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Contact person:	Olesya Kaspruk
Contact email:	ok@nepcon.net

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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 Ukraine 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 Ukraine (all forests types and geographic areas). The current interim standards have been specifically adapted by Rainforest Alliance to apply to Ukraine 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 NEPCo in Denmark, Scandinavia, Russia and Eastern Europe), Center for International Forestry Research (CIFOR), International Labour 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 have also used other sources as basis for and inspiration for developing the indicators and verifiers of the Interim Standard. Among the documents that have been reviewed and considered in developing this Interim Standard are:

- FSC-STD-01-001 (version 4-0) FSC Principles and Criteria for Forest Stewardship
- FSC-STD-20-003 (version 2-1) Local adaptation of certification body generic Forest Stewardship Standards.
- FSC-STD-20-002 (version 2-1) Structure and Content of Forest Stewardship Standards
- FSC-POL-30-401 FSC certification and ILO conventions.
- FSC-STD-01-003 SLIMF Eligibility Criteria
- Rainforest Alliance Generic Standards for Assessing Forest Management", Rainforest Alliance, March 2012
- Rainforest Alliance Global Non Timber Forest Product Certification Addendum, Rainforest Alliance 2012

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 criteria ¹ 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.

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 SmartWood standard for each assessment is also publicly available before and during the assessment and is a part of the public record for every forest certification. The public certification summary is produced as a final step of the certification process and is available only after an operation has been approved for certification. For public certification summaries visit the FSC certified organization website at <http://info.fsc.org/>, or contact Rainforest Alliance (Tel.

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.

+38 0503703104, e-mail : ok@nepcon.net). **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 Ukraine.

B Standard effective date

This standard shall be effective from 1 March 2013

C References

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

D Terms and definitions

See annex A for glossary.

Acronyms:

FME: Forest management enterprise

FSC: Forest Stewardship Council

HCVF: High conservation value forests

RA: Rainforest Alliance

SLIMF: Small and Low Intensity Managed Forests

Rainforest Alliance Interim Standard for Assessing Forest Management in Ukraine.

PRINCIPLE 1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES

Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.

Criteria	Indicators	Verifiers
1.1. Forest management shall respect all national and local laws and administrative requirements.	1.1.1. The FMO shall be established and registered in compliance with applicable laws.	1.1.1.1. Constituent documents, 1.1.1.2. Interview with enterprise managers
	1.1.2. FMO should meet national, state/provincial and local environmental, labor and forestry laws.	1.1.2.1. Statements from authorities (including the act of comprehensive state/public inspection), records of environmental, forest, water violations, imposed on forest managers, accounts, reports 1.1.2.2. Interview with authorities, workers, subcontractors, and local communities 1.1.2.3. Field inspection
	1.1.3. In case non-compliances with legislation are identified, corrective actions shall be implemented.	1.1.3.1. Review of documents 1.1.3.2. Interviews with staff
	1.1.4. Responsible staff shall be aware of relevant requirements of legislation and their responsibilities.	1.1.4.1 Interview with staff
	1.1.5. FMO shall make copies of relevant legislation available in head office and accessible to the staff. Copies may be available either on paper or as electronic versions.	1.1.5.1. Copies of all relevant laws 1.1.5.2. Interview with staff
1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.	1.2.1. FMO shall be aware of applicable fees, royalties and taxes 1.2.2. FMO shall present evidence that applicable fees and other financial charges are paid in time.	1.2.1.1. List of fees, royalties,taxes 1.2.1.2. Interview with accountant 1.2.1.3. Latest tax inspection report 1.2.1.4. Review of accounting documents 1.2.1.5. Review of tax declarations 1.2.2.1. List of fees, royalties,taxes 1.2.2.2. Interview with accountant 1.2.2.3. Latest tax inspection report 1.2.2.4. Review of accounting documents 1.2.2.5. Review of tax declarations
1.3. In signatory countries, the provisions of all	1.3.1. FMO shall be aware of applicable international	1.3.1.1. Interview with staff

<p>binding international agreements, such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.</p> <p><i>Note: Compliance with this standard will ensure compliance with relevant requirements of international binding agreements.</i></p>	conventions.	
	1.3.2. No workers under the age of 15 shall be employed in the forest unless for training or educational purposes.	1.3.2.1. Staff register
	1.3.3. No workers are under the age of 18 shall be employed for operations when it is likely to jeopardize health, and safety.	1.3.3.1 Staff register
<p>1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.</p>	1.4.1. Perceived conflicts between laws and present standard shall be recorded by the FMO.	1.4.1.1. Interview with staff and national FSC representative / FSC working group 1.4.1.2. Review of documents
	1.4.2. Any conflicts identified shall be resolved through consultation between the FSC certifier, and FMO, on case by case bases.	1.4.2.1. Correspondence, documents, protocols 1.4.2.2. Interview with FSC representative / FSC working group, FMO staff and other stakeholders
<p>1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p>	1.5.1. A system to monitor and protect forest management areas from illegal harvesting, settlement and other unauthorized activities shall be implemented.	1.5.1.1. Interview with staff and stakeholders 1.5.1.2. Field inspection
	1.5.2. A monitoring system with formal periodic inspections shall be documented and implemented.	1.5.2.1. Monitoring documents 1.5.2.2. Interviews with staff
	1.5.3. FMO shall take legal measures to prevent illegal usage of the forest area or natural resource.	1.5.3.1. Review of documents 1.5.3.2. Interview with staff
	1.5.4. Illegal usage shall be registered and reported to the responsible authorities.	1.5.4.1. Review of written communication 1.5.4.2. Interview with staff 1.5.4.3 Interview with supervisory organizations
<p>1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</p>	1.6.1. FMO shall publicly make commitment to adhere to the FSC Principles and Criteria.	1.6.1.1. Review of documents
	1.6.2. FMO shall not violate FSC requirements for controlled wood (FSC-STD-30-010) in non-certified areas managed by the FMO (if applicable).	1.6.2.1. Review of documents 1.6.2.2 Interview with staff
	1.6.3. FMO shall not run activities confronting to FSC Principles and Criteria in non-certified areas managed by the FMO .	1.6.3.1. Review of documents 1.6.3.2 Interview with staff

	1.6.4. FMO 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.	1.6.4.1. Review of documents 1.6.4.2 Interview with staff
PRINCIPLE 2: TENURE AND USE RIGHTS AND RESPONSIBILITIES		
<i>Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</i>		
Criteria	Indicators	Verifiers
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. FMO shall have valid documents confirming forest use rights.	2.1.1.1. State Acts for Leskhozoes
	2.1.2. The boundaries of the forest area shall be marked both in maps and on the principal access roads to the forest.	2.1.2.1. Maps 2.1.2.2. Field inspection
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. Local communities' legal or customary use rights (both timber and non-timber) shall be identified.	2.2.1.1. Interview with FMO staff and local communities 2.2.1.2. Written communication between FMO and local communities, minutes of public meetings
	2.2.2. Local communities' legal or customary use rights (both timber and non-timber) shall be respected in forest management planning and during forest operations.	2.2.2.1. Written evidence of consultation of enterprise managers with local communities 2.2.2.2. Interview with local communities
	2.2.3.FMO shall guarantee local population access to forest with aim to harvest and collect for their own needs such non-wood forest products as berries and mushrooms.	2.2.3.1. Written evidence of consultation of enterprise managers with local communities 2.2.3.2. Interview with local communities
	2.2.4. The organization shall not restrict legal rights of local population, except for the cases when it agreed with local population.	2.2.4.1. Written evidence of consultation of enterprise managers with local communities 2.2.4.2. Interview with local communities
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	2.3.1. Effort shall be made to resolve conflicts over tenure claims through consultation aiming at achieving agreement or consent.	2.3.3.1. Interviews with staff 2.3.3.2. Interviews with stakeholders
	2.3.2. Records shall be maintained of disputes over tenure and use rights.	2.3.2.1. Review of documents
	2.3.3. There should be no outstanding conflicts related to	2.3.3.1. Interviews with staff

normally disqualify an operation from being certified.	tenure and land use rights.	2.3.3.2. Interviews with stakeholders
PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS		
<i>The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.</i>		
Criteria	Indicators	Verifiers
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.	<i>Criteria considered not applicable in Ukraine</i>	
3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.	<i>Criteria considered not applicable in Ukraine</i>	
3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in co-operation with such peoples, and recognized and protected by forest managers.	<i>Criteria considered not applicable in Ukraine</i>	
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.	<i>Criteria considered not applicable in Ukraine</i>	
PRINCIPLE 4: COMMUNITY RELATIONS AND WORKER'S RIGHTS		
<i>Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</i>		
Criteria	Indicators	Verifiers
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 shall be given preference in employment, training and other services.	4.1.1.1. List of staff records with place of birth and home address. 4.1.1.2. Interview with local communities 4.1.1.3. Interview with workers
	4.1.2. FMO shall help to maintain the infrastructure and social facilities of villages located within its forest area and provide firewood and other services to local communities.	4.1.2.1. Interview with local administration and communities 4.1.2.2. Documents confirming assistance to local communities
4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and	4.2.1. Employees, including contractors shall be aware of and implement safe working practices rules.	4.2.1.1. List of labor laws and safety regulations

