



Rainforest Alliance

SmartWood Program

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Contact person:	<u>Peter Feilberg</u>
Contact email:	pf@nepcon.net

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Introduction

The purpose of the Rainforest Alliance's SmartWood Program is to recognize good forest managers through credible independent certification of forestry practices. The Rainforest Alliance SmartWood Program (hereafter referred to as SmartWood) is a certification body accredited by the Forest Stewardship Council. The purpose of these standards is to provide forest managers, landowners, forest industry, scientists, environmentalists and the general public with information on the aspects of forest management operations that SmartWood evaluates to make certification decisions in the Forest Stewardship Council (FSC) certification system. These standards have been developed for [enter country] based upon the Rainforest Alliance/SmartWood Generic standards which have been approved by the FSC (through the Accreditation Services International). The scope of the current standard is [enter country] (all forests types and geographic areas). The current interim standards have been specifically adapted by SmartWood to apply to [enter country] and will be continuously up-dated based on stakeholder input and field trials to this version. The principles, criteria and indicator in this document are applicable for assessing all forest management operations (FMEs) with wood production as a major (though not exclusive) objective.

Background

Forests can be managed for many different objectives and products. Such management can occur in natural forests or plantations, for timber or non-timber forest products, include mechanized or manual harvesting, and managed by a large industrial operation or a local community or landowner cooperative. Many combinations are possible. A critical question has been - how to evaluate the wide range of ecological, socioeconomic and silviculture impacts of forest management activities in a clear and consistent fashion, based on a combination of scientific research and practical experience?

In 1991, the SmartWood Program put forth the *first* set of global standards for forest management certification, entitled "Generic Guidelines for Assessing Natural Forest Management" applicable at the forest or operational level for forest operations. In 1991, SmartWood also distributed the first region-specific guidelines for management of natural forests in Indonesia. In 1993, SmartWood distributed the draft "Generic Guidelines for Assessing Forest Plantations" and revised guidelines for natural forest management. The initial Working Group for developing the first FSC Principles and Criteria in 1991-1993 was co-chaired by the SmartWood Director. In 1998, after seven years of application and "learning by doing" through forest assessments and audits, SmartWood conducted a major revision of its standard for assessing forest management in both natural forests and tree plantations. Revisions since then have occurred in 2000 and 2004. Since 1993, each set of our standards has been reviewed by FSC staff, the international body that has accredited SmartWood as a forest management and chain of custody certifier.

These SmartWood standards were developed in consultation with our staff and representatives of the SmartWood Program worldwide, as well as other professional foresters, ecologists, social scientists and forest practitioners. SmartWood representatives have in-depth field experience developing region-specific forest certification standards, some going back as far as 1989 (Indonesia, California). We developed these standards to be in accord with FSC requirements as well as other forest management and biological conservation guidelines issued by the World Conservation Union (IUCN) and the International Tropical Timber Organization (ITTO). We have also drawn on work of our SmartWood Network partners (Imaflora in Brazil and NEPCon in Denmark, Scandinavia, Russia and Eastern Europe), Center for International Forestry Research (CIFOR), International Labor Organization (ILO), many scientists, forest industry, non-governmental organizations (NGOs), and FSC regional standards working groups. We would

like to acknowledge the significant contributions made by these and other international, national and local organizations, and the many forestry operations (certified and uncertified), foresters, loggers, and local stakeholders who have critiqued past versions of the SmartWood standards and provided suggestions for improvement.

Regional Standards Development

FSC working groups around the world are developing country- or region-specific forest certification standards. SmartWood fully supports, encourages and participates wherever possible in such processes. Our experience is that the regional standard setting process is vital. Regional standard setting is an excellent way of engaging the public in important, broad ranging discussions on the future of forests and human communities. In other words, the regional standards setting process should not be seen just as a technical standards setting process, but also as a process of outreach on the topic of sustainable forest management.

As part of the FSC process, regional standards are developed by a regional working group, field-tested, revised and approved by the regional working group, and then submitted to the FSC's international headquarters for approval. The final product, if approved, is an "FSC accredited standard". Once accredited, all FSC-approved certifiers (like SmartWood) must use the endorsed regional standard as the fundamental starting point for FSC certification in that country/region. Certifiers may choose to be more rigorous than the regional standard, but they cannot be less rigorous.

In all countries or regions not covered by an FSC accredited forest stewardship standard, SmartWood will develop a locally adapted or interim standard for use in evaluating forest management operations in that designated geographic area. The adapted standard is developed from the SW generic standard with modification to certification indicators to take into account the national context (e.g. legal requirements, environmental, social and economic perspectives). This draft will be translated to the official language of the country in which the FME to be evaluated is located and is be submitted for consultation at least 30 days prior to the start of fieldwork for a full assessment. Distribution to key stakeholders occurs via the Internet (email and posted on the SW website), mailings and face to face meetings.

Operations certified under a previous FSC or SmartWood standard have a minimum of one year to meet any newly endorsed FSC regional standard.

SmartWood have also used other sources as basis for and inspiration for developing the indicators and verifiers of the Interim Standard. Among the documents that have been reviewed and considered in developing this Interim Standard are:

- FSC-STD-01-001 (version 4-0) FSC Principles and Criteria for Forest Stewardship
- FSC-STD-20-003 (version 2-1) Local adaptation of certification body generic Forest Stewardship Standards.
- FSC-STD-20-002 (version 2-1) Structure and Content of Forest Stewardship Standards
- FSC-POL-30-401 FSC certification and ILO conventions.
- FSC-STD-01-003 SLIMF Eligibility Criteria
- RA/SmartWood Generic Standards for Assessing Forest Management", Rainforest Alliance, January 2008
- SmartWood Generic Guidelines for Assessing the Management of Non-Timber Forest Products, Rainforest Alliance, January 2000.

- SmartWood Non-Timber Forest Products Certification Standards Addendum, Rainforest Alliance, November 2002.

SmartWood Standards Structure

The SmartWood generic standards are based directly on the FSC Principles and Criteria for Forest Stewardship (**FSC-STD-01-001**) and include specific generic indicators for each criterion to create a global SmartWood standard. These indicators are the starting point from which region-specific “SmartWood Interim Standards” are developed for use in the forest by forest assessors to evaluate the sustainability of forest management practices and impacts of candidate FME.

The standards are divided into the following ten principles:

- 1.0 Compliance with Laws and FSC Principles
- 2.0 Tenure and Use Rights & Responsibilities
- 3.0 Indigenous Peoples’ Rights
- 4.0 Community Relations and Workers’ Rights
- 5.0 Benefits from the Forest
- 6.0 Environmental Impact
- 7.0 Management Plan
- 8.0 Monitoring and Assessment
- 9.0 Maintenance of High Conservation Value Forests
- 10.0 Plantations

In the standard, each FSC principle and its associated criteria is stated, along with the SmartWood indicators. All criteria in all principles must be evaluated in every assessment; unless certain principles are deemed not applicable by SmartWood auditors (e.g. Principle 10 will not be applicable if there are no plantations).

