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PRINCIPLE # 1: Introduction

A key purpose of the Rainforest Alliance is to recognize good forest managers through credible independent certification of forestry practices. The Rainforest Alliance 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 Rainforest Alliance evaluates to make certification decisions in the Forest Stewardship Council (FSC) certification system. These standards have been developed for New Zealand based upon the Rainforest Alliance Generic standards which have been approved by the FSC (through the Accreditation Services International). The scope of the current standard is New Zealand (all forests types and geographic areas). The current interim standards have been specifically adapted by Rainforest Alliance to apply to New Zealand 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 of the Rainforest Alliance 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 Rainforest Alliance as a forest management and chain of custody certifier.

These standards were developed in consultation with the staff and representatives of Rainforest Alliance worldwide, as well as other professional foresters, ecologists, social scientists and forest practitioners. Rainforest Alliance 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 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 Rainforest Alliance standards and provided suggestions for improvement.

Regional Standards Development

FSC working groups around the world are developing country- or region-specific forest certification standards. Rainforest Alliance 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 Rainforest Alliance) 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, Rainforest Alliance 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 to 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 Rainforest Alliance standard have a minimum of one year to meet any newly endorsed FSC regional standard.

Rainforest Alliance has 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 3-0) Structure, content and local adaptation of certification body generic Forest Stewardship Standards.
- FSC-POL-30-401 FSC certification and ILO conventions.
- FSC-STD-01-003 SLIMF Eligibility Criteria
- Rainforest Alliance Generic Standards for Assessing Forest Management", Rainforest Alliance, March 2012
- Rainforest Alliance Global Non Timber Forest Product Certification Addendum, Rainforest Alliance 2012
- 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.

- “FSC/SmartWood Generic Standards for Assessing Forest Management”, Rainforest Alliance, January 2005.
- “FSC Principles and Criteria”, December 2005;
- “The National Standard for Environmental Certification of well-managed Plantation Forests in New Zealand”, 2005.
- Three versions of the “New Zealand Indigenous Forest Management Standards”, Discussion Draft, including “Compliance Level: Forest Amendment Act Part IIIA”. “Level One Forest Stewardship Council Certification” and “Provisional Forest Stewardship Council Certification”;
- Agreements such as the New Zealand Forest Accord, Forest Act 1993 and Resource Management Act 1991; and,
- Public summaries for various FSC plantation certifications in New Zealand implemented by other FSC-accredited certifiers.

Rainforest Alliance Standards Structure

The Rainforest Alliance 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 Rainforest Alliance standard. These indicators are the starting point from which region-specific “Rainforest Alliance Interim Standards” are developed for use in the forest by forest auditors 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 Rainforest Alliance indicators. All criteria in all principles must be evaluated in every assessment; unless certain principles are deemed not applicable by Rainforest Alliance 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 Rainforest Alliance has developed indicators for certain criteria¹ that are specific to certain sizes of operations. Clear quantitative definitions for small versus large FMEs are included in regionalized Rainforest Alliance Interim Standards. Where these Rainforest Alliance 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.

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.

Public Input and Comment on Rainforest Alliance 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 45 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.

The public stakeholder consultation document informs the public about the assessment at least 45 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 and is posted to the Rainforest Alliance web site at www.rainforest-alliance.org. The specific Rainforest Alliance 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 public certification summaries visit the FSC certified organization website at <http://info.fsc.org/>, or contact Rainforest Alliance, Asia Pacific Regional Office (Jl. Kapten Cok Agung Tresna, Griya Alamanda Blok No. 17, Lingkungan Jayagiri, Denpasar Timur, Denpasar, Bali, 80234 Indonesia. Tel: +62 361 256 689, Fax: +62 361 256 634 Email: asia_pacific@ra.org). **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 New Zealand.

B Standard effective date

This standard shall be effective from June 2008.

C References

- FSC-STD-01-001 v. 4.0 FSC Principles and Criteria for Forest Stewardship
- FSC-STD-01-002 (v1-0) 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

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.

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

- 1.1.1. FME shall demonstrate a record of compliance with relevant federal, provincial/state, and local laws and regulations.
- 1.1.2. FME should have texts of existing relevant national laws available in the forest management unit. Relevant laws are listed in Annex 1².
- 1.1.3. FME has in place a system for ensuring that employees and contractors are kept up-to-date for the purposes of meeting the terms of regulations and statutes.
- 1.1.4. Employees and contractors are aware of the implications of regulations and statutes.
- 1.1.5. Relevant statutes and regulations are implemented through operational guidelines and procedures.
- 1.1.6. There is documentation that provides evidence that the above systems are being implemented (NZ V 1.2.6).

1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.

- 1.2.1. FME is up-to-date on all applicable payments of local taxes, timber rights or leases, fees, royalties, etc.
- 1.2.2. Where FME is not up-to-date on payments, a plan for completing all payments shall have been agreed to with relevant institutions.

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.

- 1.3.1. FME shall be aware of and understand the legal and administrative obligations with respect to relevant international agreements to which New Zealand is a signatory. These are listed in Annex 2.
- 1.3.2. FME operations shall meet the intent of applicable conventions including CITES, Convention on Biological Diversity and ILO conventions (29, 87, 98, 100, 105, 111, 138, 182 and other binding conventions).

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.

- 1.4.1. Cases where there are conflicts between laws, FSC P&C and international treaties or conventions shall be identified by FME and brought to the attention of Rainforest Alliance (or Rainforest Alliance auditors during certification assessment).
- 1.4.2. FME shall work in conjunction with the appropriate regulatory bodies and other parties to resolve conflicts between laws/regulations and FSC Principles or Criteria.
- 1.4.3. FME shall document any identified conflicts between laws, regulations and the FSC Principles and Criteria.
- 1.4.4. FME shall ensure that pro-active steps are taken to resolve conflict and any strategy devised for immediate and long-term compliance with FSC requirements are documented and shared with directly affected stakeholders.

² The list of national and state-specific laws is not comprehensive; it is provided only as a guide to relevant legislation and regulations for forest management across all regions or in different regions.

1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.

- 1.5.1. The forest management unit(s) shall be protected from unauthorized harvesting activities and other activities not controlled by forest manager or local people with use rights.
- 1.5.2. For **large** operations, a system shall exist for documenting and reporting to the appropriate authority instances of illegal harvesting, settlement, occupation or other unauthorized activities.
- 1.5.3. A forest access control system is in place, with periodic inspections and formal documentation thereof.
- 1.5.4. Little to no evidence exists of unauthorized activities in forest management areas.
- 1.5.5. With respect to illegal cultivations, certificate holders shall provide assistance to the police consistent with legal obligations and the safety of personnel and the public.

1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.

