogany	Central America
<i>Swietana macrophylla</i> ⁶	Big-leaf Mahogany	Neotropics
<i>Swietana mahagoni</i> ⁵	Caribbean mahogany	USA, West Indies, Central America
<i>Taxus: chinensis</i> ²	Chinese Yew	Asia
<i>T. cuspidate</i> ²	Japanese Yew	Asia

<i>T. fuana</i> ²	Tibetan Yew	Asia
<i>T. sumatrana</i> ²	Sumatran Yew	Asia
<i>T. wallichiana</i> ²	Himalayan Yew	Asia

Appendix 3:

<i>Cedrela odorata</i> ⁵	Cigarbox Cedar	Colombia, Guatemala and Peru
<i>Dalbergia retusa</i> ⁵	Cocobolo	Guatemala
<i>Dalbergia stevensonii</i> ⁵		Guatemala
<i>Dipteryx panamensis</i>	Almendro	Costa Rica, Nicaragua
<i>Magnolia liliifera</i> var. <i>obovata</i> ¹	Safan, Champak	Nepal
<i>Podocarpus nerifolius</i> ¹	Yellow Wood	Nepal
<i>Tetracentron sinense</i> ¹	Tetracentrons	Nepal
<i>Dalbergia tucurensis</i>	Yucatan Rosewood, Panama Rosewood, Nicaraguan Rosewood	Nicaragua
<i>Fraxinus mandshurica</i>	Manchurian Ash	Russia
<i>Quercus mongolica</i>	Mongolian Oak	Russia

What is controlled?

- 1 All parts and derivatives except:
 - a) seeds, spores and pollen (including pollinia);
 - b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers; and
 - c) cut flowers of artificially propagated plants
 - d) fruits and parts and derivatives thereof of artificially propagated plants of Vanilla
- 2 All parts and derivatives except:
 - a) seeds and pollen; and
 - b) finished products packaged and ready for retail
- 4 All parts and derivatives except:
 - a) seeds (including seedpods of Orchidaceae,) spores and pollen (including pollenia). Exemption does not apply to seeds from Cactaceae spp. Exported from Mexico or seeds of *Beccariophoenix madagascarensis* and *Neodopsis decaryi*.
 - b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;
 - c) cut flowers of artificially propagated plants;
 - d) fruits, and parts and derivatives thereof of naturalised or artificially propagated plants of the genus Orchidaceae and of the family Cactaceae
 - e) stems, flowers and parts and derivatives thereof, of naturalised or artificially propagated plants of the genus Opuntia and Selenicereus
- 5 Logs, sawn wood and veneer sheets
- 6 Logs, sawn wood, veneer sheets and plywood
- 7 Logs, wood chips, powder and extracts
- 9 All parts and derivatives except those bearing a label
- 10 Logs, sawn wood, veneer sheets including unfinished wood articles used for the fabrication of bows for stringed musical instruments
- 11 Logs, sawn wood, veneer sheets, plywood, powder and extracts
- 12 Logs, sawn wood, veneer sheets, plywood and essential oil (excluding finished products packaged and ready for retail trade).

Soil Association Woodmark supports the inclusion of the following species in Appendix II; all are known to be in international trade and to be suffering or having already suffered substantial decline:

<i>Berchemia zeyheri</i>	Pink Ivorywood
<i>Chamaecyparis lawsoniana</i>	Port Orford cedar
<i>Dalbergia cearensis</i>	Kingwood
<i>Dalbergia frutescens</i>	Tulipwood
<i>Dalbergia latifolia</i>	Indian Rosewood, Sonokeling
<i>Dalbergia melanoxylon</i>	African Blackwood
<i>Diospyros celebica</i>	Macassar Ebony
<i>Diospyros crassiflora</i>	African Ebony
<i>Diospyros ebenum</i>	Sri Lankan Ebony

<i>Diospyros muni</i>	Thai Ebony	
<i>Diospyros philippinensis</i>	Philippine Ebony	
<i>Entandrophragma spp.</i>	Utile, Sapele, African Mahogany	(All 11 spp.)
<i>Khaya</i>	African Mahogany	(All 7 spp.)