Indicators for Small and Large FMEs

As required under FSC policy SmartWood has developed indicators for certain criteria ¹ that are specific to certain sizes of operations. Clear quantitative definitions for small versus large FMEs are included in regionalized SmartWood Interim Standards. Where these SmartWood regional thresholds are not established, large FME should be considered those larger than 50,000 ha. Small FME definition is determined by FSC regional thresholds set for small and low intensity managed forests (SLIMF) which have been set either globally by FSC (100 ha) or by FSC National Initiatives.

Public Input and Comment on SmartWood Standard and Certification Processes

The certification process has both public and private aspects. Certification assessments are not public documents unless specifically required by law (e.g. for some public forests) or approved for public distribution by the certified operation. However, three public documents are available for each and every certified FME:

1. A public stakeholder consultation document that announces each certification assessment at least 30 days prior to field work;
2. The certification standard used; and,
3. A public certification summary that is produced with the results of each separate forest certification.

¹ Criteria 6.1, 6.2, 6.4, 7.1, 7.2, 7.3, 7.4, 8.1, 8.2, 8.3, 8.4, 8.5, 9.1, 10.5 and 10.8.

The public stakeholder consultation document informs the public about the assessment at least 30 days prior to it taking place. This document is distributed publicly prior to or during an assessment. The document is typically distributed by hand delivery, FAX, mail, or email. The specific SmartWood standard for each assessment is also publicly available before and during the assessment and is a part of the public record for every forest certification. The public certification summary is produced as a final step of the certification process and is available only after an operation has been approved for certification. For copies of any of the above documents, visit our website at www.smartwood.org. or contact SmartWood [enter SW regional office including address and tel/fax/email). **We strongly encourage you to give us your input, either positive or negative, on our candidate or certified operations, certification standards, or certification procedures.**

Contents

A Scope

This standard shall be the basis for FSC forest management certification of forest management enterprises in Latvia.

B Standard effective date

This standard shall be effective from July 15,2010

C References

- FSC-STD-01-001 v. 4.0 FSC Principles and Criteria for Forest Stewardship
- FSC-STD-01-002 (draft 1-0) FSC Glossary of Terms

D Terms and definitions

See annex A for glossary.

Acronyms:

FME: Forest management enterprise

FSC: Forest Stewardship Council

HCVF: High conservation value forests

RA: Rainforest Alliance

SLIMF: Small and Low Intensity Managed Forests

SW: SmartWood

Rainforest Alliance/SmartWood Interim Standard for Assessing Forest Management in Latvia

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.	
Criteria	Indicators
1.1. Forest management shall respect all national and local laws and administrative requirements.	1.1.1. The staff shall be aware of relevant requirements of legislation and their responsibilities. 1.1.2. <u>Large FMO-s</u> : copies of relevant legislation shall be available in head office and for the staff 1.1.3. Discovered non compliances with legislation shall be recorded. 1.1.4. Corrective actions shall be implemented in case noncompliance is identified. 1.1.5. FMO shall meet all national environmental, labor and forestry laws

<p>1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</p>	<p>1.2.1. FMO shall be aware of applicable fees and taxes 1.2.2. Evidence shall exist of on-time payment of any applicable financial charges. 1.2.3. In case of discrepancies, FMO shall maintain a full documentation related to the discrepancies and solving them.</p>
<p>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.</p>	<p>1.3.1. <u>Large FMO-s:</u> FMO shall be aware of and respect applicable international conventions 1.3.2. No workers under the age of 15 shall be employed in the forest unless for training or educational purposes. 1.3.3. No workers are under the age of 18 shall be employed for operations when it is likely to jeopardize health, and safety.</p> <p>Note: Applicable international conventions are covered within Latvian legislation as well as other parts of the standards.</p>
<p>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.</p>	<p>1.4.1. Perceived conflicts between laws and present standard shall be identified and recorded by the FMO. 1.4.2. Any conflicts identified shall be resolved by working in conjunction with appropriate regulatory bodies and other parties (including FSC national representatives).</p>
<p>1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p>	<p>1.5.1. <u>Large FMO-s:</u> FMO have a monitoring system with formal documented periodic inspections. 1.5.2. The forest manager shall take reasonable legal measures to prevent illegal usage of the forest area or natural resource, if needed. 1.5.3. Illegal harvest, settlements and other unauthorized usage shall be reported to the responsible authorities.</p>
<p>1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</p>	<p>1.6.1. For large operations, FMO shall have a publicly available policy or statement committing the organization to adhere to the FSC requirements within the certified forest area.. 1.6.2. <u>FME shall not implement activities that blatantly conflict with the FSC P&C on forest areas outside of the forest area under assessment.</u> 1.6.3. FME shall disclose information on all forest areas over which the FME has some degree of management responsibility to demonstrate compliance with current FSC policies on partial certification and on excision of areas from the scope of certification.</p>

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.

Criteria	Indicators
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<p>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.</p>	<p>2.1.1. FMO shall possess legal documents proving its legal rights of ownership or long term rights to manage the forest area. 2.1.2. Property borders shall be marked or otherwise clearly delineated (e.g. follow natural boundaries).</p>
<p>2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</p>	<p>2.2.1. FMO shall identify and document local communities, or other stakeholders, who have recognized legal or customary tenure or traditional use rights. 2.2.2. FMO shall ensure that local communities have access to the forest for collection of Non-Timber Forest Products (NTFP) such as berries and mushrooms for own consumption. 2.2.3. <u>Large FMO-s</u>: FMO should ensure that local communities have controlled access to buy wood for own consumption at a reasonable price. 2.2.4. FME shall not make restrictions for local communities in relation to legal or customary rights, unless these restrictions are agreed with local communities.</p>
<p>2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified</p>	<p>2.2.1. FME shall use mechanisms for resolving disputes over tenure claims and use rights that respectfully involve the disputants and are consistent in process. 2.3.2 FME shall not be involved in outstanding disputes of substantial magnitude on the forest area that involves a significant number of interests. 2.3.3 FME shall demonstrate significant progress achieved to resolve major disputes.</p>

<p>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS</p>	
<p>Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</p>	<p>Criteria considered not applicable since Latvians are native people in their homeland.</p>
<p>3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</p>	<p>Criteria considered not applicable since Latvians are native people in their homeland.</p>
<p>3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.</p>	<p>Criteria considered not applicable since Latvians are native people in their homeland.</p>

<p>3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</p>	<p>Criteria considered not applicable since Latvians are native people in their homeland.</p>
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PRINCIPLE 4. COMMUNITY RELATIONS AND WORKERS' RIGHTS

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

Criteria	Indicators
<p>4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.</p>	<p>4.1.1. Local communities and residents shall be given equal or preferential opportunities in forest management activities in terms of employment, training, and provision of supplies to FME, and other benefits or opportunities. 4.1.2. Evidence of efforts made for providing stable employment for all staff shall exist. 4.1.3. No evidence of discrimination in labor practices, including hiring, advancement, dismissal, remuneration and employment-benefits shall exist.</p>
<p>4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</p>	<p>4.2.1. Employees, including contractors, shall be aware of and shall implement safe working practices. 4.2.2. <u>Large and medium FMO-s</u>: Appropriate health and safety equipment including helmet, high visibility vest/jacket, safety boots, safety trousers and first aid kit shall be used in the field by chain saw operators, harvesting companies and contractors. 4.2.3. Any person entering an ongoing logging site shall wear a helmet and high visibility vest. 4.2.4. Chain saws shall be kept in good condition and safety equipment shall not be defect. 4.2.5. Workers involved in dangerous work such as storm damage removal, logging of large trees and tree climbing shall never work alone. 4.2.6. Workers shall be instructed about procedures in case of emergency situation such as accident, fire or oil spill. 4.2.7. Tractors shall be equipped with crash bars. 4.2.8. FMO shall conduct regular checks to ensure that all safety procedures are observed in the field. 4.2.9. Warning signs shall be posted at access roads to sites with ongoing logging operation. 4.2.10. <u>Large and medium FMO-s</u>: FMO shall maintain a register of accidents and documented steps taken to minimize risk of further accidents. 4.2.11. <u>Large FMO-s</u>: FMO shall have a health and safety policy and management system in place. 4.2.12. Workers who are staying overnight in the forest shall have</p>