- 1.6.1. For **large** operations, FME shall have a publicly available policy or statement committing the organization to adhere to the FSC certification standards on the forest under assessment.
- 1.6.2. FME shall not implement activities that blatantly conflict with the FSC P&C on forest areas outside of the forest area under assessment.
- 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.
- 1.6.4. Support for the FSC is effectively communicated to employees and contractors.

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.

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.

2.1.1. FME shall have documented evidence of legal, long term (at least one rotation length or harvest cycle) rights to manage the lands and to utilize the forest resources for which certification are sought. These may include:

- a) Crown Forest Licences
- b) Crown Leases
- c) Forestry Rights
- d) Give and take boundary agreements
- e) Land certificates & titles
- f) Registered rights such as leases or rights of way
- g) Unregistered leases or licenses to occupy
- h) Give and take boundary agreements,
- i) Treaty of Waitangi related land claim agreements,
- j) Existing covenants or agreements (e.g. Nga Whenua Rahui, QEII Trust or Local Authority Agreements),
- k) Unregistered Wahitapu areas, and
- l) "Silent File" records.

2.1.2. There is documentation indicating the existence of any Treaty of Waitangi land claim over the forest, and its effect on tenure or use rights.

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.

2.2.1. All legal or customary tenure or use rights to the forest resource of all local communities shall be clearly documented by the forest managers.

2.2.2. FME shall provide evidence that free and informed consent to management activities affecting use rights has been given by local communities or affected parties.

2.2.3. FME planning processes shall include participation of local communities or parties with legal or customary tenure or use rights.

2.2.4. Holders of legal, customary or easement rights are aware of current and proposed management activities that may affect their use rights.

2.2.5. Controlled access is given or offered to local communities for timber and non-timber forest products based on either legal agreements or longstanding local arrangements (e.g. potable water supply sources in forest areas).

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.

2.3.1. 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 should not be involved in outstanding disputes of substantial magnitude on the candidate forest area that involve a significant number of interests.

2.3.3. FME shall demonstrate significant progress achieved to resolve major disputes.

2.3.4. There are records of all previous and ongoing disputes over tenure and use rights (NZ V 2.2.3).

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.

Fairness to indigenous peoples has been one of the founding crucibles of the FSC and the SmartWood program. However, in order to achieve such fairness, first there must be clarity as to which groups constitute "indigenous". The following definition has been accepted by the FSC:

"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."

In New Zealand the term **Tāngata Whenua** is Māori for 'people of the land'. It refers to the people who have customary authority (mana whenua) over an area of land. It may refer to a hapū (sub-tribe) or iwi (tribe). An individual may also describe himself or herself as tāngata whenua in relationship to a particular place.

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.

3.1.1. FME shall identify Indigenous peoples (Tāngata Whenua) with customary/traditional rights to forest resources (timber and non-timber) where indigenous people have established customary or legal rights to the land or forest resources and their entitlements formally recognized in written agreements.

3.1.2. No forest management operations shall take place in areas identified under 3.1.1 above, without clear evidence of free and informed consent of the indigenous peoples claiming such land, territories or customary rights.

3.1.3. Agreements with indigenous groups shall be honored.

3.1.4. Tino Rangatiratanga – Provision shall be made for the right of Tāngata Whenua to exercise full authority and control over their lands, resources and taonga in accordance with the Treaty of Waitangi.

3.1.5. If requested by the Tāngata Whenua there is an annual hui between Tāngata Whenua and the manager (or persons with delegated responsibility) to review forest operations.

3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.

3.2.1. There shall be no evidence or indication that the FME threatens the rights and resources of indigenous peoples.

3.2.2. Tāngata Whenua does not perceive FME operations as a major threat to their resources or tenure.

3.2.3. FME takes explicit actions to ameliorate threats or diminishments to indigenous resources or tenure.

3.2.4. FME encourages and allows significant management planning and decision making input from indigenous people.

Note: See Criterion 2.2 for indigenous tenure establishment clarifications.

3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognised and protected by forest managers.

- 3.3.1. Special sites of indigenous cultural, ecological, economic or religious significance shall be documented in management planning documents. They should be identified on maps or in the forest in cooperation with Tāngata Whenua.
- 3.3.2. Policies and procedures shall include the involvement of indigenous people, or specialists they designate, in the identification of special sites.
- 3.3.3. Special sites should be identified in management/operational plans.
- 3.3.4. Special sites shall be protected during forest operations.
- 3.3.5. Active Protection of Taonga and Maori Interests – Provision shall be made for the active protection of taonga for as long as Maori wish it.
- 3.3.6. Appropriate rights of access for Tāngata Whenua to these areas are permitted.
- 3.3.7. Kaitiakitanga – Provision shall be made to enable Maori to undertake their duty of custodianship, stewardship and guardianship over their lands, resources and taonga in accordance with the Treaty of Waitangi.
- 3.3.8. Accidental discovery protocols are in place. If discovery of a new site occurs during forest operations, the site will be protected (work stopped, manager notified, and assessment arranged and undertaken with Tāngata Whenua).

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.

- 3.4.1. Written or verbal agreements on terms of compensation shall exist when there is use of traditional knowledge for commercial purposes.
- 3.4.2. Compensation systems for the use of traditional knowledge shall be in place prior to commencement of forest operations which affect indigenous interests.
- 3.4.3. Systems of compensation are clearly understood between FME and indigenous groups, where applicable.

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.

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

- 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. Locals will be preferred for employment where equivalent service is offered, taking account of issues such as: total cost, availability, experience, legal obligations.
- 4.1.3. Clear responsibility is assigned to a specific staff person(s) for liaison and consultation with local communities.
- 4.1.4. FME demonstrates a commitment to stable, long term employment relationships, including staff, contractors and seasonal staff.
- 4.1.5. The forest manager shall identify opportunities and implement actions appropriate to support regional industry and regional communities having due regard to the role of forestry in rural and regional development and the economic, social, environmental and cultural requirements of the FSC.

4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.

- 4.2.1. Wages and other benefits (health, retirement, worker's compensation, housing, food) for full-time staff and contractors are fair and consistent with (not lower than) prevailing local standards.
- 4.2.2. FME shall implement a program of worker safety.
- 4.2.3. Health and safety measures shall comply with national minimum requirements (HSE Act).
- 4.2.4. Workers (staff and contractors) shall be provided with safety equipment in good working order, appropriate to the tasks of workers and the equipment used (e.g. local norms are important, ideally the following: hard hats, hearing protection, high visibility vests, steel toe boots and chainsaw proof chaps).
- 4.2.5. FME shall maintain up to date records of work-related accidents, and preferably all safety performance and be able to document a not higher than normal accident rate.
- 4.2.6. FME policies and practices shall ensure equal treatment of employees in terms of hiring, advancement, dismissal, remuneration and employment related social security.
- 4.2.7. Relevant policies, plans, records and operational procedures are in place:
 - a) Managers, employees and contractors understand their responsibilities
 - b) Up to date training or other skills records for employees and contractors
 - c) Operator licences/Certificates of competency
 - d) Up to date health and safety induction records for employees and contractors
 - e) Hazard identification
 - f) Accident reports documented and up to date
 - g) Safety incentive programs
 - h) Regular compliance checks with the relevant Code(s) of Practice
 - i) Contract provisions of service contractors include OH&S compliance requirements.
- 4.2.8. Employees and contractors are qualified (or in training to be so) in skills relevant to the tasks they are performing.