safety of employees and their families.		<p>4.2.1.2. Records of safety instructions</p> <p>4.2.1.3. Interview with workers</p> <p>4.2.1.4. Interview with FMO's labor safety specialist</p> <p>4.2.1.5. Interview with supervisory authority on work safety</p>
	4.2.2. FMO shall have in place a system for the prevention of work accidents.	<p>4.2.2.1. Review of documents</p> <p>4.2.2.2. Certification of working places</p> <p>4.2.2.3. Statistics of industrial injuries</p> <p>4.2.2.4. Discussion with workers</p> <p>4.2.2.5. Discussion with trade union representatives</p> <p>4.2.2.6. Field inspection</p> <p>4.2.2.7. Documents about labor safety training</p> <p>4.2.2.8. Discussion with labor safety engineer</p> <p>4.2.2.9. Collective agreement</p>
	4.2.3. FMO shall have national certificates confirming that working places comply with national work safety requirements.	4.2.3.1. Review of work places certificates
	4.2.4. FMO shall identify safety equipment requirements and provide the equipment for all workers operating hazardous machinery/tools and/or working in hazardous conditions.	<p>4.2.4.1. Interview with FMO's work safety specialist</p> <p>4.2.4.2. Interview with supervisory authorities.</p> <p>4.2.4.3. Field inspection</p>
	<p>4.2.5. Forest logging company, contractors and own employers who works as chain saw operators shall be provided with and use health and safety equipment including:</p> <p>a) helmet with eye and ear protection,</p> <p>b) high visibility vest/jacket,</p> <p>c) safety boots,</p> <p>d) cut-proof trousers and</p> <p>e) first aid kit.</p>	<p>4.2.5.1. FMO's internal norms of individual safety equipment allowance</p> <p>4.2.5.2. Records of individual safety equipment provision</p> <p>4.2.5.3. Interview with forest workers</p> <p>4.2.5.4. Field inspection</p>
	4.2.6. Written procedures should be prepared for forest workers for emergency situations such as work accidents, fire	4.2.6.1. Inspection of procedures and training records-

	or oil spill.	4.2.6.2. Interview with staff 4.2.6.3. Field inspection.
	4.2.7. Warning signs shall be posted at access roads to sites with ongoing logging, skidding and haulage operations.	4.2.7.1. Field inspection
	4.2.8. In case the employees have to stay overnight in the forest they shall be provided with sleeping facilities, supply of food and clean water, toilet facilities etc.	4.2.8.1. Field inspection
	4.2.9 Forest machinery shall be equipped with fire extinguishers.	4.2.9.1. Field inspection
	4.2.10. Organization shall have Register of injuries records and documented measures to minimize the cases of injuries.	4.2.10.1. Register of injuries 4.2.10.2 Interview with staff
	4.2.11. Indicators under criterion 4.2 are also applicable for workers family members in case they are present at the operational sites.	
	4.2.12. All work conducted in areas of radioactive contamination is performed involving obligatory radiation control according to the scheme of radiation control in forests and at forestry units.	4.2.12. 1. Forest management plan 4.2.12.2. Maps of radioactive contamination areas 4.2.12.3. Plans of forest management activities (forest planting, forest protection etc.) 4.2.12.4. Forest tickets 4.2.12.5. Radioactive contamination control reports
	4.2.13. Results of radiation measurements for a site have been added to the technological map (with the density of the soils contamination being up to 15 Cu/km ²) and sanitary passport (with the density of the soils contamination exceeding 15 Cu/km ²) prior to the commencement of work.	4.2.13. 1. Technological map
	4.2.14. All of those allowed to work on a permanent or temporary basis in an area contaminated with radioactive nuclides have been trained a course on the rules of work safety and respective instructions, being currently in effect and their knowledge have been verified accordingly.	4.2.14.1 Inspection of procedures and training records-

4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO).	4.3.1. Workers of FMO shall be free to form and join a trade union of their choice without fear of intimidation or reprisal.	4.3.1.1 Interview with workers 4.3.1.2. Interview with trade union representative
	4.3.2. FMO shall not use forced labor.	4.3.2.1. Interview with FMO staff 4.3.2.2. Interview with trade union representatives
	4.3.3. Equal pay and benefits shall be provided for men and women for work of equal value.	4.3.3.1. Interview with enterprise managers 4.3.3.2. Interview with trade union representatives 4.3.3.3. Interview with workers
	4.3.4. Collective bargaining with trade unions shall be carried out in good faith and with best efforts to come to an agreement.	4.3.4.1. Interview with workers and trade union representative
	4.3.5. The minimum age for workers shall not be less than 14 years.	4.3.5.1. Interview with personnel manager 4.3.5.2. Interview with workers 4.3.5.3. Review of employment records
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. FMO shall have a system for enabling participation by local communities and stakeholders in the management planning process.	4.4.1.1. Review of documented evidence of the agreement on the management plan with the local administration and members of the community (e.g. minutes of meetings) 4.4.1.2. Review of mass media materials 4.4.1.3. Interview with local administration representatives and local communities
	4.4.2. Areas of special economic, ecological, cultural or spiritual value for local communities shall be mapped and management takes considerations to these values.	4.4.2.1. Review of maps 4.4.2.2. Interview with staff
	4.4.3. FMO shall maintain consultations with local communities and affected groups to evaluate the social impact of forest management operations.	4.4.3.1. Review of correspondence with stakeholders 4.4.3.2. List of all stakeholders 4.4.3.3. Discussion with enterprise managers
	4.4.4. An enterprise shall prepare and maintain up to date list of stakeholders.	4.4.4.1 Stakeholders list
4.5. Appropriate mechanisms shall be employed for	4.5.1. FMO shall respect the legal rights of local communities	4.5.1.1. Interview with staff

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.	to access the forest and collect non-timber forest products.	4.5.1.2. Interview with local communities
	4.5.2 FMO has established a complaints and suggestions journals	4.5.2.1. Review of the complaints and suggestions journals
	4.5.3. FMO shall take action to consider and resolve conflicts and compensate the damage of forest operations to local communities.	4.5.3.1. Relevant documents 4.5.3.2. Discussion with local communities 4.5.3.3. Discussion with enterprise managers
PRINCIPLE 5: BENEFITS FROM THE FOREST		
<i>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.</i>		
Criteria	Indicators	Verifiers
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. FMO should have a financial plan detailing funding for silvicultural operations, conservation, forest protection and regeneration measures.	5.1.1.1. Review of financial plan and other documents 5.1.1.2. Review of economic analysis of the financial plan fulfillment 5.1.1.3. Review of felling and management plan 5.1.1.4. Field inspection
	5.1.2. The budget shall include funds for environmental, social aspects of production associated with the maintenance of certified status (when such works such as planning, road maintenance, forestry works, accounting of wood increment and harvests, monitoring and protection of the forests).	5.1.2.1. Review of financial plan and other documents 5.1.2.2. Review of economic analysis of the financial plan fulfillment 5.1.2.3. Review of felling and management plan 5.1.1.4. Field inspection
5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products. See also 5.4	5.2.1. Forest management should support multiple uses of forest resources, such as hunting, recreation and non-timber forest products.	5.2.1.1. Interview with staff 5.2.1.2. Interview with other forest users 5.2.1.3. Review of forest management plan
	5.2.2. The enterprise should, if appropriate, to expand the composition of trees and plants used for commercial purposes	5.2.2.1. Interview with staff 5.2.2.2. Interview with other forest users 5.2.2.3. Review of forest management plan

	5.2.3. It shall be striving for the best and maximum use of every tree and every species.	5.2.3.1. Interview with staff 5.2.3.2. Interview with other forest users 5.2.3.3. Review of forest management plan
5.3. Forest management should minimize 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 damage and damage to remaining trees.	5.3.1.1. Field inspection
	5.3.2. The harvested merchantable timber shall be transported out of the logging sites to processing facilities before wood quality deterioration occurs.	5.3.2.1. Field inspection 5.3.2.2. Review of logging and wood transport documents
	5.3.3. Waste generated through harvesting operations, on-site processing and extraction shall be minimized whilst leaving tops, branches, solid wood and other on the forest floor for soil conservation.	5.3.3.1. Field inspection
5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.	5.4.1. FMO's sales policies and methods should consider needs of local processing industry.	5.4.1.1. Interview with staff 5.4.1.2. Review of forest management plan and harvesting records 5.4.1.3. Interview with local community and other stakeholders
5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	5.5.1. FMO shall consider areas important for mushrooms and berry picking; hunting and recreation when planning forest operations.	5.5.1.1. Interview with FMO staff 5.5.1.2. Interview with supervisory authorities 5.5.1.3. Field inspection
	5.5.2. FMO shall carry out documented assessment of the impact of forest management on the multiple services produced in the forest such as outdoor life, watersheds, NTFP (fishing, hunting, berries and mushrooms), protection of cultural and biological values.	5.5.2.1. Review of impact evaluation documents 5.5.2.2. Field inspection
5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.	5.6.1. The annual yield and annual allowable rate of harvest for all types of cutting shall be determined according to national legislation.	5.6.1.1. Review of felling and management plan 5.6.1.2. Review of procedure for determining the annual yield and harvest
	5.6.2. Annual harvest shall be documented, detailing as a minimum per logging site: a) felling permit b) species	5.6.2.1. Review of logging volume data 5.6.2.2. Review of forest management plan

	c) logging period d) volume e) products f) area.	
	5.6.3. Annual harvest shall not exceed annual increment unless cases connected with liquidation of outcomes caused by biotic or abiotic external factors.	5.6.3.1. Review of logging volume 5.6.3.2. Review of forest management plan
	5.6.4. All protected areas where felling is prohibited, shall be excluded from calculation of annual allowable cut.	5.6.4.1. Review of forest management plan and felling plan
	5.6.5. Commercial harvest of NTFP shall not exceed sustainable levels	5.6.3.1. Review of NTFP harvest volume 5.6.3.2. Review of forest management plan

PRINCIPLE 6: ENVIRONMENTAL IMPACT

Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.