Annex 4. Endangered species in Vietnam

The IUCN Red List of Threatened Species™ is widely recognized as the most comprehensive, objective global approach for evaluating the conservation status of plant and animal species. The following link can be used to obtain up-to-date information on the conservation status of species in Vietnam: <http://www.iucnredlist.org/apps/redlist/search>

Annex 5a. FSC certification and core ILO Conventions

Following the FSC policy document “FSC certification and the ILO Conventions” (**FSC-POL-30-401: 2002**), compliance with all ILO Conventions relevant for forestry is a requirement for FSC forest management certification. Conventions 29, 87, 98, 100, 105, 111, 138, and 182 are Core Standards covered by the 1998 ILO Declaration on Fundamental Principles and Rights at Work and its follow-up.

1. Forest managers are legally obliged to comply with all ILO conventions that are ratified in the country of operation (see Annex 5b).
2. Forest managers are expected to comply with the eight core (fundamental) ILO conventions in all ILO member countries, by virtue of their country’s ILO membership, even if not all the conventions have been ratified (those with a ‘*’ in the list below)
3. FSC’s policy for voluntary certification expects managers to comply with all conventions that have an impact on forestry operations and practices, in all countries (including countries which are not ILO-members, and have not ratified the conventions).

List of ILO Conventions that have an impact on forestry operations and practices:

- 29*** Forced Labour Convention, 1930
 - 87*** Freedom of association and protection of the right to organize conventions, 1948.
 - 97 Migration for employment (revised) convention, 1949.
 - 98*** Right to organize and collective bargaining convention, 1949.
 - 100*** Equal remuneration convention, 1951.
 - 105*** Abolition of forced labour convention, 1957.
 - 111*** Discrimination (occupation and employment) convention, 1958.
 - 131 Minimum Wage fixing convention, 1970.
 - 138*** Minimum age convention, 1973.
 - 141 Rural workers organizations convention, 1975.
 - 142 Human Resources Development Convention, 1975
 - 143 Migrant Workers (Supplementary Provisions) Convention, 1975
 - 155 Occupational Safety and Health Convention, 1981
 - 169 Indigenous and Tribal Peoples Convention, 1989
 - 182*** Worst Forms of Child Labour Convention, 1999
- ILO Code of Practice on Safety and Health in Forestry Work.
Recommendation 135 Minimum Wage Fixing Recommendation, 1970

Annex 5b. ILO Conventions ratified in Vietnam

Forest managers are legally obliged to comply with all ILO Conventions which have been ratified in the country of operation. The following ILO Conventions have been ratified in *Vietnam* :

(See <http://www.ilo.org/ilolex/english/index.htm> for information)

Convention	Ratification date	Status
C6 Night Work of Young Persons (Industry) Convention, 1919	03:10:1994	ratified
C14 Weekly Rest (Industry) Convention, 1921	03:10:1994	ratified
C27 Marking of Weight (Packages Transported by Vessels) Convention, 1929	03:10:1994	ratified
C29 Forced Labour Convention, 1930	05:03:2007	ratified
C45 Underground Work (Women) Convention, 1935	03:10:1994	ratified
C80 Final Articles Revision Convention, 1946	03:10:1994	ratified
C81 Labour Inspection Convention, 1947	03:10:1994	ratified
C100 Equal Remuneration Convention, 1951	07:10:1997	ratified
C111 Discrimination (Employment and Occupation) Convention, 1958	07:10:1997	ratified
C116 Final Articles Revision Convention, 1961	03:10:1994	ratified
C120 Hygiene (Commerce and Offices) Convention, 1964	03:10:1994	ratified
C123 Minimum Age (Underground Work) Convention, 1965	20:02:1995	ratified
C124 Medical Examination of Young Persons (Underground Work) Convention, 1965	03:10:1994	ratified
C138 Minimum Age Convention, 1973	24:06:2003	ratified
C144 Tripartite Consultation (International Labour Standards) Convention, 1976	09:06:2008	ratified
C155 Occupational Safety and Health Convention, 1981	03:10:1994	ratified
C182 Worst Forms of Child Labour Convention, 1999	19:12:2000	ratified