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).

- 4.3.1. FMEs, by their actions and policies, shall respect the rights of workers (staff and contractors) to organize or join trade unions and to engage in collective bargaining as outlined in ILO Conventions 87 and 98.
- 4.3.2. Where the certificate holder directly employs labour they shall demonstrate compliance with the Employment Relations Act (2000), the Wages Protection Act (1983), the Holidays Act (2003), the Minimum Wages Act (1985) and the Code of Practice for Companies/Employers engaging Forestry Employees.
- 4.3.3. Union representatives shall be provided information on employee numbers and location on request.
- 4.3.4. Employers who directly employ labour shall establish policy and procedures that include provisions ensuring that:
 - a) Staff members with the responsibility/delegated authority to liaise/ negotiate with Union(s) are confirmed and identified.
 - b) Where workers are Union members, wage bargaining arrangements shall proceed on the basis of collective bargaining.
 - c) All employees shall be qualified in skills that are relevant to the tasks they are performing or be under training to acquire such skills.
 - d) Issues raised by Unions are treated constructively, objectively and in the spirit of good faith.

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.

- 4.4.1. In conjunction with local stakeholders and other interested parties, the FME shall evaluate socio-economic impacts associated with forest management activities. The evaluation shall be in accordance to the scale and intensity of operations.
- 4.4.2. FME shall demonstrate that input from community participation was considered and/or responded to during management planning and operations.
- 4.4.3. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.
- 4.4.4. FME maintains a list of people interested in, or affected by, forest management, (i.e. a database of stakeholders and adjoining land owners).
- 4.4.5. FME has documented in writing formal (required for large operations) and/or informal processes (acceptable for other operations) that it will use to assess social issues and consult with affected stakeholders and adjoining landowners before, during and after forest management planning.
- 4.4.6. The forest management shall facilitate and encourage meaningful participation of stakeholders in the development of the forest management plans or equivalent instruments.
- 4.4.7. FME is notifying neighbours and responsible authorities prior to operations.
- 4.4.8. There is a positive and proactive history of interaction with stakeholders on management planning and implementation.
- 4.4.9. FME shall effectively record and respond constructively to community or other stakeholder complaints or requests.

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.

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.

4.5.2.Procedures for consistently and effectively resolving grievances and determining compensation for loss or damage shall be implemented.

Note: See Criterion 2.3 for resolution of land tenure (e.g. property or use rights) challenges.

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.

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.

- 5.1.1. 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).
- 5.1.2. The income predicted in the operating budgets shall be based upon sound assumptions.
- 5.1.3. The forest manager shall identify existing productive uses of the defined forest area to support the maintenance of the land's long term productive capacity and ensure it is not compromised by wood production.
- 5.1.4. The forest manager shall plan forest operations to ensure the productive capacity of the land, relating to productive uses, is not compromised. Planning shall consider:
 - a) forest growth and yield estimates;
 - b) future land use intentions;
 - c) rotation/cutting cycle program;
 - d) scale, intensity and timing of operations;
 - e) expected markets; and
 - f) development and maintenance of infrastructure.

5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.

- 5.2.1. FME seeks the "highest and best use" for individual tree and timber species.
- 5.2.2. FME should encourage utilization of frequently occurring, lesser known, or less-commonly utilized plant species for commercial and subsistence uses.
- 5.2.3. Non-timber forest products (NTFPs) should be considered during forest use and processing.
- 5.2.4. Local processing should be emphasised where possible.
- 5.2.5. Forest management plans or equivalent instruments and actions take account of the productive capacity of forested land for both wood and non-wood products.
- 5.2.6. Forest management options were assessed and strategies/procedures developed for value adding to a range of forest products and for optimising production within sustainable limits.

5.3. Forest management should minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.

- 5.3.1. Harvesting techniques shall be designed to avoid log breakage, timber degradation and damage to the forest stand and other resources.
- 5.3.2. Waste generated through harvesting operations, on-site processing and extraction shall be minimized.
- 5.3.3. The forest manager shall evaluate and use silvicultural systems that have been demonstrated to be appropriate for the forest type, the specific stand and site conditions, forest management objectives and market/product requirements.
- 5.3.4. The forest manager shall ensure damage to forest growing stock during forest operations stays within tolerable levels, in order to maintain wood quality and promote forest health.
- 5.3.5. The forest manager shall implement effective measures to reduce the extent and impact of unplanned fires.

Note: See Principle 6 for assessing damage to forest resources.

5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.

5.4.1. FME should foster product diversification and exploration of new markets and products (also Criterion 5.2).

5.4.2. FME shall support local value added processing.

5.5. Forest management operations shall recognise, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.

5.5.1. FME shall protect the full range of forest services associated with the defined forest area including: watersheds, commercial and recreational fisheries (or the supply of water to downstream fisheries), visual quality, contributions to regional biodiversity, recreation and tourism.

5.5.2. FME shall protect riparian zones along all watercourses, streams, pools, springs and lakes/ponds, consistent with the requirement of national regulations or best management practices.

5.5.3. FME should map riparian protection zones that enhance the value of forest services and resources, such as watershed and fisheries.

5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.

5.6.1. Appropriate to the scale and intensity of operations, estimates of total periodic timber growth on the defined forest area - by species categories - shall be generated through a combination of empirical data and published literature.

5.6.2. Allowable harvest levels shall be based on conservative, well-documented and most current estimates of growth and yield.

5.6.3. Harvesting shall be based on a calculated periodic allowable harvest (e.g. annual allowable cut) and actual harvests do not exceed calculated replenishment rates over the long term).

PRINCIPLE #6: ENVIRONMENTAL IMPACT

1. *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.*

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.

6.1.1. Environmental assessments shall be completed during management planning.

- a) % of original (pre-Māori) ecosystem type in Ecological District within which the certification occurs
- b) % of original ecosystem area that retains some indigenous vegetation under some form of protection.
- c) Proportion of original ecosystem under protection by certificate holder in reserve areas.