Criteria	Indicators	Verifiers
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. FMO shall assess environmental impacts during management planning and designate mitigation measures in management plan.	6.1.1.1. Review of forest management and felling plan. 6.1.1.2. Interview with staff
	6.1.2. FMO shall prepare and implement a documented evaluation and monitoring system to minimize impact of site disturbing operations prior, during and after operations.	6.1.2.1. Review of internal procedures 6.1.2.2. Field inspection 6.1.2.3. Interview with staff
	6.1.3. FMO shall conduct environmental impact assessment prior to major forest construction and maintenance work such as constructions of new roads or maintenance of drainage systems.	6.1.3.1. Review of documents 6.1.3.2. Interview with staff
	6.1.4. Environmental impacts of on-site processing facilities shall be assessed and controlled (e.g. waste, construction impacts, etc.).	6.1.4.1. Review of documents 6.1.4.2. Interview with staff
6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones	6.2.1. FMO shall have procedures to identify and record rare and endangered species of flora and fauna present within the forest area and implement it. The Ukraine Red Book may serve	6.2.1.1. Review of documents 6.2.1.2. Interview with staff

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.	as a reference source for their identification.	
	6.2.2. Known habitats of rare and endangered species shall be mapped and consideration taken in planning and implementing forest management activities.	6.2.2.1. Review of maps 6.2.2.2. Review of operating plans 6.2.2.3. Interview with staff
	6.2.3. FMO shall cooperate with conservation organizations and authorities in mapping rare and endangered species habitats and defining conservation areas.	6.2.3.1. List of measures to protect species listed in the Red Book of the Ukraine and Categories 1 and 0 of regional Red Books 6.2.3.2. Assessment of the impact of management operations on the Red Book species 6.2.3.3. Documents regarding protected areas 6.2.3.4. Discussion with workers 6.2.3.5. Field inspection
	6.2.4. Operations in the conservation zones shall be conducted so that the conservation values are not harmed or endangered.	6.2.4.1. Review of documents regarding management in conservation zones 6.2.4.2. Review of felling plan 6.2.4.3. Field inspection
	6.2.5. Conservation zones shall be demarcated on maps and if relevant also marked in the field.	6.2.5.1. Review of documents regarding established conservation zones 6.2.5.2. Review of maps 6.2.5.3. Field inspection
	6.2.6. Harvesting should not be conducted in the areas of rare, endangered and threatened species and during their breeding period.	6.2.6.1. Review of documents regarding established conservation zones 6.2.6.2. Review of felling plan 6.2.6.3. Field inspection
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. Selective felling or regeneration in small groups shall be preferred in special management areas, such as water conservation zones, wetlands etc.	6.3.1.1. Review of felling plan 6.3.1.2. Interview with researchers and foresters (forest inventory officers)
	6.3.2. Natural regeneration and local provenances should be preferred. (a, b, c).	6.3.2.1. Review of documents 6.3.2.2. Interview with staff 6.3.2.3. Field inspection
	6.3.3. Thinning and harvesting operations shall favor development of mixed stands (a, b, c).	6.3.3.1. Review of documents 6.3.3.2. Interview with staff 6.3.3.3. Field inspection
	6.3.4. Forest areas not affected by existing drainage ditches	6.3.4.1. Review of documents

	shall not be drained.	6.3.4.2. Interview with staff 6.3.4.3. Field inspection
	6.3.5. FMO should develop and implement a long-term policy for switching from clear cutting to stripped-coupe and/or non-clear cutting in suitable site conditions.	6.3.5.1. Review of documents 6.3.5.2. Interview with staff 6.3.5.3. Field inspection
	6.3.6. To reduce the adverse ecological effects of cutting, the following elements of a forest ecosystem (or their parts) shall be left standing forever, unless their removal is justified by safety reasons or negative implications on forest health: - old and hollow trees; - standing deadwood and snags; - seed trees of commercially valuable species.	6.3.6.1. Field inspection 6.3.6.2. Exploitation map 6.3.6.3. Felling site certifications and technical inspection reports 6.3.6.4. Felling permits
	6.3.7. At least ten (5 in case of hardwoods) larger than average living trees per hectare, with consideration of their biological value, shall be left uncut forever on final felling sites.	6.3.7.1. Field inspection
	6.3.8. Natural reforestation shall be preferred for regeneration of logging sites, unless planting is warranted by site conditions.	6.3.8.1. Field inspection 6.3.8.2. Review of regeneration plans
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 identified in consultation with authorities, NGOs and other stakeholders.	6.4.1.1. Interview with staff and stakeholders 6.4.1.2. Review of correspondence with stakeholders.
	6.4.2. Identified representative samples of ecosystems shall be protected in their natural state, marked in maps and on site.	6.4.2.1. Field inspection 6.4.2.2. Review of maps 6.4.2.3. Sample descriptions
	6.4.3. FMO shall protect identified representative samples of existing ecosystems on a minimum of 5% of their total forest area.	6.4.3.1. Review of documents 6.4.3.2. Review of felling plan 6.4.3.3. Field inspection
	6.4.4. In the protected representative sample of existing ecosystems no timber harvesting shall take place, unless required to maintain or increase the conservation values and specified by written protection rules for the protected area.	6.4.4.1. Inspection of management plan 6.4.4.2. Interview with staff and supervisory organizations 6.4.4.3. Field inspection
	6.4.5. Existing drainage systems shall not be maintained in protected areas unless required to protect their conservation values according to official written protection rules or for transportation of water from bordering lands.	6.4.5.1. Review of management documents and maps 6.4.5.2. Field inspection 6.4.5.3. Interview with staff
6.5. Written guidelines shall be prepared and	6.5.1. Planning documents and technological maps shall	6.5.1.1. Review of planning documents

implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.	specify sites that are suitable for all-weather harvesting or winter-harvesting (frozen soil).	and maps 6.5.1.2. Field inspection 6.5.1.3. Interview with staff
	6.5.2. Temporary crossings shall be built when skid trails cross streams, small rivers and brooks.	6.5.2.1. Inspection of operational maps 6.5.2.2. Field inspection
	6.5.3. Buffer zones shall be left along water bodies and open landscape.	6.5.3.1. Inspection of operational maps 6.5.3.2. Field inspection
	6.5.4. Fuel and oil storage and machinery parking shall not take place in floodplains and on the ice of streams and ponds.	6.5.4.1. Interview with workers 6.5.4.2. Field inspection
6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.	6.6.1. Herbicides, pesticides, fungicides and insecticides should not be used outside nurseries unless prescribed with written expertise of forest pathologist.	6.6.1.1. Interview with workers 6.6.1.2. Environmental expertise and/or environment impact assessment 6.6.1.3. Discussion with enterprise managers 6.6.1.4. Herbicide and pesticide use regulations 6.6.1.5. Records of chemicals use 6.6.1.6. List of permitted chemicals
	6.6.2. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall not be used.	6.6.2.1. Review of chemicals used
	6.6.3. Workers working with chemicals storage, mixing and application shall be provided with training and personal safety equipment.	6.6.3.1. Review of work instructions 6.6.3.2. Interview with staff 6.6.3.3. Field inspection
	6.6.4. All uses of chemical substances in the forest shall be recorded, including as a minimum the following information: a) the name of the chemical, b) the site of application, c) the date and the amount of chemical applied.	6.6.4.1. Review of documents
	6.6.5. Fertilizers shall not be used in forest management, with the exception of permanent seed orchards and tree nurseries, or for afforestation of degraded forest lands.	6.6.5.1. Interview with workers 6.6.5.2. Review of documents on the use of fertilizers
6.7. Chemicals, containers, liquid and solid	6.7.1. Chemicals, containers, liquid and solid non-organic	6.7.1.1. Field inspection

