

**Part III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)**

**1 Scope**

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – Requirements*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

**2 Checklist**

Question	YES / NO*	Reference to scheme documentation
<b>General requirements for SFM standards</b>		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.	Yes	The MC&I Forest Plantation.v2 is the outcome of the review of the MC&I(Forest Plantations). The review was conducted based on the SSP2/2012 document: <i>Rules on Standard Setting Process for Development of Timber Certification Standards</i> .
b) be clear, objective-based and auditable.		
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.		
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.		
		The MC&I Forest Plantation.v2 is structured based on Principles, with associated Criteria and Indicators being formulated for each Principle and Criterion respectively, to ensure a clear and objective-based and auditable standard.
		In specific cases, slightly different Verifiers have been adopted and listed separately for Sabah, Sarawak and Peninsular Malaysia to take into account the regional differences.
		The standard is applicable to all activities for a defined forest plantation management unit (FPMU) with record keeping or documentation of being one of the key requirements of the standard.

Question	YES / NO*	Reference to scheme documentation
<b>Specific requirements for SFM standards</b>		
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.	Yes	MC&I Forest Plantation.v2 – C3.3, C5.1, C6.3, I6.3.1, I6.3.2, I6.3.3, C6.4, I6.4.1, I6.4.2, C6.5, I10.2.1, I10.2.2, C10.6
5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.	Yes	MC&I Forest Plantation.v2 – C4.4, C6.1, C7.2, C8.1, I8.1.2, C8.4, I10.8.1
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	Yes	MC&I Forest Plantation.v2 – V5.2.1, V5.6.2, C7.1(b),(c),(d),(h), V9.1.1, V10.2.2, V10.3.2, V10.5.1
5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.	Yes	MC&I Forest Plantation.v2 – P7, I7.1.1, C7.2
5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.	Yes	MC&I Forest Plantation.v2 – V5.2.1, P7, C7.1(a-d)
5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.	Yes	MC&I Forest Plantation.v2 – C7.4, C8.5, C9.3
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	Yes	MC&I Forest Plantation.v2 – C8.1, C8.2, C8.4

Note: **P** – Principle, **C** – Criterion, **I** – Indicator, and **V** – Verifier

Question	YES / NO*	Reference to scheme documentation
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	MC&I Forest Plantation.v2 – C7.3, I7.3.2
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	Yes	MC&I Forest Plantation.v2 – I5.1.2, I5.5.1, C5.6, I5.6.2, C6.5, C10.6
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	Yes	MC&I Forest Plantation.v2 – C5.1, C5.2, C5.3 C5.4 C7.1(c), C10.3, I10.3.1
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <ul style="list-style-type: none"> <li>a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and</li> <li>b) entails a small proportion of forest type; and</li> <li>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</li> <li>d) makes a contribution to long-term conservation, economic, and social benefits.</li> </ul>	Yes	MC&I Forest Plantation.v2 – C6.10, I6.10.1, I6.10.2
5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.	No	Currently, there are no abandoned agricultural lands, and no emphasis has been placed on converting treeless land into forest in Malaysia.
<b>Criterion 2: Maintenance of forest ecosystem health and vitality</b>		
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	Yes	MC&I Forest Plantation.v2 – C6.3, I8.1.1, C9.3, C10.1, I10.2.1, C10.4, C10.7

Question	YES / NO*	Reference to scheme documentation
5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	Yes	MC&I Forest Plantation.v2 – C7.1(e), C8.2, I10.4.3, I10.7.1
5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.	Yes	MC&I Forest Plantation.v2 – C7.1(e), C8.2, I10.7.1
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	Yes	MC&I Forest Plantation.v2 – C5.5, C6.5, C7.1(c-f), C10.6
5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	Yes	MC&I Forest Plantation.v2 – I6.3.2, C10.2, C10.3, C10.7
5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	Yes	MC&I Forest Plantation.v2 – I6.2.4, I10.7, V10.7.1
5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	Yes	MC&I Forest Plantation.v2 – C6.5, C6.7, I6.7.1, I10.1.1, I10.4.1, C10.6
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	Yes	MC&I Forest Plantation.v2 – C6.6, C7.1(c), C10.7, I10.7.2
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.	Yes	MC&I Forest Plantation.v2 – C6.6

Question	YES / NO*	Reference to scheme documentation
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	Yes	MC&I Forest Plantation.v2 – C6.6
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	Yes	MC&I Forest Plantation.v2 – I4.2.3, I4.2.5, I10.7.2, V10.7.2
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	Yes	MC&I Forest Plantation.v2 – C10.7, I10.7.2
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b>		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	Yes	MC&I Forest Plantation.v2 – I5.1.2, V5.1.2, I5.2.1, I5.4.1, C5.5, C10.3
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Yes	MC&I Forest Plantation.v2 – C5.1, C5.2, I5.2.2, I5.4.1
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.	Yes	MC&I Forest Plantation.v2 – I5.2.2, V5.2.2, C5.5, I5.5.1, I5.5.2, C7.1(a-b), C10.2
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	Yes	MC&I Forest Plantation.v2 – C5.4, C5.5, I5.6.2
5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.	Yes	MC&I Forest Plantation.v2 – I5.1.2, C6.5, C10.6
5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	Yes	MC&I Forest Plantation.v2 – C5.2, C5.6
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.	Yes	MC&I Forest Plantation.v2 – C1.5, I1.5.2, I6.2.4