6.1.2. Environmental assessments shall consistently occur prior to site disturbing activities.

6.1.3. Environmental impacts of on-site processing facilities shall be controlled (e.g. waste, construction impacts, etc.).

6.1.4. Landscape level impacts of forest management (e.g. cumulative effects of forest operations within and nearby the FMU) shall be considered.

6.1.5. **Applicable to SLIMF FMEs only** (note: above indicators do not apply). Before initiating any operation, the possible negative environmental impacts shall be identified and the operation is designed to minimize them. Assessments do not need to be documented unless legally required.

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.

6.2.1. The likely presence of rare, threatened or endangered species and their habitats (e.g. nesting and feeding areas) shall be assessed on the basis of the best available information. A list of endangered and threatened species in New Zealand is attached in Annex 3.

6.2.2. Timber species on either local and/or international endangered or threatened species lists (e.g. CITES Appendix 1, national lists) shall not be harvested.

6.2.3. Appropriate to the scale and intensity of management, conservation zones, protection areas or other protection measures shall be established based on technically sound requirements for the protection of rare, threatened and endangered species and their habitats.

6.2.4. Conservation zones should be demarcated on maps, and where feasible, on the ground.

6.2.5. Effective procedures shall be implemented during forest operations to protect conservation zones, identified species and their habitats

6.2.6. Hunting, fishing, trapping and NTFP collecting shall be controlled in the forest.

6.2.7. **Applicable to SLIMF FMEs only**: (note: indicators 6.2.1-6.2.5 does not apply) Where information exists on rare, threatened and endangered species and their habitat, the FME shall use this information to protect these resources.

6.2.8. Employees and contractors shall receive training in the identification of rare, threatened and endangered species.

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.**

6.3.1. The forest manager shall have site-specific data or published analyses of local forest ecosystems that provides information on the FMU with regards to:

- a) regeneration and succession;
- b) genetic, species and ecosystem diversity; and,
- c) natural cycles that affect productivity.

6.3.2. Forest management systems shall maintain, enhance or restore ecological functions and values of the FMU based on the data in 6.3.1. Management systems shall include:

- a) Silvicultural and other management practices which are appropriate for forest ecosystem function, structure, diversity and succession.
- b) Where appropriate, a program for the restoration of degraded sites.
- c) Natural regeneration, unless data shows that enrichment planting or artificial reforestation will enhance or restore genetic, species or ecosystem diversity.

6.3.3. Ecological and silviculture rationale behind management systems shall be well-documented, based on site-specific forest data or published analyses of local forest ecology (e.g. regeneration and succession) or silviculture.

6.3.4. Management prescriptions should maintain, enhance or restore forest composition (i.e. species, numbers and diversity) and structure.

6.3.5. Management is designed to ensure that the full complement of tree species regenerates successfully in the forest area over the duration of the rotation. Where artificial regeneration is planned, environmental impact has been assessed

6.3.6. Standing and fallen dead wood habitats should be retained, based on local best management practice or documented research.

6.3.7. The forest manager shall ensure that regeneration of native forests and establishment of plantations is effective and timely.

6.3.8. The forest manager shall assess species composition and the density of the regeneration of native forests and the stocking rate of plantations and take remedial action where necessary to ensure effective regeneration and establishment.

6.3.9. Topsoil displacement from the planting area is not permitted.

6.3.10. Measures are taken to reduce or eliminate impacts on aquatic resources.

6.3.11. Weed and pest control plans are implemented to ensure ecological functions are maintained including ecosystem regeneration and succession and species diversity.

6.3.12. FME identifies damage agencies and protect forests from those that may affect ecosystem health.

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.

- 6.4.1. Representative samples of existing ecosystems shall be protected in their natural state, based on the identification of key biological areas and/or consultation with environmental stakeholders, local government and scientific authorities (a 10% target figure is encouraged but not mandatory).
- 6.4.2. In conjunction with experts, restoration and protection activities shall be defined, documented, and implemented in the forest.
- 6.4.3. The network of reserve areas within the management unit are mapped and recorded on management plans.
- 6.4.4. Reserve areas are monitored to ensure they are viable and management changes implemented if necessary to ensure viability.
- 6.4.5. Road building, tracking, recreation, hunting, trapping or fishing are controlled and conducted in such a way as to be fully compatible with the management of protected areas.
- 6.4.6. Road building and tracking shall be prohibited in the reserve area network, except where these activities are part of a documented habitat restoration plan designed to meet the objectives of the reserve area and/or where it can be demonstrated that this is the best solution to an access issue taking into account first and foremost environmental considerations, but also health and safety and economic concerns.
- 6.4.7. **Applicable to SLIMF FMEs only:** (note: above indicators do not apply). Where representative samples of ecosystems are known to exist in the FMU these shall be protected.

6.5. Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.

- 6.5.1. All forest operations with the potential for negative environmental impact (as identified in 6.1) shall have written guidelines defining acceptable practices which are available to forest managers and supervisors. Such operational guidelines shall meet or exceed national or regional best management practices.
- 6.5.2. Maps and/or work plans shall be produced at a scale that allows effective supervision of soil and water resource management and protection activities.
- 6.5.3. Topographic maps have been prepared before logging or road construction occurs.
- 6.5.4. Topographic maps should specify areas suitable for all-weather harvesting or dry-weather only; and indicate locations for extraction (or haul) roads, loading ramps (or log yards), main skid (or snig) trails, drainage structures, buffer zones, and conservation areas.
- 6.5.5. Training shall be given to FME staff and contractors to meet guidance requirements.
- 6.5.6. Areas are systematically assessed for erosion hazard prior to work commencing.
- 6.5.7. Operational procedures for minimizing soil transport from disturbed areas, maintaining riparian zones and buffer strips, and design, construction and maintenance of roads and roadway crossings of waterways are in place
- 6.5.8. The forest manager shall manage forest operations to minimise adverse changes to water quality (physical, chemical or biological) with the objective of (AZ 6.6.2):
 - a) minimising transport of soil from disturbed areas into waterways;
 - b) maintaining riparian zones and protective buffer strips; and,
 - c) designing, constructing and maintaining temporary and permanent roads and roadway crossings of waterways to recognised standards intended to minimize degradation of water quality.
- 6.5.9. The forest manager shall manage forest operations to ensure hydrological flows are in accordance with authorised regional catchment goals, where they exist. Where regional

catchment goals do not exist, the forest manager shall minimise adverse environmental impacts of changes in hydrological flows by ensuring that (AZ 4.6.3):

- a) both long term and short term disturbances to hydrological flows relative to the existing situation are taken into account; and,
- b) the environmental impacts of both increased and reduced hydrological flows are taken into account.