non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.	wastes including fuel and oil shall be stored and disposed of offsite in environmentally sound and legal manner, whether from forest operations or other facilities.	6.7.1.2. Review of disposal documents and work instructions 6.7.1.3. Interview with staff
	6.7.2. Oil absorbent kit shall be available in forest machinery and shall be used by operators to contain accidental oil spills.	6.7.2.1. Field inspection 6.7.2.2. Interview with staff
	6.7.3. Forest machinery shall be without oil/fuel leakage.	6.7.3.1. Field inspection
	6.7.4. Appropriate oil absorbent kit or spill-proof tanks shall be used at chain saws filling points.	6.7.4.1. Field inspection
	6.7.5. Biodegradable oil should be used for chainsaws and for hydraulic oil in forest machinery..	6.7.5.1. Field inspection
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. Biological control agents shall only be used in exceptional cases; any usage shall be and shall be documented, monitored and strictly controlled.	6.8.1.1. Review of regulations 6.8.1.2. Field inspection 6.8.1.3. Interview with staff
	6.8.2. Genetically modified organisms shall be not used.	6.8.2.1. Management plan 6.8.2.2 Enterprise internal policy
6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.	6.9.1. Forests of native species shall not be converted to exotic plantations..	6.9.1.1. Review of regulations 6.9.1.2. Field inspection 6.9.1.3. Interview with staff
	6.9.2. Exotic species shall not be cultivated in the forest.	6.9.2.1. Review of regulations 6.9.2.2. Field inspection
	6.9.3. The spread of invasive exotic species that have been historically introduced shall be monitored and if necessary, actions shall be taken to control or eliminate the species.	6.9.3.1. Review of regulations 6.9.3.2. Field inspection 6.9.3.3. Enterprise internal policy
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. Conversion of forest lands to non-forest land for non-forestry purposes shall be allowed only according to the exclusive decision of the Cabinet of Ministers of Ukraine.	6.10.1.1. Review of documents confirming legitimacy of conversion 6.10.1.2. Review of copies of land inventory 6.10.1.3. Decision of public authorities on land conversion
	6.10.2. High Conservation Value Forests shall not be converted into non-forest lands.	6.10.2.1. Review of HCVF maps and conversion documents 6.10.2.2. Interview with staff
	6.10.3. If land conversion takes place, it should not be more than 1% of the forest resources of the enterprise for any five-year period (see FSC-ADV-30-602).	6.10.3.1. Review of documents confirming legitimacy of conversion 6.10.3.2. Review of copies of land inventory

		6.10.3.3. Decision of public authorities on land conversion
	6.10.4. The extent of any conversion should be acceptable to environmental organizations and regulatory agencies	6.10.4. Interview with stakeholders
	6.10.5. If conversion occurs, the forest manager shall demonstrate that any conversion produces long term conservation benefits across the FMU.	6.10.5.1. Interview with stakeholders 6.10.5.2. Justification that conversion produce long term conservation benefits across the FMU.

PRINCIPLE 7: MANAGEMENT PLAN

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

Criteria	Indicators	Verifiers
<p>7.1. The management plan and supporting documents shall provide:</p> <p>a) Management objectives;</p> <p>b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;</p> <p>c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories;</p> <p>d) Rationale for rate of annual harvest and species selection;</p> <p>e) Provisions for monitoring of forest growth and dynamics;</p> <p>f) Environmental safeguards based on environmental assessments;</p> <p>g) Plans for the identification and protection of rare, threatened and endangered species;</p> <p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership;</p> <p>i) Description and justification of harvesting</p>	<p>7.1.1. FMO management plan, or its appendices shall include:</p> <p>a) Management objective (a).</p> <p>b) A general description of the history, including ownership and use of the forest management area (b).</p> <p>c) A stand level description of the forest resources including area, site type/forest type, soil type, species, age class distribution, height, site class, average diameter (dbh) and volume (b, c).</p> <p>d) Summaries for the total forest area including total area (ha), forest cover percentage, area by site types/forest type, age class distribution, total annual increment and average volume per hectare (b, c, d).</p> <p>e) Provisions for monitoring of forest growth and dynamics (e);</p> <p>f) Description and justification of the management system used, including types of silvicultural systems used.</p> <p>g) general description of monitoring activities implemented to ensure conservation of protected areas and HC VF resources (f, g)</p> <p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership (h)</p>	<p>7.1.1.1. Review of felling and management plan</p> <p>7.1.1.2. Interview with staff</p>

techniques and equipment to be used.	i) Description and justification of harvesting techniques and equipment to be used (i)	
	7.1.2. Forest management plan shall: a) explain how the AAC was calculated for the area under assessment and, b) provide rationale for rate of annual harvest from main cutting, thinning and other types of cutting.	7.1.2.1. Review of documents 7.1.2.2. Review of felling and management plan 7.1.2.3. Review of calculations of rate of harvest from main cutting and improvement thinning for different sections
	7.1.3. The management plan should include: a) fire prevention and protection measures; b) pest and disease control measures; c) provision of machinery/equipment for fire detection and suppression.	7.1.3.1. Review of management plan 7.1.3.2. Review of lease agreement
	7.1.4. The management plan shall contain: - Maps of forest resources, including boundaries of protected areas, - Maps of planned management activities.	7.1.4.1. Review of management plan 7.1.4.2. Review of maps
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. The management plan shall be periodically revised to respond to changing environmental, social and economic circumstances.	7.2.1.1. Review of management plan 7.2.1.2. Interview with FMO staff and stakeholders
	7.2.2. FMO shall incorporate result of monitoring data into the management planning process.	7.2.2.1. Review of written procedures
	7.2.3. Revision of management plan shall occur consistent with legal requirements.	7.2.3.1. Interview with staff 7.2.3.2. Review of management plan revision schedule
	7.2.4. The following zones of radioactive contamination have been singled out alongside with other zones: I- 1- 5 Cu/km ² II- 5-15 Cu/km ² III- 15-40 Cu/km ² IY- 40 and more Cu/km ²	7.2.4.1 Forest management plan 7.2.4.2. Map of radioactive contamination

	7.2.5. The following measures are planned and implemented in all of the contaminated areas: arrangement of wildfire protection, construction of reservoirs, protection of forests from fires, pests, diseases and violations of the forest use rules.	7.2.4.1 Forest management plan 7.2.4.2. Radioactive contamination control reports
7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.	7.3.1 Training requirements for FMO staff including contractors shall be defined and implemented covering all relevant aspects of the management plan and the FSC requirements including technical, economic, social and environmental issues.	7.3.1.1. Review of written procedures 7.3.1.2. Interview with staff
	7.3.2. All forest operations shall be carried out under the control and supervision to ensure adequate implementation of forest management plan.	7.3.2.1. Field inspection 7.3.2.2. Duty regulations and other documents
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	7.4.1. A summary of the elements of criterion 7.1 elements of the management plan shall be made available to stakeholders. The public summary may be published in internet and posted in local community centers.	7.4.1.1. Summary of the management plan 7.4.1.2. Interview with enterprise managers
PRINCIPLE 8: MONITORING AND ASSESSMENT		
<i>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.</i>		
Criteria	Indicators	Verifiers
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. FMU shall have consistent and repeatable monitoring procedures for consistent and frequent monitoring of the aspects mentioned in 8.2, which allows comparison or the results and assessment of changes.	8.1.1.1. Interview with FMO staff 8.1.1.2. List of activities that require monitoring 8.1.2.1 Review of documents
	8.1.2. The frequency and intensity of monitoring shall be based on the volume and the relative complexity of forest management operations as well as the vulnerability of the forest resource management.	8.1.2.1. Interview with FMO staff
	8.1.3. FMO shall identify staff members with responsibility to for implementing monitoring programmes.	8.1.3.1. Review of monitoring procedures 8.1.3.2. Interview with FMO staff

	8.1.4. In order to study the radiation situation in the forests and development on the basis of these forecasts of pollution of forests and forest products, guidelines for forest management and use of the forest and its products should be radiation-ecological monitoring of forests.	8.1.4.1. Monitoring report
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. Forest management shall include data collection to monitor the following indicators: - Yields of all forest products harvested; - Commercial harvest of NTFP such as seeds, seedling, game, greenery and Christmas trees; - Silviculture (growth rates, composition, regeneration and forest condition); - all possible impact of harvesting and other operations; - costs, productivity and efficiency of forest management.	8.2.1.1. Review of monitoring records 8.2.1.2. Interview with FMO staff 8.2.1.3. Review of accounting records
	8.2.2. Forest management should include data collection to monitor the following indicators: • Environment (environmental changes affecting flora, fauna, soil and water resources; outbreak of pest, invasive species, habitats of rare and endangered species, area of buffer zones and protected stands); • Socioeconomic aspects (forest management costs, yields of all products, and changes in community and worker relations or conditions).	8.2.2.1. Review of monitoring records and data collection
8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the "chain of custody."	8.3.1. FMO has established and implemented procedures according to FM-35 Rainforest Alliance Chain-of-Custody Standard for Forest Management Enterprises (FMEs)	8.3.1.1. Review of list of suppliers and customers 8.3.1.2. Review of felling permits and sales documents 8.3.1.3. Interview with staff 8.3.1.4. Procedure according to FM-35 Rainforest Alliance Chain-of-Custody Standard