	<p>appropriate sleeping facilities, sufficient supply of clean water.</p> <p>4.2.13 <u>Large FMO-s</u>: Staff should be offered vaccinations against Tick-borne encephalitis.</p> <p>4.2.14 Indicators under criterion 4.2 are also applicable for workers family members in case they are present at the operational sites.</p>
<p>4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organisation (ILO).</p>	<p>4.3.1. <u>Large and medium FMO-s</u>: Workers shall be able to form and join a trade union of their choice without fear of intimidation or reprisal.</p> <p>4.3.2. <u>Large and medium FMO-s</u>: Collective bargaining with representative trade unions shall be carried out in good faith and with best efforts to come to an agreement.</p>
<p>4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</p>	<p>4.4.1. All interested parties shall have access to relevant information.</p> <p>4.4.2. <u>Large FMO-s</u>: Consultations shall be maintained with people and groups directly affected by management operations in the management planning process.</p> <p>4.4.3. <u>Large and medium FMO-s</u>: FME shall demonstrate that input from community participation was considered and/or responded to during management planning and operations.</p> <p>4.4.4. <u>Large and medium FMO-s</u>: Areas of special economic, ecological, cultural or spiritual value for local communities shall be mapped and management takes considerations to these values.</p>

<p>4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</p>	<p>4.5.1. FME shall make all reasonable efforts to avoid losses and damages affecting local peoples, and in resolving grievances related to legal rights, damage compensation and negative impacts.</p> <p>4.5.2. <u>Large FMO-s: FMO</u> shall establish and implement a documented mechanism for compensation of affected parties in case local community resources are damaged as result of forestry activities.</p>
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<p>PRINCIPLE 5. BENEFITS FROM THE FOREST</p>	
<p>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.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>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.</p>	<p>5.1.1. FMO shall have a financial plan detailing funding for silvicultural operations, conservation, forest protection and regeneration measures.</p> <p>5.1.2. Budgets shall include provision for environmental and social as well as operational costs necessary to maintain certifiable status (e.g. management planning, road maintenance, silvicultural treatments, long-term forest health, growth and yield monitoring, and conservation investments).</p> <p>5.1.3. Large FMO-s: When evaluating the economic viability the asset value of the standing stock shall be considered.</p>
<p>5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	<p>5.2.1. Forest management shall support optimal uses of forest resources, such as hunting, recreation and non-timber forest products See also 5.4</p>
<p>5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	<p>5.3.1. The layout of existing and planned forest roads, bridges, and harvesting tracks shall be appropriate to the scale and intensity of management operations.</p> <p>5.3.2. Harvesting techniques shall be designed to avoid losses of merchantable volumes and damage to remaining trees.</p> <p>5.3.3. Waste generated through harvesting operations and on-site processing shall be minimized.</p>
<p>5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</p>	<p>5.4.1. FMO's sales policies and methods shall consider needs of local processing industry.</p> <p>5.4.2. FME shall support increased local value added processing where possible.</p> <p>See also 5.2</p>

<p>5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</p>	<p>5.5.1. <u>Large FMO-s</u>: FMO shall assess the impact of forest management on the multiple services produced in the forest such as outdoor life, watersheds, NTFP (fishing, hunting, berries and mushrooms), protection of cultural and biological values in written.</p> <p>5.5.2. <u>Large FMO-s</u>: Negative impacts identified by assessment as described in 5.5.1 shall be minimized.</p> <p>5.5.3. FMO shall consider areas important for mushrooms and berry picking; hunting and recreation when planning forest operations. See 4.4.3</p>
<p>5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained</p>	<p>5.6.1. <u>Large and medium FMO-s</u>: Annual allowable cut (AAC), by area or volume, shall be set based on conservative and well-documented estimates of growth and yield.</p> <p>5.6.2. SLIMF: Minimum recommended rotation age or average diameter for final felling shall be observed.</p> <p>5.6.2. <u>Large and medium FMO-s</u>: FMO shall ensure that the rate of harvest does not exceed sustainable levels.</p> <p>5.6.3. Actual annual harvest shall be strictly documented, including site, species, quantities, assortments, date and terms documentation.</p> <p>5.6.4. FMO-s shall document commercial harvest of NTFP such as seeds, Christmas trees, greenery and game</p> <p>5.6.5. Commercial harvest of NTFP shall not exceed sustainable levels.</p> <p>5.6.6. Boundaries of harvesting areas shall be clearly marked or clearly distinguishable.</p> <p>See also 5.1.3</p>

<p>PRINCIPLE 6. ENVIRONMENTAL IMPACT</p>	
<p>Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</p>	
<p>Criteria</p>	<p>Indicators</p>

<p>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.</p>	<p>6.1.1. <u>Large and medium FMO-s</u>: FMO shall assess environmental impacts during planning of site disturbing forest operations.</p> <p>6.1.2. Measures to minimize negative environmental impacts of forest operations shall be followed in the field, e.g. wet soil types shall be handled with precaution to avoid soil damages, sensitive bird habitats shall not be intervened in birds nesting period.</p> <p>6.1.3. <u>Large and medium FMO-s</u>: FMO shall have a documented procedure for conducting documented environmental impact assessments prior to major forest management activities such as constructions of new roads or maintenance of drainage systems.</p> <p>6.1.4. <u>SLIMF FMO-s</u>: FMO shall identify and avoid negative environmental impacts prior to and during road construction, road maintenance and drainage systems renovation and maintenance.</p> <p>6.1.5. Environmental impacts of on-site processing facilities shall be assessed and controlled (e.g. waste, construction impacts, etc.).</p> <p>6.1.6. <u>Large and medium FMO-s</u>: Landscape level impacts of forest management (e.g. cumulative effects of forest operations within and nearby the FMU) shall be considered.</p>
<p>6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</p>	<p>6.2.1. <u>Large FMO-s</u>: FMO shall have a written list and protection plan of threatened, rare, and endangered species or ecosystems within their forest area</p> <p>6.2.2. <u>SLIMF and medium FMO-s</u>: FMO should be aware of and conserve the officially registered protected species in the forest area.</p> <p>6.2.3. <i>Taxus baccata</i> shall not be harvested or damaged by logging.</p> <p>6.2.4. Conservation zones shall be demarcated on maps and if relevant also marked in the field.</p> <p>6.2.5. Operations in the conservation zones shall be conducted so that the conservation values are not harmed or endangered in any way.</p> <p>6.2.6. Inappropriate hunting, fishing, trapping and NTFP collecting shall be controlled in the forest.</p>
<p>6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <ul style="list-style-type: none"> a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem. 	<p>6.3.1. <u>Large and medium FMO-s</u>: Special efforts shall be taken to increase the share of native noble hardwoods (a, b).</p> <p>6.3.2. <u>SLIMF FMO-s</u>: Special efforts shall be taken to maintain or increase the share of native noble hardwoods (a, b).</p> <p>6.3.3. Selective logging or regeneration in small groups should be preferred on wet soil types (a, b, c).</p> <p>6.3.4. Natural regeneration and local provenances should be preferred. (a, b, c).</p> <p>6.3.5. Thinning and harvesting operations shall favor development of mixed stands (a, b, c).</p> <p>6.3.6. Forest areas not affected by existing drainage ditches shall not be drained.</p> <p>6.3.7. Old and hollow standing trees, trees with bird nests, snags (standing dead trees) and dead wood with a diameter above 25 cm shall be preserved in the forest, with consideration of national requirements on work safety (b, c).</p>

