## PEFC Checklist - Sustainable Forest Management (PEFC ST 1003:2018)

### 1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1003:2018, *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

| **PEFC benchmark requirement** | **YES / NO\*** | **Reference to system documentation (including quotation of relevant text)** |
| --- | --- | --- |
| **Context of the national standard and the organisations applying a PEFC endorsed standard** | | |
| 4.1 General  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;  Note: An example of a situation where a requirement can be defined as being at another level (e.g. group/regional) is monitoring of forest health. Through monitoring of forest health at regional level, and communicating of results at the FMU level, the objective of the requirement is met without the necessity to carry out the individual monitoring of each forest management unit. | Y | 3.1  The organization shall be guided by attitudes and actions that ensure compliance with federal, state, and municipal laws and international agreements, treaties, and conventions ratified by the country that are applicable to forest management, as well as applicable requirements for assessing compliance.  **The organization shall comply with laws applicable to forest management issues such as protecting nature and the environment, threatened and protected species, rights of ownership, use of land and forest resources and/or land tenure rights by the organization, as well as the legal, customary, and traditional rights of indigenous peoples and traditional and local communities and other affected stakeholders. Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.**  **The organization shall protect the forest in order to prevent illegal or unauthorized activities.** |
| b) be clear, performance based and auditable; | Y | 3.6.2 D)  The organization shall plan, implement, and maintain an internal auditing program in order to verify compliance with the requirements of this Standard  d) evidence that the audit process is conducted in an objective and impartial manner |
| c) apply to activities of all forest operators in the defined forest area who have an impact on achieving compliance with the requirements; | Y | 3Compliance with each criterion is determined by assessing compliance with a group of specific indicators, which can be quantitative or qualitative.  In this way, a hierarchy of the principles, criteria, and indicators is defined (see Figure 1) that **establishes monitoring and demonstrates good forest management and serves as a reference for assessing the quality of forest management.** |
| d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards; | Y | 3.2.1  **Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.**  Indicators:  a) Evidence that the risks and opportunities related to compliance with the requirements of this Standard are continuously identified and considered in forest management according to the size, intensity of management activities, and scale of operations, considering changes in the current scenario.  b) Evidence that management planning is intended to maintain, preserve, or improve biodiversity in the landscape, ecosystem, species, and genetic levels.  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  — Forest management scheme to be implemented  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  — Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur  — Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems  — Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species  — Inventory of the managed forest resources  — Recommendations for alternative raw material sources for the sustainable forest management plan  d) Evidence that the sustainable forest management plan was drafted and is monitored by a qualitied professional  e) Evidence that the parties responsible for the sustainable forest management plan are clearly defined and identified  f) Evidence that the sustainable forest management plan is reviewed periodically, at intervals compatible with the frequency of monitoring and modifications in the organization' management  g) Evidence that the monitoring data are incorporated into the sustainable forest management plan  h) Evidence that a summary of the sustainable forest management plan that is appropriate for the scope, organization's size, and intensity of forest management activities is available to the public and contains information about the overall objectives and principles of forest management. Confidential information, or sensitive information related to the protection of cultural sites or natural resources may be omitted.  i) Existence of documented procedures for the following activities in order to ensure that they are carried out as described in the sustainable forest management plan:  — Selection and location of areas for plantations and transport network  — Seedling production  — Establishment  — Reform  — Forestry activities  — Clearing and maintenance of roadways  — Harvesting and transport of forest production  j) Evidence that the documented procedures are kept up to date. |