	8.3.2. Illegally logged wood reclaimed by the operation shall not be sold as certified.	8.3.2.1. Review of controlled wood procedures 8.3.2.2. Field visit 8.3.2.3. Interview with staff
8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.	8.4.1. Revision of management and operating plans shall consider monitoring results (see 7.2.2).	8.4.1.1. Interview with staff 8.4.1.2. Review of management plan and annual operating plans 8.4.1.3. Review of monitoring results
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. FMO shall make publicly available a summary of the monitoring results including elements listed in FSC P&C 8.2.	8.5.1.1. Review of monitoring results 8.5.1.2. Interview with staff 8.5.1.3. Interview with stakeholders 8.5.1.4. Public summary

PRINCIPLE 9 : MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

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

Criteria	Indicators	Verifiers
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. FMO shall carry out an assessment of the FMU sufficient to identify all parts of the FMU that have each of the following attributes: a) HCV1. Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia), such as Natura 2000 sites. b) HCV2. Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance, such as intact forest landscapes. c) HCV3. Forest areas that are in or contain rare, threatened or endangered ecosystems, such as Natura 2000 sites and Woodland Key Habitats.	9.1.1.1. Forest inventory, other documents 9.1.1.2. Discussion with stakeholders 9.1.1.3. List of types of the forest having high conservation value is available on enterprise.

	<p>d) HCV4. Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control), such as areas important for drinking water.</p> <p>e) HCV5. Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).</p> <p>f) HCV6. Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p>	
	<p>9.1.2. Information on identified high conservation value forests and habitats of rare and endangered species shall be included in the management plan, operating plans and on maps.</p> <p>See also 3.3, 6.2, 6.3, 6.4.</p>	<p>9.1.2.1. Maps with high conservation value forests demarcated</p> <p>9.1.2.2. Field inspection</p> <p>9.1.2.3. Discussion with stakeholders</p> <p>9.1.2.4. Forest inventory, other documents</p>
	<p>9.1.3. Enterprise shall be open and ready to cooperate with governmental organizations and experts in environmental protection by definition and protection of HCVF.</p>	<p>9.1.3.1. Discussion with stakeholders</p>
<p>9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>	<p>9.2.1. Stakeholders including environmental NGOs should be consulted to identify HCVF.</p>	<p>9.2.1.1. Protocols of consultation procedures, letters and other documents confirming the prosecution of consultations</p> <p>9.2.1.2. Field inspection</p> <p>9.2.1.3. Discussion with stakeholders</p> <p>9.2.1.4. Forest inventory, other documents</p>
	<p>9.2.2. An enterprise shall document in written form the whole process of consultation with stakeholders.</p>	<p>9.2.2.1. Protocols of consultation procedures, letters and other documents confirming the prosecution of consultations</p>
	<p>9.2.3. Consultation with stakeholders must demonstrate that the organization is consistent in the allocation and protection of HCVF</p>	<p>9.2.3.1. Discussion with stakeholders</p>
<p>9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or</p>	<p>9.3.1. FMO shall identify in forest management plan the level of protection needed for preservation of applicable</p>	<p>9.3.1.1. Interview with stakeholders</p> <p>9.3.1.2. Field inspection</p>

enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.	conservation attributes in consultation with stakeholders.	9.3.1.3. Review of forest inventory, other documents
	9.3.2. Measures to maintain and preserve High Conservation Value Forests shall be included in the management plan and/or other public document (see also Criterion 7.5.).	9.3.2.1. Major provisions of management plan, felling plans 9.3.2.2. Discussion with local communities 9.3.2.3. Discussion with environmental organizations 9.3.2.4. Forest inventory, other 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. HCVF shall be monitored on a regular basis to avoid activities such as illegal logging that might endanger the conservation values.	9.4.1.1. Results of annual monitoring 9.4.1.2. Field inspection 9.4.1.3. Forest inventory, other documents
	9.4.2. FMO should support independent monitoring of maintenance of conservation attributes of High Conservation Value Forests by other stakeholders.	9.4.2.1. Discussion with stakeholders 9.4.2.2. Forest inventory, other documents

PRINCIPLE 10: PLANTATIONS

Plantations shall be planned and managed in accordance with Principles and Criteria 1–9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.

Criteria	Indicators	Verifiers
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	10.1.1.1. Forest management plan and related documents 10.1.1.2. Staff interview
	10.1.2. Management objectives for conservation of natural forest and restoration shall be described in the management plan	10.1.2.1. Forest management plan and related documents
	10.1.3. Management objectives, specifically those related to natural forest conservation and restoration, shall be demonstrated in forest management activities	10.1.3.1. Forest management plan and related documents

<p>10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</p>	<p>10.2.1. FMOs shall demonstrate through action their commitment to protect, restore and conserve key areas of natural forest within the ownership</p>	<p>10.1.1.1. Forest management plan 10.1.1.2. Field inspection 10.1.1.2. Interview with stakeholders</p>
	<p>10.2.2. Buffer zones along watercourses and around water bodies shall be established according to regional best management practices or local laws and regulations. Buffer zones should be indicated on maps</p>	<p>10.2.2.1. Forest management plan 10.2.2.2. Field inspection 10.2.2..3. Maps with planning activities</p>
	<p>10.2.3. FMO shall establish wildlife habitat and corridors, suitably located across plantation areas, in consultation with acknowledged experts</p>	<p>10.1.1.1. Forest management plan 10.1.1.2. Field inspection 10.1.1.2. Interview with stakeholders</p>
	<p>10.2.4. Plantations shall be designed so as to maintain or enhance the visual character of the landscape (i.e. design is based on the scale and intensity of natural patterns of disturbance and planting and harvest regimes within the region).</p>	<p>10.1.1.1. Forest management plan 10.1.1.2. Field inspection 10.1.1.2. Interview with stakeholders</p>
<p>10.3. Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</p>	<p>10.3.1. Plantation management shall maintain and/or enhance landscape diversity by varying block size and configuration, species, genetic diversity, age class and structure</p>	<p>10.3.1.1. Forest management plan 10.3.1.2 Field inspection</p>
	<p>10.3.2. Emphasis should be placed on planting and/or applied research on forest species native to the region</p>	<p>10.3.1.1. Forest management plan 10.3.1.2 Field inspection</p>
	<p>10.3.3. (Note: Also see Criteria 6.4 and 6.10.)</p>	
<p>10.4. The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that</p>	<p>10.4.1. Plantation species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives</p>	<p>10.4.1.1. Forest management plan 10.4.1.2. Interview with stakeholders 10.4.1.3. Staff interview</p>
	<p>10.4.2. Where exotic species have been selected, the FME shall explicitly justify this choice demonstrating that their performance is greater than that of native species</p>	<p>10.4.2.1. Forest management plan 10.4.2.2. Interview with stakeholders 10.4.2.3. Staff interview</p>

of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.	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.	10.4.3.1. Forest management plan 10.4.3.2. Interview with stakeholders 10.4.3.3. Staff interview
	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	10.4.4.1. Forest management plan 10.4.4.2. Interview with stakeholders 10.4.4.3. Staff interview
	10.4.5. In case exotic species are used, at least 20 pct of the stand shall consist of native species. See also 6.9	10.4.5.1. Forest management plan
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. (Note: Also see Criterion 6.4.)	10.5.1.1. Forest management plan 10.5.1.2. Interview with stakeholders 10.5.1.3. Protocols, letters confirming consultation 10.5.1.4. List or representative sites
	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.	10.5.2.1. Forest management plan 10.5.2.2. Interview with stakeholders
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	10.6.1.1. Forest management plan 10.6.1.2. Interview with stakeholders 10.6.1.3. Field audit
	10.6.2. Plantation design and management shall not result in soil degradation	10.6.2.3. Field audit
	10.6.3. Forest operations shall not degrade water quality or negatively impact local hydrology	10.6.3.1. Field audit 10.6.3.2. Interview with stakeholders
	10.6.4. Where negative impacts on soil or water resources is identified, FME shall take steps to reduce or eliminate such impacts	10.6.4.1. Forest management plan 10.6.4.2. Interview with stakeholders 10.6.4.3. Field audit
10.7. Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form	10.7.1. Measures shall be taken in the forest to prevent outbreaks of pests, disease, fire and invasive plant introductions	10.7.1.1. Forest management plan 10.7.1.2. Interview with staff