6.5.10. The forest manager shall manage forest operations to protect and maintain soil physical, chemical and biological properties and improve those properties where appropriate and reasonably practicable. The forest manager shall (AZ 4.6.4):

- a) minimise the extent of land within forest harvesting areas occupied by zones of major soil disturbance;
- b) ensuring that rutting does not exceed that specified in relevant codes and equivalent instruments or operational guidelines;
- c) promptly rehabilitate extraction tracks, temporary roads and product storage areas; and,
- d) minimise any nutrient loss.

6.5.11. Road construction, maintenance and closure standards shall be followed in the forest.

6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.

6.6.1. Forest managers shall employ silvicultural systems, integrated pest management and vegetation control strategies that result in the least adverse environmental impact.

6.6.2. FMS shall ensure that pesticides are used only when non-chemical management practices have been proven ineffective or cost prohibitive.

6.6.3. If chemicals are used, the following requirements apply:

- a) A complete inventory of chemicals shall be provided by the FME and detailed inspections of storage areas or other facilities validate that inventory is complete and accurate;
- b) Records shall be kept of all chemical used by the FME including name of the product, location and method of application, total quantity of chemical used and dates of application.
- c) Safe handling, application (using proper equipment) and storage procedures shall be followed; and,
- d) Staff and contractors shall receive training in handling, application and storage procedures.

- e) They are used as part of an integrated pest management (IPM) system that carefully identifies threats, analyzes chemical and non-chemical alternatives, and selects the most effective, least toxic approach.
- f) There is compliance with local authority, and other regulatory authority requirements in relation to application.

6.6.4. Chemicals prohibited by the FSC (FSC-POL-30-601) or those banned in Europe, U.S. and target country, or World Health Organization Type 1A or 1B and chlorinated hydrocarbon pesticides shall not be used. The exception is when a formal derogation has been granted by the FSC. In such cases, the FME follows the terms of the approved derogation.

6.6.5. Documentation to demonstrate commitment and/or participating in research to investigate means to avoid and reduce the volume and/or adverse effect of agrichemical usage is evidence of compliance with (NZ V7.1.1).

6.6.6. Preventative and corrective procedures are in place to prevent chemicals from spills and overspray from entering waterways and to minimise their spread from spills and overspray.

6.6.7. Transport, storage, transfer and disposal of fuels, lubricants and chemicals is undertaken in such a way that the risk of pollution and contamination is minimized.

6.6.8. Remedial action and emergency response plans have been developed and implemented where necessary and such measures are routinely tested.

Note: See 6.7 below for chemical and other types of waste disposal.

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.

- 6.7.1. Chemical, container, liquid and solid waste is disposed of in an environmentally sound and legal manner, whether from forest operations or processing facilities.
- 6.7.2. FME disposes of waste fuels, lubricants and chemicals in the prescribed manner outside the forest operational area and preferably off the forest itself.
- 6.7.3. Agrochemical containers are either re-used, recycled or triple rinsed prior to disposal at an approved facility, and where re-use or recycling is not occurring, the reasons are explained.
- 6.7.4. Employees and contractors are obligated to recover, recycle and/or dispose of used hydrocarbons in an environmentally sound and legal manner.
- 6.7.5. There are emergency procedures for clean up following agrichemical spillages (NZ V 7.2.3).
- 6.7.6. Documentary evidence of contractual obligations and/or procedures for the training of staff in agrichemical spill response is available. The contractual obligation or procedure will detail (NZ V 7.2.4):
 - a) Agrichemical storage, sited so that recovery is facilitated in the event of a spill.
 - b) The materials and equipment required on-site in the event of a spill.
 - c) The procedures for containment and recovery of spilled agrichemicals.
 - d) Processes to ensure safe storage, transport and eventual recycling/disposal of recovered agrichemical.
 - e) The names of those requiring notification in the event of a spill and means by which they may be contacted.

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.

- 6.8.1. Use of biological control agents is documented, minimized, monitored and strictly controlled.
- 6.8.2. Use of genetically modified organisms (GMOs) is prohibited.

6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.

- 6.9.1. Use of exotic species is discouraged and carefully controlled, i.e. when used it is for well-justified and specific purposes (e.g. environmental benefit) and monitored for environmental impact.
- 6.9.2. Where exotic species are planted, measures are developed and implemented to prevent spontaneous regeneration outside plantation areas, unusual mortality, disease, insect outbreaks or other adverse environmental impacts.
- 6.9.3. Planting and replanting occur only where the risks of wilding tree spread can be safely managed from an ecological perspective.

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.

- 6.10.1. FME shall not convert forests, or threatened non-forested habitat to plantations or non-forest land uses, except where the conversion meets the conditions of 6.10.2 – 6.10.5. The following categories of land shall not be converted in New Zealand:
- a) Any primary, mature or late secondary forest;
 - b) Any natural indigenous forest vegetation exceeding 1 hectare with an average canopy of at least 6 meters and that is practical to protect;
 - c) Any area which has been recommended for protection in a survey report in the Protected Natural Areas Program or classified as a Special Wildlife Interest (SSWI) in a published report of the former Wildlife Service;
 - d) Significant Natural Areas as defined in an operative District Plan under the RMA;
 - e) Indigenous habitat of rare, threatened or endangered species;
 - f) Geo-preservation sites as listed in the Geo-preservation inventory;
 - g) Ecologically important and unique areas such as wetlands (as defined in the RMA);
 - h) Riparian margins of 20 meters either side of waterways more than 3 meters wide; and,
 - i) Natural dune-land ecosystems; and,
 - j) Geothermal areas.
- 6.10.2. If conversion occurs, it shall not exceed 5% of the forest management unit over any 5 year period (see FSC-ADV-30-602)
- 6.10.3. The extent of any conversion should be acceptable to environmental organizations and regulatory agencies.
- 6.10.4. Plantations may be established in the following forest areas, but only in accordance with resource consents and District or Regional Plans under the RMA, after stakeholder consultation and in accordance with policies approved by the FSC (in coordination with the FSC NZ National Initiative):
- a) High country pastoral (as defined in the Pastoral Land Act) leases that have not undergone tenure review;
 - b) Prominent headlands, cliffs and ridges within 1 kilometer of the coast; and,
 - c) Coast scrub and coast herb fields with indigenous vegetation content by area of greater than 30%.
- 6.10.5. If conversion occurs, the forest manager shall demonstrate that any conversion produces long term conservation benefits across the FMU.
- 6.10.6. If the conversion occurs, plantations or non-forest uses shall not replace high conservation value forest.

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.