| e) specify “100% PEFC certified”, or another system specific claim, as claim to be used to communicate the origin of products in an area covered by the standard to customers with a PEFC chain of custody;  Note: System specific claims of PEFC endorsed standards and PEFC Council approved abbreviations of such claims and the claim “100% PEFC certified”, and their translations into languages other than English, are published online on the PEFC website www.pefc.org. | Y/N | 3.2.4 D)  A procedure shall be implemented to track the flow of forest production from the assessed forest management unit, from its origin until transfer of ownership.  a) Existence of sales and/or delivery documentation for commercialized goods from the assessed forest management unit that includes the following data  — Client identification  — Supplier identification  — Identification of each product, including common name and scientific (species) name  — Quantity delivered for each product covered by the documentation  — Date document was issued  — Claim for each product from the assessed forest management unit included in the aforementioned documentation  — Code pertaining to the supplier’s forest management unit certification**;**  **PEFC Brazil procedure SG 03.01:**  12. Additional requirements for use of PEFC trademarks  The requirements described here are based on PEFC ST 2001 PEFC Trademarks Rules and PEFC certification standards for forest management and chain of custody.  12.1 Only PEFC certified products under an approved certification scope should be claim as such. Sales and/or delivery documents for products commercialized as certified must include at least the following information:  a) the PEFC claim for each certified product. For forest management the declaration is 100% PEFC Certified. Chain of custody includes other claims as defined in this document.  b) the numbering of the certificate of conformity corresponding to the origin (certified organization or forest management unit(s)). |
| f) require that where owners/managers of forests are selling products from areas other than covered by the standard, only products from areas covered by the standard are sold with the claim “100% PEFC-certified” or a system specific claim; | Y/N | 3.2.4 E)  A procedure shall be implemented to track the flow of forest production from the assessed forest management unit, from its origin until transfer of ownership.  e) Evidence that only products from the assessed forest management unit were commercialized with the respective claim.  PEFC Brazil procedure SG 03.01:  12. Additional requirements for use of PEFC trademarks  The requirements described here are based on PEFC ST 2001 PEFC Trademarks Rules and PEFC certification standards for forest management and chain of custody.  12.1 Only PEFC certified products under an approved certification scope should be claim as such. Sales and/or delivery documents for products commercialized as certified must include at least the following information:  a) the PEFC claim for each certified product. For forest management the declaration is 100% PEFC Certified. Chain of custody includes other claims as defined in this document.  b) the numbering of the certificate of conformity corresponding to the origin (certified organization or forest management unit(s)). |
| g) require that claims on the origin of products in an area covered by the standard are only made by forest owners/managers covered by a PEFC recognised certificate issued against the standard; | Y | 3.2.4 E)  A procedure shall be implemented to track the flow of forest production from the assessed forest management unit, from its origin until transfer of ownership.  e) Evidence that only products from the assessed forest management unit were commercialized with the respective claim. |
| h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer; | Y | 3.2.4 B) e D)  A procedure shall be implemented to track the flow of forest production from the assessed forest management unit, from its origin until transfer of ownership.  b) Existence of procedures to identify, store, separate, and track forest production from the assessed forest management unit, from its origin until transfer of ownership  d) Existence of sales and/or delivery documentation for commercialized goods from the assessed forest management unit that includes the following data  **— Client identification**  **— Supplier identification**  **— Identification of each product, including common name and scientific (species) name**  **— Quantity delivered for each product covered by the documentation**  **— Date document was issued**  **— Claim for each product from the assessed forest management unit included in the aforementioned documentation**  **— Code pertaining to the supplier’s forest management unit certification** |
| i) include an overview of applicable legislation, if requirements of this benchmark are not reflected in the regional, national or sub-national standard, because they are already addressed through the legislation. | Y | 3.1.1  The organization shall carry out activities related to establishing and managing its forests in accordance with laws, agreements, treaties, and conventions applicable to forest management.  Indicators:  a) Existence of procedures to identify and access laws, agreements, treaties, and conventions applicable to forest management and determine how these obligations apply to the organization  b) Existence of records providing compliance with legislation, agreements, treaties, and conventions applicable to forest management  c) Evidence that the organization respects human rights as defined in the Universal Declaration of Human Rights  d) Existence of anti-corruption mechanisms in line with existing legislation, as well as evidence of implementation and corrective measures (when necessary) |
| 4.2 Understanding the needs and expectations of affected stakeholders | | |
| The standard requires that the organisation shall determine: | | |