<p>an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management should make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>	10.7.2. A plan should exist for forest fire prevention and control	10.7.2.1. Forest management plan 10.7.2.2. Interview with staff
	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	10.7.3.1. Forest management plan 10.7.3.2. Interview with staff
	10.7.4. FME shall have a policy and strategy to minimize use of chemical pesticides and fertilizers	10.7.4.1. Strategy to minimize use of chemical pesticides and fertilizers
<p>10.8. Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.</p>	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)	10.8.1.1. Monitoring results 10.8.1.2. Monitoring plans
	10.8.2. Applicable to SLIMF FMEs only (note: above indicator does not apply): FME shall document negative environmental or social impacts and design and implement measures to address the impacts	10.8.2.1. procedure of impact assessment 10.8.2.2 assessments report
	10.8.3. The purchase of lands or land leases for plantation establishment shall not adversely impact the community and/or resource use by local people.	10.8.3.1. Forest management plan 10.8.3.2. Interview with staff
	10.8.4. (Note: For exotic or invasive species issues, see Criterion 10.4.)	
<p>10.9. Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.</p>	10.9.1. The plantation shall not occupy land converted from natural forest since November 1994, unless clear evidence exists that the current manager/owner was not responsible	10.9.1.1. Forest management plan 10.9.1.2. Interview with staff 10.9.1.3. Stakeholder interview
	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	10.9.2.1. Forest management plan 10.9.2.2. Interview with staff 10.9.2.3. Stakeholder interview
	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	10.9.3.1. Forest management plan 10.9.3.2. Interview with staff 10.9.3.3. Stakeholder interview

	10.9.4. (Note: See also Criterion 6.10.)	
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Annex 1: List of national and local forest and related laws and administrative requirements which apply in Ukraine

National Laws

Закон України "Про охорону навколишнього природного середовища" від 26.06.1991, N 1268-XII

Закон України "Про природно-заповідний фонд України" від 16.06.1992, N 2456-XII

Закон України "Про тваринний світ" від 13.12.2001, N № 2894-III

Закон України "Про внесення змін до Лісового кодексу України" від 08.02.2006 N 3404-IV

Закон України "Про Загальнодержавну програму формування національної екологічної мережі України на 2000-2015 роки" 21.09.2000, N 1989-III

Закон України "Про мораторій на проведення суцільних рубок на гірських схилах в ялицево-букових лісах Карпатського регіону" від 10.02.2000, N 1436-14

Закон України "Про Червону книгу України" від 07.02.2002, N 3055-III

Закон України "Про екологічну мережу України", від 24.06.2004, N 1864-IV

Decrees and Orders of the Cabinet Ministry of Ukraine

Постанова Кабінету Міністрів України "Про затвердження Санітарних правил в лісах України" від 27.07.1995, N 555

Постанова Кабінету Міністрів України "Про затвердження Порядку поділу лісів на категорії та виділення особливо захисних лісових ділянок" від 16.05.2007, N 733

Постанова Кабінету Міністрів України "Про затвердження Правил рубок головного користування в гірських лісах Карпат" від 22.10.2008, N 929

Постанова Кабінету Міністрів України "Про затвердження Правил відтворення лісів" від 01.03.2007, N 303

Постанова Кабінету Міністрів України "Про затвердження Порядку спеціального використання лісових ресурсів" від 23.03.2007, N 761

Постанова Кабінету Міністрів України "Про затвердження Порядку видачі спеціальних дозволів на використання лісових ресурсів" від 23.05.2007, N 761

Постанова Кабінету Міністрів України "Про затвердження Правил заготівлі живиці в лісах України" від 08.02.1996, N 185

Постанова Кабінету Міністрів України "Про затвердження Порядку заготівлі другорядних лісових матеріалів і здійснення побічних лісових користувань в лісах України" від 23.04.1996, N 449

Постанова Кабінету Міністрів України "Про затвердження Правил поліпшення якісного складу лісів" від 12.05.2007, N 724

Постанова Кабінету Міністрів України "Про затвердження такс на деревину лісових порід, що відпускається на пні, і на живицю" від 20.01.1997, N 44

Постанова Кабінету Міністрів України "Про концепцію збереження біологічного різноманіття України" від 12.05.1997, N 439

Постанова Кабінету Міністрів України Державна програма "Ліси України на 2010-2015 рр." від 16.09.2009, N 977

Постанова Кабінету Міністрів України "Про затвердження Тимчасового порядку видачі сертифіката про походження лісоматеріалів та виготовлених з них пиломатеріалів для здійснення експортних операцій" від 21.12.2005, N 1260

Розпорядження Кабінету Міністрів України "Про схвалення Концепції реформування та розвитку лісового господарства" від 18.04.2006, N 208-р

Розпорядження Кабінету Міністрів України "Про схвалення Концепції національної екологічної політики України на період до 2020 року" від 17.10.2007, N 880-р

Розпорядження Кабінету Міністрів України "Про схвалення Концепції створення єдиної державної системи електронного обліку деревини" від 16.09.2009, N 1090-р

Labor safety normative acts

Положення про розробку інструкції з охорони праці на підприємстві, 0.00-4.15-98

Типове положення про порядок навчання і перевірки знань з питань охорони праці, 0.00-4.12-05

Державний гігієнічний норматив «Гігієнічний норматив питомої активності радіонуклідів ¹³⁷Cs та ⁹⁰Sr у деревині та продукції з деревини» введено наказом Міністерства охорони здоров'я України від 31.10.2005, N 573

Orders of State Authorities

Наказ Державного комітету лісового господарства України "Про затвердження Правил рубок головного користування" від 23.12.2009, N 364

Наказ Міністерства лісового господарства України "Про затвердження Інструкції з проектування, технічного приймання, обліку та оцінки якості лісокультурних об'єктів" від 08.06.1997, N 62

Наказ Державного комітету лісового господарства України "Про затвердження Методики визначення розрахункової лісосіки" від 14.09.2000, N 105

Наказ Державного комітету лісового господарства України, Міністерства економіки України, Міністерства охорони навколишнього природного середовища та ядерної безпеки України,

Державної податкової адміністрації України "Про затвердження Інструкції про механізм справляння збору за спеціальне використання лісових ресурсів та користування земельним ділянками лісового фонду" від 15.10.1999, N 91/241/123/236/565

Наказ Держнаглядохоронпраці "Норми безплатної видачі спеціального одягу, спеціального взуття та інших засобів індивідуального захисту" від 25.04.2005, N 65

Наказ Держкомохоронпраці "Положення про порядок забезпечення працівників спеціальним одягом, спеціальним взуттям та іншими засобами індивідуального захисту" від 29.10.1996, N 170

Наказ Держнаглядохоронпраці України "Правила охорони праці для працівників лісового господарства та лісової промисловості" від 13.07.2005, N 119

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

Ratified International Conventions

Конвенція про охорону біологічного різноманіття (Ріо-де-Жанейро, 1992 рік), Закон про ратифікацію Конвенції від 29.11.1994, N 257/94-ВР

Рамкова конвенція ООН про зміну клімату (Ріо-де-Жанейро, 1992 рік), Закон про ратифікацію Рамкової конвенції від 29.11.1996, N 435/96-ВР

Конвенція про охорону дикої флори та фауни та природних середовищ їх існування в Європі (Берн, 1979 рік), Закон про приєднання України до Конвенції 1979 року про охорону дикої флори і фауни та природних середовищ існування в Європі від 29.11.1996, N 436/96-ВР

Конвенція про водно-болотні угіддя, що мають міжнародне значення, головним чином як середовища існування водоплавних птахів (Рамсар, 1971 рік), Закон України про участь у Конвенції від 29.11.1996, N 437/96-ВР

Конвенція про збереження мігруючих видів диких тварин (Бонн, 1979 рік), Закон України про приєднання до Конвенції від 19.03.1999, N 535-XIV

Конвенція про міжнародну торгівлю видами дикої фауни і флори, що перебувають під загрозою зникнення (Вашингтон, 1973 рік), Закон України про приєднання від 14.05.1999, N 662-XIV

Угода про збереження кажанів в Європі (Брістоль, 1995 рік), Закон України про приєднання до Угоди від 14.05.1999, N 663 –XIV

Картахенський протокол про біобезпеку до Конвенції про біологічне різноманіття (Монреаль, 2000 рік), Закон про приєднання до протоколу від 12.09.2002, N 152-IV

Рамкова конвенція про охорону та сталий розвиток Карпат (Київ, 2003 рік), Закон України про ратифікацію Рамкової конвенції від 07.04.2004, N 1672-IV