7.1. The management plan and supporting documents shall provide:

- a) **Management objectives;**
- b) **Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic 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) **Description and justification for use of different harvesting techniques and equipment;**
- e) **Description and justification of forest management prescriptions and their silvicultural and ecological rationale i.e. based on site specific forest data or published analysis of local forest ecology or silviculture;**
- f) **Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification;**
- g) **Measures for identifying and protecting rare, threatened and endangered species and/or their habitat;**

- h) **Map(s) describing the forest resource including forest types, watercourses and drains, compartments/blocks, roads, log landings and processing sites, protected areas, unique biological or cultural resources, and other planned management activities;**
- i) **Environmental safeguards based on environmental assessments (see criterion 6.1); and,**
- j) **Plans for monitoring of forest growth, regeneration and dynamics.**

7.1.1. Management plan, or appendices to plan, includes presentation of the following components:

- a) Management objectives;
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic 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) Description and justification for use of different harvesting techniques and equipment;
- e) Description and justification of forest management prescriptions and their silvicultural and ecological rationale i.e. based on site specific forest data or published analysis of local forest ecology or silviculture;
- f) Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification;
- g) Measures for identifying and protecting rare, threatened and endangered species and/or their habitat;
- h) Map(s) describing the forest resource including forest types, watercourses and drains, compartments/blocks, roads, log landings and processing sites, protected areas, unique biological or cultural resources, and other planned management activities;
- i) Environmental safeguards based on environmental assessments (see criterion 6.1); and,
- j) Plans for monitoring of forest growth, regeneration and dynamics.

7.1.2. NTFP resources and uses should be inventoried and their management explicitly considered during planning.

7.1.3. Maps that are presented shall be accurate and sufficient to guide forest activities (also see Criterion 6.5).

7.1.4. Management plans or related annual operating or harvesting plan shall be available to staff and used in the forest.

7.1.5. **Applicable to SLIMF FMEs only:** (note: above indicators do not apply) A written management plan exists that includes at least the following:

- a) The objectives of management;
- b) A description of the forest;
- c) How the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability;
- d) Sustainable harvest limits (which must be consistent with FSC criteria 5.6);
- e) Environmental/ social impacts of the plan;
- f) Conservation of rare species and any high conservation values;
- g) Maps of the forest, showing protected areas, planned management and land ownership; and,
- h) Duration of the plan.

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.

7.2.1. A technically sound and financially realistic timeframe exists for revision/adjustment of the management plan.

7.2.2. Management plan (and/or annual operating plan) revision or adjustments shall occur on timely and consistent basis.

7.2.3. Management plan revisions incorporate changing silvicultural, environmental, social and economic conditions.

7.2.4. **Applicable for SLIMF FME-s only** (Note: above indicators do not apply) Management plan shall be reviewed at least every 5 years and updated, if necessary, incorporating the results of monitoring to plan and implement future management.

7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

7.3.1. Evidence of formal or informal training of forest workers to ensure proper implementation of the management plan shall exist in the forest. **Applicable to all FMEs including SLIMFs.**

7.3.2. For large FMEs, a formal training plan for staff and forest workers related to the management plan and its implementation should be documented.

7.3.3. Staff members with responsibility for training are identified.

7.3.4. There are procedures for assessing the effectiveness of the training.

7.3.5. All activities are supervised and monitored sufficiently to ensure that standards and procedures are adequately implemented.

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.

7.4.1. FME shall make publicly available a summary of the management plan including information on elements listed in criterion 7.1.

7.4.2. **Applicable for SLIMF FME-s only** (Note: above indicators do not apply): Upon request FME shall make available relevant parts of the management plan to stakeholders who are directly affected by the forest management activities of FME (e.g. neighboring landowners).

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.

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.

8.1.1. A plan and design, based on consistent and replicable procedures, shall exist for periodic monitoring and reporting.

8.1.2. 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.

8.1.3. The forest owner maintains a Monitoring Plan that describes (NZ V 8.6.1):

- a) Elements to be monitored
- b) Monitoring indicator(s) for each element
- c) Rationale for the selection of each element and monitoring indicator(s)
- d) Relevant baseline information
- e) Persons responsible for implementing and maintaining monitoring programs are identified
- f) The date of monitoring plan review
- g) The clear link between the Monitoring Plan and the Management Plan

8.1.4. There is documentation that the Monitoring Plan is being implemented (NZ V 8.6.2)

8.1.5. Persons responsible for implementing and maintaining monitoring programs are identified.

8.1.6. The FME periodically reviews and evaluates monitoring and feedback mechanisms, including the adequacy of monitoring activities.

8.1.7. Monitoring reports provide sufficient timely, accurate and technically sound information, given the size and complexity of the operation.

8.1.8. Monitoring reports facilitate efficient and effective auditing and certification by third parties.

8.1.9. **Applicable to SLIMF FMEs only** (Note: above indicators do not apply): FME should conduct regular and consistent monitoring in connection with harvesting operations and reforestation.

8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:

- 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.**

8.2.1. The monitoring plan should be technically sound and identify/describe observed changes in conditions in terms of:

- a) Silviculture (growth rates, regeneration and forest condition, typically as part of a suitable continuous forest inventory system);
- b) Commercial harvest including NTFPs;
- c) Environment (environmental changes affecting flora, fauna, soil and water resources) (outbreak of pest, invasive species, nesting sites for endangered bird species);
- d) Socioeconomic aspects (forest management costs, yields of all products, and changes in community and worker relations or conditions, accident rates); and,
- e) Identified high conservation value forest attributes.

8.2.2. **Applicable to SLIMF FMEs only** (Note: above indicators do not apply): FME shall at a minimum monitor and record information on the following conditions in terms of:

- a) Amount of products harvested;
- b) Regular monitoring of any identified high conservation values;
- c) Invasive exotic species;
- d) Growth and regeneration of managed species;
- e) Post harvest inspection for erosion and estimate of residual basal area; and,
- f) Periodic inventory (10 years).

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."

8.3.1. Volume and source data of harvested forest products shall be available (i.e. scaled, inventoried, measured) in the forest, in transport, at intermediate storage yards (e.g. log yards), and processing centers controlled by FME (not applicable to SLIMFs).

8.3.2. Sales invoices and other documentation related to the sale of certified products shall include the chain of custody certificate code in the correct format (e.g. SW-FM/COC-XXXX).

8.3.3. Certified forest products shall be clearly distinguished from non-certified products through marks or labels, separate documented storage, and accompanying invoices up to the point of sale (i.e. up to the "forest gate").

8.3.4. **Applicable to SLIMF FMEs only** (indicators 8.3.1 and 8.3.3. do not apply): Documentation shall be available allowing products to be traced from the forest to the forest gate.

8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.

8.4.1. FME shall demonstrate that monitoring results are incorporated into revisions of the management plan.

8.4.2. There is field evidence to demonstrate that information from monitoring is used to improve management.

8.4.3. Monitoring is responsive when unusual events occur (e.g. spontaneous exotic species wildings, insect outbreaks, major soil erosion and precipitation events, other environmental risks).