Table 1. Personal protective equipment (PPE) appropriate for forestry operations

Parts of the body to be protected:	Feet	Legs	Trunk, arms, legs	Hands	Head	Eyes	Eyes/face	Hearing
PPE normally appropriate:	Safety boots or shoes ¹	Safety trousers ²	Close-fitting clothing	Gloves	Safety helmet	Goggles	Visor (mesh)	Ear muffs ³
Operation								
<i>Planting⁴</i>								
Manual	✓			✓ ⁵				
Mechanized	✓		✓					✓ ⁶
<i>Weeding/cleaning</i>								
Smooth-edged tools	✓			✓		✓		
Handsaw	✓			✓				
Chain-saw	✓ ⁷	✓	✓	✓ ⁸	✓	✓	✓	✓
Brush saw								
- with metal blade	✓	✓	✓	✓	✓	✓	✓	✓
- with nylon filament	✓	✓		✓		✓		✓
Rotating knife/flail	✓		✓	✓				✓ ⁶
<i>Pesticide application</i>	To comply with those specified for the particular substance and application technique							
<i>Pruning*</i>								
Hand tools	✓ ⁹			✓	✓ ¹⁰	✓		
<i>Felling¹¹</i>								
Hand tools	✓		✓	✓ ¹²	✓			
Chain-saw	✓ ⁷	✓	✓	✓ ⁸	✓		✓	✓
Mechanized	✓		✓		✓			✓
<i>Debarking</i>								
Manual	✓			✓				
Mechanized	✓		✓	✓		✓		✓ ⁶
<i>Splitting</i>								
Manual	✓			✓		✓		
Mechanized	✓		✓	✓		✓		✓
<i>Extraction</i>								
Manual	✓			✓	✓ ¹³			
Chute	✓			✓	✓ ¹³			
Animal	✓			✓	✓ ¹³			
Mechanized								
- skidder	✓		✓	✓ ¹⁴	✓			✓ ⁶
- forewarder	✓		✓		✓			✓ ⁶
- cable crane	✓		✓	✓ ¹⁴	✓			✓ ⁶
- helicopter	✓		✓ ¹⁵	✓ ¹⁴	✓ ¹⁶	✓		✓
<i>Stacking/loading</i>	✓		✓	✓	✓			✓ ⁶
<i>Chipping</i>	✓		✓	✓	✓		✓	✓ ⁶
<i>Tree climbing¹⁷</i>								
Using a chain-saw	✓ ⁷	✓	✓	✓ ⁸	✓ ¹⁸	✓		✓
Not using a chain-saw	✓				✓			

Notes: * If pruning involves tree climbing above 3 m, a fall restricting device should be used. ¹With integrated steel toe for medium or heavy loads. ²Safety trousers incorporating clogging material, in hot climates/weather chain-saw leggings or chaps may be used. Safety trousers and chap contain fibres that are inflammable and melt, and should

Annex 6. Stakeholder issues relating to standard

Woodmark made this standard public via their website in April 2012. Once the document has been translated a full consultation will be carried out at least 90 days before any Main Assessments are carried out within Vietnam. Comments will be responded to, and edits made to the draft standard as appropriate in response to comments made.

Annex 7. Pesticides

FSC – Definitions and interpretations

FSC has adopted the following definitions of the terms ‘pest’ and ‘pesticide’, approved by the FSC Board of Directors in December 2005:

Pest: Organisms, which are harmful or perceived as harmful and as prejudicing the achievement of management goals or the desired yields or profits. Some pests, especially introduced exotics, may also pose serious ecological threats, and suppression may be recommended. They include animal pests, plant weeds, pathogenic fungi and other micro-organisms.

Pesticide: (including fungicide and herbicide) Any substance or preparation prepared or used in protecting plants or wood or other plant products from pests; in controlling pests or in rendering such pests harmless. (This definition includes insecticides, rodenticides, acaricides, molluscicides, larvaecides, fungicides and herbicides).

Chemicals listed on the next page are classed as “highly hazardous” and should not be used. The list is based Annex 1 and 2 from FSC Guidance Document (FSC-GUI-001: May 2007) on Implementation of the FSC Pesticides Policy (FSC-POL-30-601: December 2005). Chemicals within Class IA of WHO’s Extremely hazardous technical grade active ingredients in pesticides are indicated with a ‘*’ and those within Class IB are indicated with ‘**’.

The FSC board committee may approve temporary exceptions. Revised lists will be published and circulated when necessary.

See www.fsc.org – for chemicals policy updates.