	<p>6.3.8. At least 10 living biodiversity trees (5 in case of noble hardwood) per hectare shall be left in final felling and shall be left uncut forever (b).</p> <p>6.3.9. Biodiversity trees shall be chosen from wide variety of species with largest diameter among the most biologically valuable and wind stable trees. (6.3 b) See 6.9</p>
<p>6.4. Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</p>	<p>6.4.1. <u>Large FMO-s</u>: FMO shall protect representative samples of existing rare and/or endangered ecosystems in their natural state covering at least 5 % of the total forest area.</p> <p>6.4.2. <u>Large FMO-s</u>: Selection of forest areas to be preserved as required in 6.4.1 shall be based on the identification of woodland key habitats identified through consultation with environmental stakeholders, local government and scientific authorities.</p> <p>6.4.3. <u>SLIMF and medium FMO-s</u>: FMO shall protect existing rare and/or endangered ecosystems in their natural state such as woodland key habitats.</p> <p>6.4.4. No timber harvesting shall take place in areas protected as required in 6.4.1 or 6.4.3, unless specified by written protection rules for the protected area and with the aim of increasing the conservation values.</p> <p>6.4.5. Existing drainage systems shall not be maintained in protected areas unless required to protect their conservation values according to official written protection rules or for transportation of water from bordering lands. See also 6.2</p>
<p>6.5. Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</p>	<p>6.5.1. <u>Large FMO-s</u>: FMO shall have maps specifying areas suitable for all-weather harvesting, winter harvesting or dry-weather only</p> <p>6.5.2. <u>SLIMF and medium FMO-s</u>: FMO shall be aware of soil types appropriate for logging in winter, spring summer and autumn seasons to avoid soil damage.</p> <p>6.5.3. Written guidance to field staff shall cover technical specifications for skid trail and extraction roads (location, width and density), log landing, maintaining buffer zones and road design.</p> <p>6.5.4. Measures shall be taken to minimize soil damage and erosion during harvesting operations.</p> <p>6.5.5. No road fill or waste material (e.g. rocks, brush) from site preparation or other activities shall be placed in stream courses.</p> <p>6.5.6. Buffer zones shall be left along water bodies and open landscape.</p> <p>See also 6,1; 7.3</p>

<p>6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.</p>	<p>6.6.1. Chemicals shall not be used outside nurseries unless prescribed with written expertise of forest pathologist. 6.6.2. All uses of chemical substances shall be recorded including information on the name of the chemical, the purpose, the site, the date and the amount used at minimum. 6.6.3. Chemical storage, mixing and application practices shall meet applicable regulation and codes of best practice. 6.6.4. Responsible employees shall be aware of and able to implement emergency procedures for clean-up following spillages and other accidents with chemicals. 6.6.5. Chemicals banned according to FSC's pesticides policy shall never be used, unless derogation has been granted by FSC.</p>
<p>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.</p>	<p>6.7.1. Chemical, container, liquid and solid non-organic waste shall be disposed in an environmentally appropriate and legal manner at off-site locations, whether from forest operations or processing facilities. 6.7.2. Efforts shall be taken to control and minimize disposal of all types of waste in the forest including garbage left from visitors. 6.7.3. Appropriate oil absorbent kit shall be available in forest machinery. 6.7.4. Appropriate oil absorbent kit or spill proof tanks shall be used at chain saws filling points. 6.7.5. Forest machinery shall be without oil/fuel leakage. 6.7.6. Biodegradable oil should be used for chainsaws and hydraulic oil in forest machinery.</p>
<p>6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</p>	<p>6.8.1. Biological control agents may only be used in exceptional and justified cases. 6.8.2. Any use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. 6.8.2. Genetically modified organisms (GMOs) shall not be used.</p>
<p>6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>	<p>6.9.1. Native forests shall not be converted to stands of exotic species. 6.9.2. Invasive exotic species shall not be cultivated in the forest. 6.9.3. The spread of invasive exotic species that have been historically introduced shall be monitored and if necessary, actions shall be taken to control or eliminate the species. See also 10.3</p>

<p>6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <ul style="list-style-type: none"> a) entails a very limited portion of the forest management unit; b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure long term conservation benefits across the forest management unit. 	<p>6.10.1. The enterprise shall clearly identify any parts of the FMU that are scheduled for conversion from natural or semi-natural forest to plantation or non-forest use, over the next five year period.</p> <p>6.10.2. The areas scheduled for conversion:</p> <ul style="list-style-type: none"> - shall not damage High Conservation Values, AND - EITHER total less than 5% of the total area of the FMU and shall enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit, - OR shall be converted in order to restore the land securely and in the long term to a pre-existing "High Conservation Value" habitat. <p>6.10.3 The FMO shall have all necessary approvals for the conversion, in line with national requirements.</p>
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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.

Criteria	Indicators
<p>7.1. The management plan and supporting documents shall provide:</p> <ul style="list-style-type: none"> a) Management objectives; b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands; c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories; d) Rationale for rate of annual harvest and species selection; e) Provisions for monitoring of forest growth and dynamics; f) Environmental safeguards based on environmental assessments; g) Plans for the identification and protection of rare, threatened and endangered species; h) Maps describing the forest resource base including protected areas, planned management activities and land ownership; i) Description and justification of 	<p>7.1.1. <u>SLIMF FMO-s</u>: FMO shall have a valid management plan prepared according to national legislation (a, e).</p> <p>7.1.2. <u>Large and medium FMO-s</u>: FMO management plan, or appendices or reference documents, shall include presentation of the following components:</p> <ul style="list-style-type: none"> a) Management objective (a). b) A general description of the history, including ownership and use of the forest management area (b). c) A stand level description of the forest resources including area, site type/forest type, soil type, species, age class distribution, height, site class, average diameter (dbh) and volume (b, c). d) Socio-economic conditions (b) e) A profile of adjacent lands (see also Criterion 5.5) (b). f) Summaries for the total forest area including total area (ha), forest cover percentage, area by site types/forest type, age class distribution, total annual increment and average volume per hectare (b, c, d).Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification; g) Provisions for monitoring of forest growth and dynamics (e); h) Description and justification of the management system used, including types of silvicultural systems used. i) specify environmental safeguards based on environmental assessments (see also Criterion 6.1, 9.3) (f). j) general description of monitoring activities implemented to ensure conservation of rare, threatened and endangered