Ratified ILO Conventions

Про примусову працю

Про свободу асоціацій та захист прав на організацію

Про право на організацію та проведення колективних переговорів

Про рівну винагороду

Про скасування примусової праці

Про дискримінацію в галузі праці та занять

Про встановлення мінімальної заробітної плати

Про мінімальний вік прийому на роботу

Про розвиток людських ресурсів

Про найгірші форми дитячої праці

Annex 3: List of officially endangered species in Ukraine

Rare and endangered species of plants

Аконіт Бессера *Aconitum besserianum* Andr. ex Trautv.
Аконіт несправжньоотруйний *Aconitum pseudanthora* Blocki ex Pacz.
Аконіт опушеноплодий *Aconitum lasiocarpum* (Rchb.) Gáyer
Анемона розлога *Anemone laxa* Juz.
Асплений чорний *Asplenium adiantum-nigrum* L.
Астранція велика *Astrantia major* L.
Багатоніжка звичайна *Polypodium vulgare* L.
Багаторядник Брауна *Polystichum braunii* (Spenn) Fee
Багаторядник шипуватий *Polystichum aculeatum* (L.) Roth.
Баранець звичайний *Huperzia selago* (L.) Bernh. ex Schrank et Mart.
Беладонна звичайна *Atropa belladonna* L.
Береза дніпровська *Betula borysthena* Klokov
Береза Клокова *Betula klokovii* Zaverucha
Береза низька *Betula humilis* Schrank
Білоцвіт весняний *Leucosium vernalis* L.
Білоцвіт літній *Leucosium aestivum* L.
Бруслина карликова *Euonymus nana* Vieb.
Бузок східнокарпатський *Syringa josikaea* Jacq.
Булатка великоквіткова *Cephalanthera damasonium* (Mill.) Druce
Булатка довголиста *Cephalanthera longifolia* (L.) Fritsch.
Булатка червона *Cephalanthera rubra* (L.) Rich.
Верба Старке *Salix starkeana* Willd.
Відкасник осотовидний *Carlina cirsioides* Klok.
Вільха сіра *Alnus incana* (L.) Moench
Вовчі ягоди пахучі, боровик *Daphne genkwa* L.
В'язіль увінчаний *Coronilla coronata* L.
Глід український *Crataegus ucrainica* Pojark.
Гніздівка звичайна *Neottia nidus-avis* (L.) Rich.
Гронянка багатороздільна *Botrychium multifidum* (S.G. Gmel.) Rupr.
Гронянка віргінська *Botrychium virginianum* (L.) Sw
Гронянка півмісяцева *Botrychium lunaria* (L.) SW.
Гронянка ромашколиста *Botrychium matricariifolium* (A. Braun ex Döll) W. D. J. Koch.
Грушанка круглолиста *Pyrola rotundifolia* L.
Грушанка мала *Pyrola minor*
Гудайєра повзуча *Goodyera repens* (L.) R. Br.
Дельфіній високий *Delphinium elatum* L.
Дельфіній Сергія *Delphinium sergii* Wisjul.
Дзвоники карпатські *Campanula carpatica* Jacq.
Діфазіаструм сплюснутий, д. Зейлера та д. Триколосковий *Diphasiastrum complanatum* (L.) Holub D. zeilleri (Rouy) Holub D. tristachyum (Pursh) Holub
Дуб скельний *Quercus petraea* (Mattuschka) Liebl.
Егоніхон фіолетово-голубий *Aegonichon purpureo-caeruleum* (L.) Holub
Еритроній собачий зуб *Erythronium dens-canis* L.
Жеруха ніжна *Cardamine tenera* S.G. Gmelin. ex C.A. Mey.

Живокіст серцевидний *Symphytum cordatum* Waldst. et Kit.
 Жостір фарбувальний *Rhamnus tinctoria* Waldst. Et Kit
 Зіновать біла *Chamaecytisus albus* (Hacg.) Rothm.
 Зіновать Рошеля *Chamaecytisus rochellii* (Wierzb.) Rothm.
 Зірочки чохлаваті *Gagea spathacea* (Hayne) Salisb.
 Змієголовник Рюйша *Dracosephalum ruyschiana* L.
 Зозулинець пурпуровий *Orchis purpurea* Huds.
 Зозулині сльози серцелисті *Listera cordata* (L.) R.Br.
 Зозулині сльози яйцевидні *Listera ovata* (L.) R. Br.
 Зозулині черевички справжні *Cypripedium calceolus* L.
 Кадило сарматське *Mellitis sarmatica* Klok.
 Кизил справжній *Cornus mas* L.
 Клокичка пірчаста *Staphylea pinnata* L.
 Клопогін європейський *Cimicifuga europaea* Schipcz. (*C. foetida* auct non L.)
 Комперія Компера *Comperia comperana* (Steven) Aschers. et Garebn
 Коральковець тричінадрізаний *Corallorhiza trifida* Châtel.
 Коручка білувата *Eripactis albensis* Nováková et Rydlo
 Коручка дрібнолиста *Eripactis microphylla* (Ehrh.) Sw.
 Коручка пурпурова *Eripactis purpurata* Smith
 Коручка темно-червона *Eripactis atrorubens* (Hoffm. ex Bernh.) Schult.
 Коручка чемерниколиста *Eripactis helleborine* (L.) Crantz
 Лілія лісова *Lilium martagon* L.
 Лімодорум недорозвинений *Limodorum abortivum* (L.) Sw.
 Лунарія оживаюча *Lunaria rediviva* L.
 Любка дволиста *Platanthera bifolia* (L.) Rich.
 Любка зеленюквіткова *Platanthera chlorantha* (Cust.) Reichenb.
 Малаксис однолистий *Malaxis monophyllos* (L.) Sw.
 Модрина польська *Larix polonica* Racib.
 Молочай волосистий *Euphorbia villosa* s.l.
 Молочай густоволохатоплодий *Euphorbia valdevillosocarpa* Arvat et E. I. Nyarady
 Надбородник безлистий *Eripogium aphyllum* Sw.
 Нарцис вузьколистий *Narcissus angustifolius* Curt.
 Нектароскордій болгарський *Nectaroscordum bulgaricum* Janka
 Неотіанта каптурувата *Neottianthe cucullata* (L.) Schlechter
 Орлики звичайні *Aquilegia vulgaris* L.
 Орлики чорніючі *Aquilegia nigricans* Baumg.
 Осока затінкова *Carex umbrosa* Host
 Осока збіднена *Carex depauperata* Curt. ex With.
 Пальчатокорінник Фукса *Dactylorhiza fuchsii* (Druce) Soó
 Пальчатокорінник римський *Dactylorhiza romana* (Seb.) Soó
 Півники борові *Iris pineticola* Klokov
 Півники злаколисті *Iris graminea* L.
 Півонія кримська *Paeonia daurica* Andr.
 Підсніжник білосніжний *Galanthus nivalis* L.
 Підсніжник ельвеза *Galanthus elwesii* Hook. f.
 Підсніжник складчастий *Galanthus plicatus* M.Bieb.

Плаун річний *Lycoperidium annotinum* L.
 Плаунок швейцарський *Selaginella helvetica* (L.) Spring
 Плющ звичайний *Hedera helix* L.
 Ранник весняний *Scrophularia vernalis* L.
 Регіональний нерія палрмська *Roegneria panormitana* (Parl.) Nevski
 Ремнепелюстник козячий *Himantoglossum caprinum* (M. Bieb.) C. Koch
 Рускус під'язиковий *Ruscus hypoglossum* L.
 Рябчик гірський *Fritillaria montana* Hoppe
 Рябчик шаховий *Fritillaria meleagris* L.
 Секуригера тонка *Securigera elegans* (Pančić) Lassen
 Скополія карніолійська *Scopolia carniolica* Jacq.
 Смілка зеленоквіткова *Silene viridiflora* L.
 Сосна кедрова європейська *Pinus cembra* L.
 Сосна піцундська *Pinus brutia* Ten. var. *pityusa* (Steven) Silba
 Сугайник угорський *Doronicum hungaricum* Riechenb. fil.
 Сунічний дрібноплідий *Arbutus andrachne* L.
 Таволга польська *Spiraea polonica* Blocki
 Тис ягідний *Taxus baccata* L.
 Тюльпан дібровний *Tulipa quercetorum* Klokov et Zoz
 Фіалка біла *Viola alba* Bess.
 Фіалка Джоя *Viola jooi* Janka
 Фісташка туполиста *Pistacia mutica* Fisch. & C.A.Mey.
 Фітеума колосиста *Phyteuma spicatum* L.
 Хамедафна чашкова *Chamaedaphne calyculata* (L.) Moench
 Цибуля ведмежа *Allium ursinum* L.
 Цикламен коський *Cyclamen coum* Mill. (*C. kuznetzovii* Kotov et Czernowa)
 Чина ряба *Lathyrus venetus* (Mill.) Wohlf.
 Чист кримський *Cistus tauricus* J.Presl et C.Presl
 Шафран банатський *Crocus banaticus* J. Gay
 Шафран Гейфелів *Crocus heuffelianus* Herb.
 Щитник гребенястий *Dryopteris cristata* (L.) a. Gray
 Ялівець високий *Juniperus excelsa* Bieb.
 Ялівець смердючий *Juniperus foetidissima* Willd.
 Ясен білоцвітий *Fraxinus ornus* L.