Name of chemical

2-(2,4-DP), dma salt (= dichlorprop, dma salt) 2,4,5-T	DDT	Furathiocarb **	Pentachlorophenol **
2,4-D, 2-ethylhexyl ester	Deltamethrin	Gamma-HCH, lindane	Permethrin
3-Chloro-1,2-propanediol**	Demeton-S-methyl	Heptachlor	Phenylmercury acetate *
Acrolein**	Diazinon**	Heptenophos **	Phorate *
Aldicarb*	Dicamba, dma salt	Hexachlorobenzene *	Phosphamidon *
Aldrin	Dichlorvos**	Hexazinone	Propaquizafop
Allyl alcohol **	Dicofol	Hydramethylnon	Propetamphos
Alpha-cypermethrin	Dicrotophos**	Isoxaben	Propyzamide
Aluminium phosphide	Dieldrin	Isoxathion **	Quintozone
Amitrole	Dienochlor	Lamba-cyhalothrin	Simazine
Atrazine	Difenacoum*	Lead arsenate **	Sodium arsenite **
Azinphos-ethyl**	Difethialone*	Mancozeb	Sodium cyanide **
Azinphos-methyl**	Diflubenzuron	Mecarbam **	Sodium fluoroacetate *
	Dimethoate	Mercuric chloride *	Sodium fluoroacetate, 1080
Benomyl	Dinoterb **	Mercuric oxide **	Strychnine **
Blasticidin-S**	Diphacinone*	Metam sodium	Sulfuramid
Brodifacoum*	Diquat dibromide	Metasystox	Sulfotep *
Bromadiolone*	Disulfoton*	Methamidophos **	Tebufenozide
Bromethalin*	Diuron	Methidathion **	Tebupirimfos *
Butocarboxim**	DNOC **	Methiocarb **	Tefluthrin **
Butoxycarboxim**	Edifenphos**	Methomyl **	Terbufos *
Cadusafos**	Endosulfan	Methoxychlor	Terbumeton
Calcium arsenate**	Endrin	Methylarsonic acid (monosodium methanearsenate, MSMA)	Terbutylazine
Calcium cyanide*	EPN *	Methylbromide	Terbutryn
Captafol*	Epoxiconazole	Mevinphos*	Thallium sulfate
Carbaryl	Esfenvalerate	Mirex	Thiodicarb
Carbofuran*	Ethiofencarb **	Monocrotophos **	Thiofanox
Carbosulfan	Ethion	Naled	Thiometon
Chlordane	Ethoprophos *	Nicotine **	Toxaphene (Camphechlor)
Chlorethoxyfos*	Famphur **	Omethoate **	Triadimenol
Chlorfenvinphos**	Fenamiphos **	Oryzalin	Triazophos
Chlormephos	Fenitrothion	Oxamyl **	Trifluralin
Chlorophacinone*	Fipronil	Oxydemeton-methyl **	Vamidotion
Chlorothalonil	Flocoumafen *	Oxyfluorfen	Warfarin
Chlorpyrifos	Fluazifop-butyl	Paraquat	Zeta-cypermethrin
Coumaphos**	Flucythrinate **	Parathion *	Zinc phosphide
Coumatetralyl**	Flufenoxuron	Parathion-methyl	
Cyfluthrin	Fluoroacetamide **	Paris green **	
Cypermethrin	Formetanate **	Pendimethalin	

Annex 8. Categories of High Conservation Value Forests (HCVF: Proforest toolkit)

A High Conservation Value area is the area of natural habitat required to maintain or enhance a High Conservation Value. A HCV area may be part of a larger habitat, for example a riparian zone protecting a stream that is the sole supply of drinking water to a community or a patch of a rare limestone-loving forest within a larger forest area. Elsewhere, the HCV area may be the whole of a habitat, for example a large forest management unit, when that forest contains several threatened or endangered species that range throughout the forest. Any habitat type – boreal, temperate or tropical, natural or modified by humans, can potentially be designated an HCV area, because HCV designation relies solely on the presence of High Conservation Values within the habitat. The Proforest Toolkit proposes the following categories: (see www.hcvnetwork.org for further information).

HCVF 1. Areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).

For example, the presence of several globally threatened bird species within a Kenyan montane forest.

HCVF 2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.

For example, a large tract of Mesoamerican flooded grasslands and gallery forests with healthy populations of Hyacinth Macaw, Jaguar, Maned Wolf, and Giant Otter, as well as most smaller species.

HCVF 3. Areas that are in or contain rare, threatened or endangered ecosystems.

For example, patches of a regionally rare type of freshwater swamp in an Australian coastal district.

HCVF 4. Areas that provide basic ecosystem services in critical situations (e.g. watershed protection, erosion control).

For example, forest on steep slopes with avalanche risk above a town in the European Alps.

HCVF 5. Areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).