<p>harvesting techniques and equipment to be used;</p>	<p>species (f, g)</p> <ul style="list-style-type: none"> k) Maps describing the forest resource base including protected areas, planned management activities and land ownership (h) l) Description and justification of harvesting techniques and equipment to be used (i) m) Description of the silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories (see also Criteria 5.6, 6.3, 8.1, 8.2) (c). <p>7.1.3. <u>Large and medium FMO-s</u>: The plan shall be technically sound and sufficiently detailed, given the size of the forest operation, complexity and intensity of forest operations.</p> <p>7.1.4. Maps shall be of sufficient quality to effectively guide field activities (see also criterion 6.5)</p> <p>7.1.5. Management plans or related annual operating or harvesting plan shall be available to staff and used in the field.</p>
<p>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.</p>	<p>7.2.1. Management plan (and/or annual operating plan) revision or adjustments shall occur in timely manner.</p> <p>7.2.2. <u>Large and medium FMO-s</u>: Management plan revisions shall incorporate the results of monitoring or new scientific and technical information regarding changing silvicultural, environmental, social and economic conditions.</p> <p>7.2.3. Management plan revisions shall follow national procedures.</p>
<p>7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</p>	<p>7.3.1. <u>Large FMO-s</u>: Forest managers and supervisors shall have appropriate qualification, preferably nationally recognized, ensuring that they are able to plan and organize forest operations and other elements of the management plan.</p> <p>7.3.2. <u>Large FMO-s</u>: a written training plan shall exist and be implemented.</p> <p>7.3.3. <u>Large FMO-s</u>: relevant staff shall receive training in biodiversity issues.</p> <p>7.3.4. <u>SLIMF and medium FMO-s</u>: For harvesting activities, FMO shall hire only workers who have received instructions on proper and safe felling techniques.</p> <p>7.3.5. All workers, as well as contractors and their workers and self-employed persons should be sufficiently educated and trained in the tasks they are assigned to and preferably hold relevant skill certificates. See also 4.1</p>

<p>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</p>	<p>7.4.1. <u>Large FMO-s</u>: FMO shall produce a public summary of the management plan including those elements listed under Criterion 7.1 that is available in printed versions and/or published on the Internet.</p> <p>7.4.2. <u>SLIMF and medium FMO-s</u>: At minimum FMO shall be willing to provide access to relevant parts of the management plan to stakeholders who have justified interest in the forest management activities of FMO (e.g. neighboring landowners and local inhabitants)</p>
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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.

Criteria	Indicators
<p>8.1. The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</p>	<p>8.1.1. <u>Large and medium FMO-s</u>: FMO shall have monitoring procedures for consistent and frequent monitoring of the aspects mentioned in 8.2, which allows comparison of the results and assessment of changes.</p> <p>8.1.2. <u>Large and medium FMO-s</u>: The frequency and intensity of monitoring shall be based on the size and complexity of the operation and the fragility of the resources under management</p> <p>8.1.2. <u>SLIMF FMO-s</u>: FMO shall conduct monitoring in connections with harvesting operations and re-forestation.</p>
<p>8.2. Forest management shall include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ul style="list-style-type: none"> a) Yield of all forest products harvested. b) Growth rates, regeneration and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Costs, productivity, and efficiency of forest management. 	<p>8.2.1. <u>Large and medium FMO-s</u>: Monitoring plan shall identify/describe observed changes in conditions in terms of:</p> <ul style="list-style-type: none"> a) growth rates, regeneration area and species and age and species composition of forest resources, (typically part of the standard management plan prepared according to national legislation) (b, c); b) commercial harvest including harvest of NTFP such as seeds, seedling, game, greenery and Christmas trees (a). c) environmental changes affecting flora, fauna, soil and water resources (e.g. erosion, outbreak of pest, spreading of invasive species, observed nesting sites for endangered bird species) (c, d) d) socioeconomic aspects (e.g. forest management costs, yields of products, number of staff employed, accident rates). (a, d, e) <p>8.2.2. <u>SLIMF FMO-s</u>: FMO shall at minimum have records of commercially harvested products.</p> <p>8.2.3. <u>SLIMF FMO-s</u>: FMO shall ensure that inventory data is updated with periodic management plan revision (typically done during the standard management plan preparation according to national legislation)</p>

<p>8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."</p>	<p>8.3.1. Illegally logged wood reclaimed by the operation shall not be sold as certified. 8.3.2. FMO has established and implemented procedures according to FM-35 SmartWood Chain-of-Custody Standard for Forest Management Enterprises (FMEs). See annex XX</p>
<p>8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.</p>	<p>8.4.1. <u>Large and medium FMO-s</u>: Monitoring data as required per 8.2.1 shall be considered for management plan revision. 8.4.2. <u>SLIMF FMO-s</u>: FMO shall ensure that the management plan is reviewed periodically according to national legislation. See also criterion 7.2</p>
<p>8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</p>	<p>8.5.1. <u>Large FMO-s</u>: FMO shall produce a public summary of the monitoring results including indicators listed in 8.2 and make it available in printed versions and/or publish on the internet. 8.5.2. <u>SLIMF and medium FMO-s</u>: At minimum FMO shall be willing to provide access to relevant parts of the management plan to stakeholders who have justified interest in the forest management activities of FMO (e.g. neighboring landowners and local inhabitants)</p>

PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

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

Criteria	Indicators
<p>9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</p>	<p>9.1.1. Information on Natura 2000 sites, woodland key habitats and other officially protected areas shall be included on maps and protection reasons described in written. 9.1.2. <u>Large and medium FMO-s</u>: FMO shall carry out an assessment of the FMU sufficient to identify all parts of the FMU that have any of the following attributes: a) HCV1. Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia), such as Natura 2000 sites. b) HCV2. Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist</p>

	<p>in natural patterns of distribution and abundance, such as intact forest landscapes.</p> <p>c) HCV3. Forest areas that are in or contain rare, threatened or endangered ecosystems, such as Natura 2000 sites and Woodland Key Habitats.</p> <p>d) HCV4. Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control), such as areas important for drinking water.</p> <p>e) HCV5. Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).</p> <p>f) HCV6. Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p> <p>9.1.2. <u>Large and medium FMO-s</u>: FMO shall have written procedures for identifying and recording new HCVF areas.</p> <p>9.1.3. <u>SLIMF FMO-s</u>: FMO shall carry out self evaluation of HCV forest areas and include identified areas.</p> <p>See also 4.4; 6.1; 6.2; 6.3</p>
<p>9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>	<p>9.2.1. <u>Large FMO-s</u>: Local stakeholders including environmental NGOs shall be consulted to identify HCVF.</p> <p>9.2.2. <u>Large FMO-s</u>: FMO shall document the stakeholder consultation process in written.</p> <p>9.2.3. Stakeholder consultations shall indicate that FMO consistently considers and protects HCVF values.</p>
<p>9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</p>	<p>9.3.1. If HCVF values are present, planning documents shall provide site-specific information which describes the measures taken to protect or restore such values consistent with a precautionary approach.</p> <p>9.3.1. <u>Large FMO-s</u>: Measures to protect HCVF values and officially protected areas shall be described in written public summary</p> <p>9.3.2. <u>SLIMF and medium FMO-s</u>: The FMO shall be willing to provide access to the information on protection measures of HCV forest areas in the FMO forests upon request. See also 7.1</p>
<p>9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	<p>9.4.1. A system for continuous monitoring of HCVF values shall be incorporated into the FME's planning, monitoring and reporting procedures. See also 8.2</p>

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..