Rare and endangered species of fungi

Helvella monachella Fr. гелвела мохната
Morchella crassipes (Vent.:Fr.) Pers.:Fr. зморшок товстоногий
Morchella steppicola Zer. зморшок степовий
Tuber aestivum Vitt. трюфель літній, трюфель їстівний
Hericium coralloides (Fr.) S.F. Gray герицій кораловидний, герицій альпійський
Grifola frondosa (Fr.) S.F. Gray грифола листянолісова, поліпіл листянолісовий
Grifola umbellata (Fr.) Pil. грифола зонтична, поліпіл зонтичний, баран
Sparassis crispa (Fr.) Fr. спарасис кучерявий, листочня кучерява
Clavariadelphus pistillaris (Fr.) Donk клаваріадельф товкачиковий
Dictyophora duplicata (Bosc.) E. Fischer сітконоска
Mutinus caninus Fr. мутин собачий

Pseudocolus fusiformis (E. Fischer) Lloyd квітохвосник веретенovidний, антурус
Clathrus ruber Pers. клатрус червоний
Strobilomyces floccopus (Vahl.: Fr.) стробіломіцес стовбурчасто-лускатий, лускач
Boletus aereus Bull.:Fr. боровик темно-каштановий
Boletus regius Krombh. боровик королівський, Яєчник
Tylopilus alutarius (Fr.) Henn. тилопіл солодкий
Catathelasma imperiale (Fr.) Sing. катателазма царська
Tricholoma focale (Fr.) Ricken рядовка опеньковидна, арміларія комірчаста
Agaricus romagnesii S. Wasser печериця Романьезі
Agaricus tabularis Pk печериця таблитчаста
Leucoagaricus macrorrhizus Locq. ex Horak леукоагарик довгастокореневий
Macrolepiota puellaris (Fr.) Mos. гриб-зонтик дівочий, лепіота дівоча
Phaeolepiota aurea (Fr.) R. Mre ex Konr. et Maubl. феолепіота золотиста
Galeropsis desertorum Vel. et Dvor. галеропсис пустельний
Amanita caesarea (Scop.: Fr.) Pers.ex Schw. мухомор Цезаря
Amanita solitaria (Bull.: Fr.) Mér. мухомор щетинистий
Lactarius chrysorrheus Fr. хряц-молочник золотисто-жовтий
Lactarius sanguifluus Fr.: Paul. рижик червоний
Russula turci Bres сиріїжка синювата
Gomphus clavatus (Pers.: Fr.) S.F. Gray гомф булавовидний, свиняче вухо
Bovista paludosa Lév. бовіста болотяна, порхавочка болотяна
Muriostoma coliforme (With.: Pers.) Corda міріостома шийкова, міріостома дірчаста,
Laricifomes officinalis (Vill.: Pers.) Kotl. et Pouzar модринофомес лікарський, модринова губка

Rare and endangered species of invertebrates

Вусач альпійський *Rosalia alpina* (L., 1758)
 Вусач великий дубовий західний *Cerambyx cerdo cerdo* (L., 1758)
 Вусач мускусний *Aromia moschata* (L., 1758)
 Жук-олень *Lucanus cervus* L., 1758
 Жук-самітник *Osmoderma eremita* (Scopoli, 1763)
 Ковалик Паррейса *Alaus parreyssi* Steven, 1830
 Красотіл пахучий *Calosoma sycophanta* (L., 1758)
 Турун зморшкуватий *Carabus intricatus* L., 1761
 Турун кримський *Procerus scabrosus tauricus* Bonelli, 1811
 Ведмедиця велика *Pericallia matronula* (L., 1758)
 Ведмедиця Гера *Callimorpha quadripunctaria* (Poda, 1761)
 Ведмедиця-хазяйка *Callimorpha dominula* (L., 1758)
 Ендроміс березовий *Endromis versicolora* (L., 1758)
 Носатка-листовидка *Libythea celtis* (Laicharting in Fuessly, 1782)
 Райдужниця велика *Apatura iris* (L., 1758)
 Сатурнія мала *Eudia pavonia* (L., 1758)
 Сатурнія руда *Aglia tau* (L., 1758)
 Сатурнія середня *Eudia spini* (Dennis et Schiffermüller, 1775)
 Стрічкара тополевий *Limenitis populi* (L., 1758)
 Стрічкарка блакитна *Catocala fraxini* (L., 1758)
 Мегариса рогахвостова *Megarhyssa superba* (Schrank, 1781)
 Мурашка руда *Formica rufa* L., 1761
 Рогахвіст аугур *Urocerus augur* (Klug, 1803)

Rare and endangered species of birds

Косар *Platalea leucorodia*
Коровайка *Plegadis falcinellus*
Лелека чорний *Ciconia nigra*
Гоголь *Vuccephala clangula*
Скопа *Pandion haliaeetus*
Осоїд *Pernis apivorus*
Шуліка рудий *Milvus milvus*
Шуліка чорний *Milvus migrans*
Яструб коротконогий *Accipiter brevipes*
Канюк степовий *Buteo rufinus*
Зміїд *Circaetus gallicus*
Орел-карлик *Hieraaetus pennatus*
Підорлик великий *Aquila clanga*
Підорлик малий *Aquila pomarina*
Могильник *Aquila heliaca*
Беркут *Aquila chrysaetos*
Орлан-білохвіст *Haliaeetus albicilla*
Гриф чорний *Aegyptius monachus*
Балабан *Falco cherrug*
Сапсан *Falco peregrinus*
Підсоколик великий *Falco subbuteo*
Кібчик *Falco vespertinus*
Боривітер степовий *Falco naumanni*
Тетерук *Lyrurus tetrrix*
Глушець *Tetrao urogallus*
Орябок *Tetrastes bonasia*
Журавель сирій *Grus grus*
Голуб-синяк *Columba oenas*
Пугач *Bubo bubo*
Совка *Otus scops*
Сич волохатий *Aegolius funereus*
Сичик-горобець *Glaucidium passerinum*
Сова довгохвоста *Strix uralensis*
Сова бородата *Strix nebulosa*
Слуква *Scolopax rusticola*
Дрімлюга *Caprimulgus europaeus*
Сиворакша *Coracias garrulus*
Жовна зелена *Picus viridis*
Жовна сива *Picus canus*
Жовна чорна *Dryocopus martius*
Дятел середній *Dendrocopos medius*
Дятел біло спинний *Dendrocopos leucotos*
Дятел трипалий *Picoides tridactylus*
Мухоловка мала *Ficedula parva*

Rare and endangered species of amphibian, reptile and mammals

Рахкавка звичайна *Hyla arborea*
Саламандра плямиста *Salamandra salamandra*
Тритон гребенястий *Triturus cristatus*
Тритон карпатський *Triturus montadoni*
Веретільниця ламка *Anquis fragilis*
Гадюка звичайна *Vipera berus*
Мідянка європейська *Coronella austriaca*
Полоз лісовий *Elaphe longissima*
Черепаха болотяна *Emys orbicularis*
Ящірка живородна *Lacerta vivipara*
Мідиця альпійська *Sorex alpinus*
Мідиця кавказька *Sorex volnuchini*
Хохуля звичайна *Desmana moschata*
Вечірниця велика *Nyctalus lasiopterus*
Вечірниця мала *Nyctalus leisleri*
Вечірниця руда *Nyctalus noctula*
Вухань звичайний *Plecotus auritus*
Нетопир лісовий *Pipistrellus nathusii*
Нетопир пігмей *Pipistrellus pygmaeus*
Нічниця в'їччаста *Myotis nattereri*
Нічниця довговуха *Myotis bechsteini*
Нічниця ставкова *Myotis dasycneme*
Широковух європейський *Barbastella barbastellus*
Борсук звичайний *Meles meles*
Ведмідь бурий *Ursus arctos*
Горностай *Mustela erminea*
Кіт лісовий *Felis sylvestris*
Куниця лісова *Martes martes*
Норка європейська *Mustela lutreola*
Рись звичайна *Lynx lynx*
Заєць білий *Lepus timidus*
Бобер європейський *Castor fiber*
Вивірка звичайна *Sciurus vulgaris*
Вовчок ліскулька *Muscardinus avellanarius*
Вовчок сірий *Glis glis*
Мишівка лісова *Sicista betulina*
Нориця татринська *Terricola tatricus*
Соня садова *Eliomys quercinus*
Бізон європейський *Bison bonasus*
Лось європейський *Alces alces*
Олень шляхетний *Cervus elaphus*

Annex 4: Glossary of terms²

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- a) forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance
- b) forest areas that are in or contain rare, threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Annex 5: Summary of the Rainforest Alliance Certification Assessment Process³

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.

³ For detailed information about procedures, contact our headquarters or regional offices through www.rainforest-alliance.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 non-conformance 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 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), 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.

Annex 6. High Conservation Value Forest description

There are six recognized forms of High Conservation Values Forests:

HCV1. Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).

HCV2. Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.

HCV3. Forest areas that are in or contain rare, threatened or endangered ecosystems.

HCV4. Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).

HCV5. Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).

HCV6. Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

More information about defining, identifying and managing of HCVF at a national level can be found:

<http://www.hcvnetwork.org/resources/global-hcv-toolkits>