8.4.4. Procedures are in place to respond to environmental emergencies (as per above, also note that chemical emergencies are covered in Criterion 6.7 and exotic wildings in Criterion 8.2)

8.4.5. The outcome of incidents and routine tests are considered in the development of procedures.

Note: for SLIMF see criterion 7.2.

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.

8.5.1. For **large** operations, results of monitoring shall be incorporated into summaries and other documents that are publicly available.

8.5.2. **Applicable for medium size and SLIMF FMEs only**: (Note: the above indicator does not apply). Upon request, FME shall make available relevant parts of the management plan to stakeholders who are directly affected by the forest management activities of FME (e.g. neighboring landowners).

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.

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.

9.1.1. **FMEs shall have conducted an assessment to identify HCVs.** Such an assessment should include:

- a) Consultation with conservation databases and maps;
- b) Consideration of primary or secondary data collected during forest inventories on the designated forest area by FME staff, consultants or advisors;
- c) Interviews with environmental/biological specialists indigenous/local communities, and scientific experts, etc;
- d) Documentation of threats to HCVs; and,
- e) If threats to HCVs or HCVF exist, identification of actions to address the threats.

9.1.2. For **large** operations, FME shall:

- a) Produce written HCVF assessment(s) that identify(ies) HCVs or HCVF and proposes strategies to ensure their protection; and,
- b) Conduct credible, independent, technically qualified review of the HCVF assessment and related recommendations to address HCV threats and protection; and,
- c) Demonstrate that credible actions are being taken to address HCV/HCVF protection and/or threat reduction.

9.1.3. **Applicable to SLIMF FMEs only:** Consultations shall have occurred with environmental stakeholders, government or scientists to identify HCVs and/or HCVF. If HCVs or HCVF are present, FME shall take all reasonable steps to protect these values and/or reduce threats. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.

9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.

9.2.1. FME consultations with stakeholders shall clearly outline identified conservation attributes as well as proposed strategies for their maintenance or threat reduction. .

9.2.2. For **large** operations, the stakeholder consultation for HCVF strategy development, and actions taken in response to such consultation, shall be documented.

9.2.3. Stakeholder consultations indicate that FME consistently considers and protects HCVF values

9.2.4. The process for identification shall include the review of relevant regional biological diversity studies and consultation with public land managers or other relevant organisations or competent personnel

9.2.5. For **small and medium sized operations**, see Criterion 9.1.

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.

9.3.1. If HCVF or HCVs are present, planning documents shall provide site-specific information which describes the measures taken to protect or restore such values.

9.3.2. Measures to protect HCVF values shall be available in public documents or in the FME management plan summary.

9.3.3. Regular, periodic documentation is available on HCVF values that can be used in public summary documents

9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.

9.4.1. A system for continuous monitoring of HC VF values protection shall be incorporated into the FME's planning, monitoring and reporting procedures.

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.

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.

- 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.
- 10.1.2. Management objectives for conservation of natural forest and restoration shall be described in the management plan.
- 10.1.3. Management objectives, specifically those related to natural forest conservation and restoration shall be demonstrated in forest management activities.
- 10.1.4. Field implementation demonstrates a timely and effective implementation of the objectives.
- 10.1.5. Plantation management objectives, including explicit measures under Criteria 6.2, 6.3, 6.4, 6.9, 6.10, 10.2 and 10.5 intended to maintain and retain indigenous biodiversity, are identified in the management plan and implemented in a timely manner.
- 10.1.6. The management plan shall identify the boundaries of the area encompassed by the certificate, which includes the plantation forest plus any designated reserve areas.

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.

- 10.2.1. FMEs should demonstrate through action their commitment to protect, restore and conserve key areas of natural forest within the ownership.
- 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.
- 10.2.3. FME shall establish wildlife habitat and corridors, suitably located across plantation areas, in consultation with acknowledged experts.
- 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).
- 10.2.5. No commercial planting is undertaken within 5 meters of water bodies, or as stipulated in the relevant forestry industry code of practice, that have permanent water when forested, except where management practices are adopted which ensure the aquatic habitat – including temperature, sediment and nutrient conditions – is maintained. The decision support system for this is documented in the management plan. Nothing precludes the harvesting of plantation trees in the riparian zone that were planted prior to the adoption of these standards, except where stipulated by regulation (NZ 6.2.1).
- 10.2.6. There is a system in place to document planting boundaries and evidence that the

system is being implemented (NZ V6.2.2).

10.2.7. Pest and weed control is undertaken in riparian zones in accordance with sec 6.4 and 10.5.

10.2.8. The need for wildlife corridors shall be assessed and managed appropriate to rare, threatened and endangered species present within the ecological landscape.

10.2.9. Harvest regimes (cut block size, patterns and harvest timing) focus on reducing ecological disturbance and fragmentation and foster diversity in vegetative structure and composition and wildlife habitat

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.

10.3.1. Plantation management should maintain and/or enhance landscape diversity by varying block size and configuration, species, genetic diversity, age class and structure.

10.3.2. Emphasis should be placed on planting and/or applied research on forest species native to the region.

10.3.3. Plantation management should be sensitive to visual quality impacts such as:

- a) roadside harvests on state highways or tourist highways;
- b) significant natural areas and vantage points;
- c) backdrops to urban areas; and,
- d) Mana Whenua perceptions of visual landscape.

10.3.4. Economic, ecological and social stability is achieved by one or more of the following:

- Maintaining production and reserve areas within the total forest estate as specified in 10.1.1.
- Choosing a species mix which caters well to local conditions; enables the certificate holder to respond rapidly to changing market requirements; or, supplies a diversity of markets.
- Using a diversity of genotypes.
- Having a mix of age classes and/or rotation lengths.
- Using a variety of silvicultural regimes.
- Demonstrating an understanding of future market trends.
- Taking into account local markets/processors.

Note: See also Criteria 6.4 and 6.10.

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.

10.4.1. Plantation species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives.

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.

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.

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.

10.4.5. Exotic species shall be monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.

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.

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 (also see Criterion 6.4.).

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.

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.

10.6.1. Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.

10.6.2. Plantation design and management shall not result in soil degradation.

10.6.3. Forest operations shall not degrade water quality or negatively impact local hydrology.

10.6.4. Where negative impacts on soil or water resources are identified, FME shall take steps to reduce or eliminate such impacts.

10.6.5. Explicit measures are taken to regularly assess tree productivity and soils (in terms of structure, fertility and biological activity).

10.6.6. Monitoring the growth of the crop trees should routinely monitor plantations for reductions in productivity, and any reductions investigated to determine if they relate to changes in soil quality.

10.6.7. Where possible, water quality monitoring is implemented, either alone or in collaboration with other agencies, to monitor on- and off-site impacts of FME operations.