Criteria	Indicators
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<p>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 implementation of the plan.</p>	<p>10.1.1 Objectives of tree planting shall be explicit in the management plan, with clear statements regarding the relationship between tree planting and the silviculture, socioeconomic and environmental (i.e. forest conservation and restoration) realities in the region.</p> <p>10.1.2 Management objectives for conservation of natural forest and restoration shall be described in the management plan.</p> <p>10.1.3 Management objectives, specifically those related to natural forest conservation and restoration, shall be demonstrated in forest management activities.</p>
<p>10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</p>	<p>10.2.1 FMOs shall demonstrate through action their commitment to protect, restore and conserve key areas of natural forest within the ownership.</p> <p>10.2.2 Buffer zones along watercourses and around water bodies shall be established according to regional best management practices or local laws and regulations. Buffer zones should be indicated on maps.</p> <p>10.2.3 FMO shall establish wildlife habitat and corridors, suitably located across plantation areas, in consultation with acknowledged experts.</p> <p>10.2.4 Plantations shall be designed so as to maintain or enhance the visual character of the landscape (i.e. design is based on the scale and intensity of natural patterns of disturbance and planting and harvest regimes within the region).</p>
<p>10.3. 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.</p>	<p>10.3.1 Plantation management shall maintain and/or enhance landscape diversity by varying block size and configuration, species, genetic diversity, age class and structure.</p> <p>10.3.2 Emphasis should be placed on planting and/or applied research on forest species native to the region. (Note: Also see Criteria 6.4 and 6.10.)</p>
<p>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.</p>	<p>10.4.1 Plantation species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives.</p> <p>10.4.2 Where exotic species have been selected, the FME shall explicitly justify this choice demonstrating that their performance is greater than that of native species.</p> <p>10.4.3 No species shall be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site and that invasive characteristics, if any, can be controlled.</p> <p>10.4.4 When exotic species are used the specific measures to prevent spontaneous regeneration outside plantation areas, unusual mortality, disease, insect outbreaks or other adverse environmental impacts shall be documented</p> <p>10.4.5. In case exotic species are used, at least 20 pct of the stand shall consist of native species. See also 6.9</p>

<p>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.</p>	<p>10.5.1 Representative samples of existing natural ecosystems shall be protected or restored to their natural state, based on the identification of key biological areas, consultation with stakeholders, local government and scientific authorities. (Note: Also see Criterion 6.4.)</p> <p>10.5.2 Applicable to SLIMF FMEs only (note: above indicator does not apply): Plantation design and management practices shall protect ecological values, especially around conservation features or protected areas.</p>
<p>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.</p>	<p>10.6.1 Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.</p> <p>10.6.2 Plantation design and management shall not result in soil degradation.</p> <p>10.6.3 Forest operations shall not degrade water quality or negatively impact local hydrology.</p> <p>10.6.4 Where negative impacts on soil or water resources is identified, FME shall take steps to reduce or eliminate such impacts.</p>
<p>10.7. Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>	<p>10.7.1 Measures shall be taken in the forest to prevent outbreaks of pests, disease, fire and invasive plant introductions.</p> <p>10.7.2 A plan should exist for forest fire prevention and control.</p> <p>10.7.3 An integrated pest management plan shall exist that identifies pests, determines acceptable injury or action thresholds, and alternative methods of addressing threats.</p> <p>10.7.4 FME shall have a policy and strategy to minimize use of chemical pesticides and fertilizers</p>

<p>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.</p>	<p>10.8.1 Monitoring shall include evaluation of potential onsite and off-site ecological and social impacts of plantation activities. (also see criterion 8.2)</p> <p>10.8.2 Applicable to SLIMF FMEs only (note: above indicator does not apply): FME shall document negative environmental or social impacts and design and implement measures to address the impacts.</p> <p>10.8.3 The purchase of lands or land leases for plantation establishment shall not adversely impact the community and/or resource use by local people. (Note: For exotic or invasive species issues, see Criterion 10.4.)</p>
<p>10.9. Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.</p>	<p>10.9.1 The plantation shall not occupy land converted from natural forest since November 1994, unless clear evidence exists that the current manager/owner was not responsible.</p> <p>10.9.2 Primary, degraded primary and mature secondary forests, and threatened or endangered ecosystems should not be cleared or converted by current forest managers to create tree plantations.</p> <p>10.9.3 Where conversions after November 1994 have occurred, steps shall be taken that convincingly compensate for such conversions, based on interviews or other evidence gathered from other stakeholders and interested parties. (Note: See also Criterion 6.10.)</p>

Annex 1: List of national and local forest and related laws and administrative requirements which apply in Latvia

Law name	Enforce from
Aizsargjoslu likums (The Law on the Protection Belts)	05.02.1997. last amendments 14.05.2009.
AP deklarācija "Par LR pievienošanas starptautisko tiesību dokumentiem cilvēktiesību jautājumos" (Declaration of the Supreme Soviet On Accession of the Republic of Latvia to the International Law on Human Rights)	04.05.1990.
Augu aizsardzības likums (Plant Protection Law)	17.12.1998. last amendments 04.03.2010.
Civillikums (The Civil Law of Latvia)	28.01.1937.
Civilprocesa likums (Civil Procedure Code)	14.10.1998. last amendments 30.03.2010.
Darba likums (Labour Law)	20.06.2001. last amendments 04.03.2010.
Darba aizsardzības likums (Law On Work Safety)	20.06.2001. last amendments 25.03.2010.
Likums "Par arodbiedrībām" (Law on Trade Unions)	13.12.1990. last amendments 09.06.2005.
Likums "Par īpaši aizsargājamām dabas teritorijām" (The Law on Specially Protected Nature Areas)	02.03.1993. last amendments 31.03.2010.
Likums "Par ietekmes uz vidi novērtējumu" (Law on Environmental Impact Assessment)	14.10.1998. last amendments 07.06.2007.
Likums "Par obligāto sociālo apdrošināšanu pret nelaimes gadījumiem darbā un arodslimībām (Law on Compulsory Social Insurance in Respect of Accidents at Work and Occupational Diseases)	02.11.1995. last amendments 01.12.2009.
Likums "Par piesārņojumu" (The Law On Pollution)	15.03.2001. last amendments 17.06.2010.
Likums "Par Starptautiskās darba organizācijas konvencijām Nr. 81, 129, 144, 154, 158, 173" (Law on International Labour Organization Conventions No. 81, 129, 144, 154, 158, 173)	15.07.1994.
Likums "Par valsts un pašvaldību zemes īpašuma tiesībām un to nostiprināšanu zemesgrāmatā" (Law on the Land Ownership Right of the State and the Local Governments and their Securing in the Land Registry)	29.03.1995. last amendments 17.06.2010.
Vides aizsardzības likums	02.11.2006. last amendments 01.12.2009.
Ugunsdrošības un ugunsdzēsības likums	24.10.2002. last amendments 21.01.2010.
Likums "Par zemes dziļēm" (Law on Subsoil)	02.05.1996. last amendments 12.06.2009.
Likums "Par 1992.g. 5. jūnija Riodežaneiro Konvenciju par bioloģisko daudzveidību" (The Law on Rio de Janeiro Convention of 05.06.1992 on Biological Diversity)	31.08.1995.
Krimināllikums (The Criminal Law)	17.06.1998. last amendments 19.11.2009.
Medību likums (The Hunting Law)	01.06.1995. 08.07.2003. last amendments 14.06.2007.
Meža likums (Law on Forests)	24.02.2000. last amendments 06.05.2010.
Būvniecības likums	10.08.1995. last amendments 12.06.2009.
Sugu un biotopu aizsardzības likums (The Law on Species and Habitat Protection)	16.03.2000. last amendments 10.06.2010.