For example, key hunting or foraging areas for communities living at subsistence level in a Cambodian lowland forest mosaic.

HCVF 6. Areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

For example, sacred burial grounds within a forest management area in Canada.

GLOSSARY

Words in this document are used as defined in most standard English language dictionaries. The precise meaning and local interpretation of certain phrases (such as local communities) should be decided in the local context by forest managers and certifiers. In this document, the words below are understood as follows:

Biological diversity: The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems. (see Convention on Biological Diversity, 1992)

Biological diversity values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components. (see Convention on Biological Diversity, 1992)

Biological control agents: Living organisms used to eliminate or regulate the population of other living organisms.

Chain of custody: The channel through which products are distributed from their origin in the forest to their end-use.

Chemicals: The range of fertilizers, insecticides, fungicides, and hormones which are used in forest management.

Criterion (pl. Criteria): A means of judging whether or not a Principle (of forest stewardship) has been fulfilled.

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit.

Ecosystem: A community of all plants and animals and their physical environment, functioning together as an interdependent unit.

Endangered species: Any species which is in danger of extinction throughout all or a significant portion of its range.

Exotic species: An introduced species not native or endemic to the area in question.

Forest integrity: The composition, dynamics, functions and structural attributes of a natural forest.

Forest management/manager: The people responsible for the operational management of the forest resource and of the enterprise, as well as the management system and structure, and the planning and field operations.

Genetically modified organisms: Biological organisms which have been induced by various means to consist of genetic structural changes.

High Conservation Value Forests: High Conservation Value Forests are those that possess one or more of the following attributes:

- e) forest areas containing globally, regionally or nationally significant :

- concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or
 - 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
- f) forest areas that are in or contain rare, threatened or endangered ecosystems
 - g) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
 - h) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

Indigenous lands and territories: The total environment of the lands, air, water, sea, sea-ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used. (Draft Declaration of the Rights of Indigenous Peoples: Part VI)

Indigenous peoples: "The existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant." (Working definition adopted by the UN Working Group on Indigenous Peoples).

Landscape: A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area.

Local laws: Includes all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms.

Long term: The time-scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions.

Native species: A species that occurs naturally in the region; endemic to the area.

Natural cycles: Nutrient and mineral cycling as a result of interactions between soils, water, plants, and animals in forest environments that affect the ecological productivity of a given site.

Natural Forest: Forest areas where many of the principal characteristics and key elements of native ecosystems such as complexity, structure and diversity are present, as defined by FSC approved national and regional standards of forest management.

Non-Timber Forest Products (NTFPs): All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products.

Other forest types: Forest areas that do not fit the criteria for plantation or natural forests and which are defined more specifically by FSC-approved national and regional standards of forest stewardship.

Plantation: Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments.

Principle: An essential rule or element; in FSC's case, of forest stewardship.

Silviculture: The art of producing and tending a forest by manipulating its establishment, composition and growth to best fulfill the objectives of the owner. This may, or may not, include timber production.

Succession: Progressive changes in species composition and forest community structure caused by natural processes (nonhuman) over time.

Tenure: Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the "bundle of rights and duties" of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc).

Threatened species: Any species which is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

Use rights: Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques.

Woodmark Standard Adaptation Process		
FSC-Ref	FSC-STD-20-003 (v3.0)	
Woodmark procedure	PP-FM-001 Adaptation of Generic Standard	
Summary	In countries where there is no FSC-endorsed national standard Woodmark has adapted the Woodmark Generic Forestry Standard for the region / country.	
Amendments		
Date	Details	Author /Approved
Oct 2010	Page 1: SA Woodmark and FSC logo updated Page 2: References to superseded FSC docs updated Page 4 and 7: References to 'recommendations' replaced with 'observations' References to 'norm/s' replaced with 'indicator/s' Page 52 onwards: Annexes added and numbering re-structured. New index for annexes added with this table for recording amendments. Footer updated to ST-FM-001-07 Oct 2010	LC/MR
April 2012	Annexes adapted for Vietnam	JR/LC
July 2012	Amendment carried out to 10.5 according to draft FSC standard for Vietnam	MR/LC
May 2014	Added CITES species to Appendix 3	MDP / MR
	<i>(e.g. Woodmark Generic Standard adapted and published on web)</i>	

Review:		
	<i>(e.g. Further review / comments received: (list))</i>	
	<i>(e.g. Amendments to FSC policies/standards meaning amendments to adapted Standard required: (list))</i>	