10.6.8. Soil erosion control is implemented, including no tractor plowing on areas over 5% slope, planting or site preparation measures are done on the contour, and specifications on riparian buffer zones are strictly followed.

10.6.9. No road fill or waste material (e.g. rocks, brush) from site preparation or other activities are in stream courses.

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.

10.7.1. Measures shall be taken in the forest to prevent outbreaks of pests, disease, fire and invasive plant introductions

- 10.7.2. A plan should exist for forest fire prevention and control.
- 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.
- 10.7.4. FME shall have a policy and strategy to minimize use of chemical pesticides and fertilizers.
- 10.7.5. Fire management and protection plans are in place. FMEs have the following:
 - a) Employee and contractor responsibilities are clear through contracts, training and orientation
 - b) Key contact details are available at the field level
 - c) Emergency procedures and maps are produced (plans for access routes, firebreaks, dams, ponds and other water supplies, helipads and priority buildings/areas for protection) and equipment in place
- 10.7.6. An integrated pest management plan is in place. This strategy shall identify:
 - a) the range and number of pests
 - b) population dynamics – when is it best to intervene, what is a sustainable pest population;
 - c) compliance with the regional pest management strategy; and,
 - d) methods of intervention
- 10.7.7. Pest control methods comply with the regional pest management strategy and/or have minimal and environmentally acceptable impacts on non-target species.

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.

- 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).
- 10.8.2. A program shall be provided of internal monitoring of environmental performance of forest management practices appropriate to the scale of the operation. These may include:
 - a) Supervision during harvesting and other operations
 - b) Post harvest site checks or internal audits
 - c) Long term studies assessing the impact of activities
 - d) Independent scientific research
- 10.8.3. Monitoring incorporates the unique ecological and social impacts of plantation activities, where significant (according to assessor judgment and based on science, field experience and stakeholder observations)
- 10.8.4. **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.
- 10.8.5. The purchase of lands or land leases for plantation establishment should not adversely impact the community and/or resource use by local people.

Note: For exotic or invasive species issues, see Criterion 10.4.

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.

- 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.
- 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.
- 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.

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

- Biosecurity Act 1993
- Conservation Act 1987
- Crown Forests Asset Act 1989
- Electricity Act 1992 and relevant regulations
- Employment Relations Act 2000
- Historic Places Act 1993
- Fencing Act 1978
- Forest and Rural Fires Act 1977
- Hazardous Substances and New Organisms Act 1996
- Health & Safety in Employment Act 1992
- Holidays Act 1991
- Minimum Wages Act 1985
- Resource Management Act 1991
- Rural Fire District Regulations 1980
- Soil Conservation and Rivers Control Act 1941
- Te Ture Whenua Maori Act 1993
- The Forests Act 1949
- Treaty of Waitangi Act 1975
- Trespass Act 1980
- Wages Protection Act 1983
- Wild Animal Control Act 1977
- Wildlife Act 1953
- Workplace Relations Act 2000

See also: www.legislation.govt.nz

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

- **CITES Convention**
 - CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora) is an international agreement between Governments. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten their survival.
- **Basel Convention**
 - Convention on the control of transboundary movements of hazardous wastes and their disposal.
- **London Convention 1972**
 - Convention on the prevention of marine pollution by dumping of wastes and other matter.
- **MARPOL**
 - International convention for the prevention of pollution from ships.
- **Montréal Protocol on Substances that Deplete the Ozone Layer**
 - The Montréal Process is the Working Group on Criteria and Indicators for the Conservation and Sustainable Management of Temperate and Boreal Forests. It was formed in Geneva, Switzerland, in June 1994 to develop and implement internationally agreed criteria and indicators for the conservation and sustainable management of temperate and boreal forests.
- **United Nations Convention on the Law of the Sea**
 - Codifies customary international law of the sea.
- **United Nations Framework Convention on Climate Change**
 - A range of commitments aimed at stabilising greenhouse gas concentrations.
- **Vienna Convention for the Protection of the Ozone Layer**
 - Obliges parties to take appropriate measures to protect human health and the environment against adverse effects of modification of the ozone layer.

Annex 3: List of officially endangered species in New Zealand.

The New Zealand Threat Classification System developed by Molloy *et al.* (2002: companion volume) was used to list nominated New Zealand taxa according to threat of extinction. The lists of endangered species can be found on the following internet site.

<http://www.doc.govt.nz/templates/MultiPageDocumentTOC.aspx?id=39578>

Additional information can be found on the IUCN Red List homepage:

<http://www.iucnredlist.org/search/search-basic>

Annex 4: Glossary of terms³

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.

³ 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 fulfill 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 Rainforest Alliance Certification Assessment Process⁴

The certification assessment process begins with a candidate operation submitting an application to Rainforest Alliance. Based upon a review of the application, the scope of the area to be certified and discussions with the candidate, Rainforest Alliance 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 Rainforest Alliance task manager who will liaise with the assessment lead auditor and the candidate to schedule and perform the evaluations.

Rainforest Alliance auditors are provided with detailed guidance on the certification process, including pre-assessment briefings (either in person or by telephone) and access to a written Rainforest Alliance 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 Rainforest Alliance 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 Rainforest Alliance policy to involve local specialists in all assessments.
2. Team members must be familiar with Rainforest Alliance certification procedures. Each Rainforest Alliance certification assessment has a designated lead auditor who must have participated in a formal Rainforest Alliance auditor-training course or previously participated in other Rainforest Alliance forest management assessments or audits.
3. The assessment must use region-specific standards (i.e. accredited FSC standard or a “regionalized” Rainforest Alliance Interim Standard, based on this Rainforest Alliance Generic Standard).

Team Selection and Planning – Rainforest Alliance 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 45 days prior to forest evaluation, Rainforest Alliance notifies stakeholders of the pending assessment and requests stakeholders’ observations or comments with regard to the operations conformance 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.

⁴ For detailed information about procedures, contact our headquarters or regional offices through www.smartwood.org.

The assessment process then moves quickly to the field phase. Inspections are made to sites chosen by Rainforest Alliance auditors based on a comprehensive review of the candidate FME's forest holdings and management activities, discussions with interested/affected parties, and 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 nonconformance 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 a Nonconformity Report (NCR) which is classified as follows:

- **Major Nonconformity Report (NCR)** is issued to document a major nonconformance with an indicator(s)/criterion that the candidate FME must correct before Rainforest Alliance certification is granted;
- **Nonconformity Report (NCR)** is issued to document a minor nonconformance that candidate FME must correct 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 (major nonconformances), NCRs or observations.

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

Certification Decision – Once the above steps are completed, the applicable Rainforest Alliance regional office 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.