Valsts meža dienesta likums (The State Forest Service Law)	25.11.1999. last amendments 01.12.2009.
Zemesgrāmatu likums (The Law of Land Registry)	22.12.1937. last amendments 26.03.2009.
Komerclikuma spēkā stāšanās kārtības likums	20.12.2001. (01.01.2002.) last amendments 19.11.2009.
Komerclikums	13.04.2000. (01.01.2002.) last amendments 15.04.2010.
MK noteikumi Nr. 45 "Mikroliegumu izveidošanas, aizsardzības un apsaimniekošanas noteikumi (Cabinet Regulation No.45 "Regulations for Microreserve Establishment, Protection and Management")	30.01.2001. last amendments 31.05.2005.
MK noteikumi Nr. 50 "Obligātās sociālās apdrošināšanas pret nelaiemes gadījumiem darbā un arodslimībām apdrošināšanas atlīdzības piešķiršanas un aprēķināšanas kārtība" (Cabinet Regulations No. 50 "On Compulsory Social Insurance in Respect of Accidents at Work and Occupational Diseases and the Procedure for Estimating the Compensation and Granting it")	16.02.1999. last amendments 16.02.2010.
MK noteikumi Nr. 69 "Noteikumi par aizsargājamo ainavu apvidiem" (Cabinet Regulation No. 69 "Regulation on Protected Landscape Areas")	23.02.1999. last amendments 25.06.2009.
MK noteikumi Nr. 83 "Noteikumi par dabas parkiem" (Cabinet Regulation No. 83 "Regulation on Nature Parks")	09.03.1999. last amendments 25.06.2009.
MK noteikumi Nr. 647 "Mežaudzes novērtēšanas kārtība" (Cabinet Regulation No. 647 "Procedure for Evaluation of Forest Stands")	25.06.2009.
MK noteikumi Nr. 806 "Meža zemes transformācijas noteikumi (Cabinet Regulation No. 806 "Regulation on Forest Land Transformation")	28.09.2004. last amendments 28.04.2009.

Annex 2: List of the multilateral environmental agreements and ILO Conventions that Latvia has ratified

Name	Date of adoption
Convention for the Conservation of European Wildlife and Natural Habitats, Bern, 1979 (Bernes 1979. gada Konvencija par Eiropas dzīvās dabas un dzīvotņu aizsardzību)	17.12.1996.
Bonn Convention On Conservation of Migratory Species of Wild Animals, Bonn, 1979 (Bonnas 1979. gada Konvencija par migrējošo savvaļas dzīvnieku sugu aizsardzību)	11.03.1999.
Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Washington (CITES (Vašingtonas) 1973. gada Konvencija par starptautisko tirdzniecību ar apdraudētajām savvaļas dzīvnieku un augu sugām)	17.12.1996.
Convention on Environmental Impact Assessment in a Transboundary Context (Espoo, 1991) (Espo 1991. gada 25. februāra Konvencija par ietekmes uz vidi pārrobežu kontekstā)	01.07.1998.
Convention on the Protection of Marine Environment of the Baltic Sea Area, Helsinki, 1974 and 1992 (Helsinki 1974.gada un 1992. gada Konvencijas par Baltijas jūras reģiona jūras vides aizsardzību)	03.03.1994.
Convention No. 87 "On the Freedom of Associations and the Right to Join into Organisations" (Konvencija "Par asociāciju brīvību un tiesību aizsardzību apvienojoties organizācijās", Nr. 87)	1948
Convention No. 151 "On Labour Relations" (Konvencija "Par darba attiecībām" Nr. 151)	1978.
Convention No. 158 "On Terminating Labour Relations at the Employer's Initiative" (Konvencija "Par darba attiecību pārtraukšanu pēc uzņēmēja iniciatīvas" Nr. 158)	02.06.1982. (25.08.1995.)
Convention No. 155 "On Labour Safety, Health Protection and Work Environment" (Konvencija "Par darba drošību un veselību un darba vidi" Nr. 155)	03.06.1981. (03.06.1981.)
Convention No. 81 "On Labour Inspection in the Industry and Trade" (Konvencija "Par darba inspekciju ražošanā un tirdzniecībā" Nr. 81)	11.07.1947. (25.08.1995.)
Convention No.148 "On Work Environment" (Konvencija "Par darba vidi" Nr. 148)	20.06.1977. (08.03.1994.)
Convention No. 154 "On Supporting Collective Negotiations" (Konvencija "Par kolektīvo pārrunu atbalstīšanu" Nr. 154)	03.06.1981. (25.08.1995.)
Convention no. 173 "On the Protection of Employee Claims in Case of the Employer's Insolvency" (Konvencija "Par strādājošo prasību aizsardzību uzņēmēja maksātnespējas gadījumā" Nr. 173)	03.06.1992. (23.06.1992.)
Convention No. 98 "On the Right to Join into Organizations and Make Joint Contracts" (Konvencija "Par tiesībām uz apvienošanās organizācijās un kolektīvo līgumu slēgšanu" Nr. 98)	1949
Convention No. 144 "On Tripartite Consultations on Promoting the Use of International Labour Norms" (Konvencija "Par trīspusējām konsultācijām Starptautisko Darba Normu pielietošanas sekmēšanai" Nr. 144)	26.06.1976. (25.08.1995.)
Convention on the Protection of the World Cultural and Natural Heritage, Paris, 1972 (Parīzes UNESCO 1972.g. 16. Novembra Konvencija par pasaules kultūras un dabas mantojuma aizsardzību)	17.02.1997.
2.2.1971 Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsāres 1971. gada 2.februāra Konvencija par starptautiskas nozīmes mitrājiem, īpaši kā ūdensputnu dzīves vidi)	29.03.1995.

Convention on Biological Diversity, Rio de Janeiro, 1992 (Riodežaneiro 1992. Gada 5. jūnija Konvencija par bioloģisko daudzveidību)	31.08.1995.
Vienna Convention for the Protection of the Ozone Layer, Vienna, 1985 and the 1987 Montreal Protocol on the Substances Depleting the Ozone Layer (Vīnes 1985. gada Konvencija par ozona slāņa aizsardzību un tās 1987. gada Monreālas protokols par ozona slāni noārdošām vielām)	14.03.1995.
The United Nations framework convention on Climate Change, 1992 (ANO 1992. gada Vispārēja konvencija par klimata pārmaiņām)	23.02.1995

Annex 3: List of officially endangered species in Latvia.