Question	YES / NO*	Reference to scheme documentation
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	Yes	MC&I Forest Plantation.v2 – I6.1.3, I6.5.1, I6.5.3, I10.6.1
<b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b>		
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	Yes	MC&I Forest Plantation.v2 – C6.2, I6.2.1, C6.3(b), I6.3.2, C6.4, C10.3
5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of: a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists; c) endangered or protected genetic <i>in situ</i> resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.	Yes	MC&I Forest Plantation.v2 – I6.2.1, I6.2.2, I6.2.5, C6.4, I6.4.1, C9.1
5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.	Yes	MC&I Forest Plantation.v2 – I6.2.1, I6.2.4, C6.3(b), I6.3.2
5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.	Yes	MC&I Forest Plantation.v2 – C6.3(a), I6.3.1
5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.	Yes	MC&I Forest Plantation.v2 – C6.9, I6.9.1, C10.4
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Yes	MC&I Forest Plantation.v2 – I6.2.2, C10.2, I10.2.2, C10.5

Question	YES / NO*	Reference to scheme documentation
5.4.7 Genetically-modified trees shall not be used.	Yes	MC&I Forest Plantation.v2 – C6.8
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	No	MC&I Forest Plantation.v2 – C10.3
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	Yes	MC&I Forest Plantation.v2 – I3.4.1
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	Yes	MC&I Forest Plantation.v2 – I6.3.2, I6.3.3, C6.5, I10.2.2, C10.6
5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.	Yes	MC&I Forest Plantation.v2 – I6.2.1, I10.2.2, I10.6.1
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	Yes	MC&I Forest Plantation.v2 – C8.2(c)
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	Yes	MC&I Forest Plantation.v2 – C6.2, I6.2.1, C6.4, I6.4.2
<b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>		
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	Yes	MC&I Forest Plantation.v2 – C3.3, C5.5, C6.5, C10.6, C10.8
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take full account of these areas.	Yes	MC&I Forest Plantation.v2 – C3.3, V3.3.1, C7.1(h), I9.1.1, V9.1.1

Question	YES / NO*	Reference to scheme documentation
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.	Yes	MC&I Forest Plantation.v2 – I5.5.1, C6.5, C10.6
5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.	Yes	MC&I Forest Plantation.v2 – C5.5, C6.6, C10.6, C10.7
5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	Yes	MC&I Forest Plantation.v2 – C5.5, C6.5, I6.5.3, I10.6.1
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	Yes	MC&I Forest Plantation.v2 – C4.1, I4.1.1, I4.1.2, C5.2
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	Yes	MC&I Forest Plantation.v2 – C4.2, I4.2.2, I4.2.3, I4.2.4, I4.2.5
5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.	Yes	MC&I Forest Plantation.v2 – C2.1, C2.2, C3.1



Question	YES / NO*	Reference to scheme documentation
<p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C2.2, C2.3, C3.1, I3.1.2, I3.1.3, I3.3.2, C3.4, C4.5</p> <p>GD-FP 1/2014 Guidelines for the Interpretation of Requirements of MC&amp;I Forest Plantation.v2 – Interpretation of free, prior and informed consent (FPIC)</p>
<p>5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C10.8</p>
<p>5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C3.3, I3.3.1</p>
<p>5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C5.5, I5.5.2</p>
<p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C1.6, I1.6.2, I4.1.1, C7.3, I7.3.2</p>
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	Yes	<p>MC&amp;I Forest Plantation.v2 – C3.4, I3.4.1, I6.2.3, C9.2</p>

Question	YES / NO*	Reference to scheme documentation
5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.	Yes	MC&I Forest Plantation.v2 – C4.5, I6.2.3, C7.4, I9.1.1, C9.2, I9.2.1
5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	Yes	MC&I Forest Plantation.v2 – C4.2, I4.2.1, I4.2.2, I4.2.3, I4.2.4, I4.2.5, I6.6.1
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	Yes	MC&I Forest Plantation.v2 – I4.1.1, I4.2.3, C7.3, I7.3.2
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	MC&I Forest Plantation.v2 – C1.3, I1.3.1, V1.3.1
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	Yes	MC&I Forest Plantation.v2 – C7.2, I7.2.1, I7.2.2, C8.2, C8.4
<b>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>		
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.	Yes	MC&I Forest Plantation.v2 – C1.1, C1.2, C1.3
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	MC&I Forest Plantation.v2 – C1.5, C6.2

\* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.