Example:

CITES

Animals Appendix I

Animals Appendix II

Animals Appendix III

Plants Appendix II

Plants Appendix III

CITES with national export quotas

Non-CITES with national export quotas

IUCN Red List species (2007) native to [Latvia]

Official list of protected species in Latvia can be found at following site:

<http://www.likumi.lv/doc.php?id=12821&from=off>

Latvian red list of animals and birds:

http://latvijas.daba.lv/aizsardziba/augi_dzivnieki/dz_tabula.shtml

Latvian red list of plants:

http://latvijas.daba.lv/aizsardziba/augi_dzivnieki/tabula.shtml

Annex 4: Glossary of terms²

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

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)

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.

Forest management unit (FMU): a clearly defined forest area with mapped boundaries, managed by a single managerial body to a set of explicit objectives which are expressed in a self-contained multi-year management plan.

² from FSC Principles and Criteria for Forest Stewardship FSC-STD-0120-0015 (February 2000(draft 2-0) and FSC glossary of terms, FSC-STD-01-002 (draft 1-0)

Forest stewardship: forest management which, in conformity with the FSC Principles and Criteria for Forest Stewardship, is environmentally responsible, socially beneficial, and economically viable.

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

Indicator: a quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a forest management unit complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the forest management unit and are the primary basis of forest evaluation.

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).

High Conservation Value Forests: 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 cooperation with such local communities).

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: 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.

Precautionary approach: Tool for the implementation of the precautionary principle.

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 fulfil the objectives of the owner. This may, or may not, include timber production.

SLIMF (small or low intensity managed forest): a forest management unit which meets specific FSC requirements related to size and/or intensity of timber harvesting, and can therefore be evaluated by certification bodies using streamlined evaluation procedures. The applicable FSC requirements are defined in *FSC-STD-01-003 SLIMF Eligibility Criteria*.

Stakeholder: individuals and organizations with a legitimate interest in the goods and services provided by an FMU; and those with an interest in the environmental and social effects of an FMU's activities, products and services. They include: those individuals and organizations which exercise statutory environmental control over the FMU; local people; employees; investors and insurers; customers and consumers; environmental interest and consumer groups and the general public [modified from Upton and Bass, 1995].

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

Annex 5: Summary of the SmartWood Certification Assessment Process³

The certification assessment process begins with a candidate operation submitting an application to SmartWood. Based upon a review of the application, the scope of the area to be certified and discussions with the candidate, SmartWood will propose a certification process that includes either a preassessment followed by a main assessment, or goes directly to a main assessment. Every candidate operation is assigned a SmartWood task manager who will liaise with the assessment lead auditor and the candidate to schedule and perform the evaluations.

SmartWood assessors are provided with detailed guidance on the certification process, including pre-assessment briefings (either in person or by telephone) and access to a written SmartWood handbook for forest assessment. The purpose of these briefings and the manual is to ensure that a consistent and thorough certification process is followed.

In addition to following the SmartWood procedures outlined in our forest evaluation handbook, there are three other ways in which we ensure accuracy and fairness in our certifications:

1. The assessment must involve individuals who are familiar with the particular region and type of forest management operation under evaluation. It is SmartWood policy to involve local specialists in all assessments.
2. Team members must be familiar with SmartWood certification procedures. Each SmartWood certification assessment has a designated lead auditor who must have participated in a formal SmartWood assessor-training course or previously participated in other SmartWood forest management assessments or audits.
3. The assessment must use region-specific standards (i.e. accredited FSC standard or a “regionalized” SmartWood Interim Standard, based on this SmartWood Generic Standard).

Team Selection and Planning – SmartWood selects a qualified lead auditor and other team members to participate in the assessment. The lead auditor’s first task is to ensure that all team members understand the scope and intent of the assessment process. Responsibility for evaluation of different sections (i.e. specific criteria and indicators) of the standard are assigned to different team members, depending on their particular training and expertise. All team members can provide input into any principle, but lead responsibility is assigned for data collection, analysis and writing for each criterion and indicator.

Stakeholder notification: At least 30 days prior to forest evaluation, SmartWood notifies stakeholders of the pending assessment and requests stakeholders’ observations or comments with regard to the operations compliance with the certification standard.

Fieldwork and Data Collection – Evaluation of conformance with the standard is based upon data collection by the auditors through review of FME management documentation, interviews with staff and stakeholders, and field observations and measurements. The team organizes opening meetings with the FME staff to review the assessment scope and procedures and certification standards. Documentation review and interview with FME staff begin immediately. The assessment process then moves quickly to the field phase. Inspections are made to sites chosen by SmartWood assessors based on a comprehensive review of the candidate FME’s forest holdings and management activities, discussions with interested/affected parties, and

³ For detailed information about procedures, contact our headquarters or regional offices through www.smartwood.org.

identification of critical issues or challenging sites. Site visits occur in the forest, at processing facilities, and in surrounding communities. Visits emphasize management activities of all types and phases and different biological or physical conditions.

Team members meet independently with stakeholders. All assessments solicit and incorporate input (confidential and/or open) from directly affected and/or knowledgeable stakeholders, including local communities, adjoining landowners, local forest industry, environmental organizations, government agencies, and scientific researchers. During these consultations, assessment team members explain the assessment process, solicit opinions, and gather impressions about the field performance of the operation being assessed.

Data Analysis and Decision making – Throughout the assessment the team meets independently to discuss progress in gathering information, and discuss preliminary findings. The assessment team works in a consensus fashion to analyze information and evidence gathered, evaluate conformance and reach agreement on their findings as to the certification of the candidate operation.

The assessment team evaluates performance by the FME at the indicator level of the standard. Any non-conformances are analyzed and classified as either minor or major. A noncompliance is considered major if it results in a fundamental failure to achieve the objective of the relevant criterion in the standard. Conversely, a nonconformance is considered minor if the impacts are limited in scale, prompt corrective action has been taken to ensure it will not be repeated and it does not result in a fundamental failure to achieve the objective of the relevant criterion. For each area of nonconformance identified, the assessment team develops corrective actions which are classified as follows:

- **Major Corrective Action Request (CAR)** is an improvement addressing major nonconformance that candidate FME must implement before SmartWood certification is granted;
- **Corrective action request (CAR)** is an improvement addressing a minor nonconformance that candidate FME must implement by a specific deadline (i.e. short term - usually within one year) during the renewable five-year certification period (which is the standard FSC certification contract period); and,
- **Observation** is a very minor problem or the early stages of a problem which do not of itself constitute a non-conformance, but which the auditor considers may lead to a future non-conformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a nonconformance in the future.

Report Write-up – following the forest evaluation, the team prepares the certification assessment report. This report follows a standardized format and includes detailed findings of performance and proposes pre-conditions, CARs or observations.

Review of Assessment Report by Candidate Operation, Independent Peer Reviewers and SmartWood Report Review – the candidate operation, at least one peer reviewer, and SmartWood regional staff, review each certification assessment report.

Certification Decision – Once the above steps are completed, SmartWood headquarters coordinates a certification decision process. If a certification decision is to approve certification, a five-year certification contract will be executed which requires annual on-site audits. If an operation is not approved, the certification decision will establish what must be done in order for the operation to achieve certified status in the future.