| a) the affected stakeholders that are relevant to the sustainable forest management; | Y | 3.5.1  The organization shall identify and assess the environmental, social, and economic values for stakeholders. Impacts on these values shall be identified and assessed, and measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts shall be defined and implemented.  Indicators:  **a) Evidence that stakeholders affected by forest management are identified and mapped**  **b) Evidence that the environmental, social, and economic values for stakeholders that could possibly be affected by the forest management are identified and assessed, considering stakeholder needs and expectations. This assessment shall be realized at a detail level and frequency compatible with the scale, intensity, and risk of management activities.**  c) Evidence that the potential environmental, social, and economic impacts of forest management on stakeholders are identified and assessed via a participatory process.  d) Evidence that measures have been defined and **implemented to avoid, minimize, and (when necessary) compensate for negative impacts on the environmental, social, and economic values for stakeholders as a result of forest management**  e) Evidence that **operational planning includes recommendations to avoid, minimize, and mitigate negative impacts on the environmental, social, and economic values for stakeholders.**  f) Evidence of measures to maintain or improve positive impacts on the environmental, social, and economic values for stakeholders  **g) Evidence that non-predatory habits and customs of relevant interest indicated by local and traditional communities and indigenous peoples are respected, in accordance with relevant legislation.** |
| b) the relevant needs and expectations of these stakeholders. | Y |
| 4.3 Determining the scope of the management system | | |
| 4.3.1 The standard requires that the organisation shall determine the boundaries and applicability of the management system to establish its scope. | Y | 3.2.1 C)  **Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.**  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  — Forest management scheme to be implemented  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  — Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur  — Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems  — Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species  — Inventory of the managed forest resources  — Recommendations for alternative raw material sources for the sustainable forest management plan |
| 4.3.2 The standard requires that 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 practices. This shall form a basis for a cycle of continuous improvement. | Y | 3.2.1  **Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.**  Indicators:  **a) Evidence that the risks and opportunities related to compliance with the requirements of this Standard are continuously identified and considered in forest management according to the size, intensity of management activities, and scale of operations, considering changes in the current scenario.**  b) Evidence that management planning is intended to maintain, preserve, or improve biodiversity in the landscape, ecosystem, species, and genetic levels.  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  **— Forest management scheme to be implemented**  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  **— Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur**  **— Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems**  **— Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species**  — **Inventory** of the managed forest resources  — Recommendations for alternative raw material sources for the sustainable forest management plan  d) Evidence that the sustainable forest management plan was drafted and **is monitored** by a qualitied professional  e) Evidence that the parties responsible for the sustainable forest management plan are clearly defined and identified  **f) Evidence that the sustainable forest management plan is reviewed periodically, at intervals compatible with the frequency of monitoring and modifications in the organization' management**  **g) Evidence that the monitoring data are incorporated into the sustainable forest management plan**  h) Evidence that a summary of the sustainable forest management plan that is appropriate for the scope, organization's size, and intensity of forest management activities is available to the public and contains information about the overall objectives and principles of forest management. Confidential information, or sensitive information related to the protection of cultural sites or natural resources may be omitted.  i) Existence of documented procedures for the following activities in order to ensure that they are carried out as described in the sustainable forest management plan:  — Selection and location of areas for plantations and transport network  — Seedling production  — Establishment  — Reform  — Forestry activities  — Clearing and maintenance of roadways  — Harvesting and transport of forest production  j) Evidence that the documented procedures are kept up to date.  3.3.1  The organization shall **identify and assess environmental value and impacts**, including defining and implementing measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts  Indicators:  a) Evidence that environmental values present in the forest management unit and surround areas that may be potentially affected by management activities are identified and assessed. This assessment should be realized at a detail level and frequency compatible with the scale, intensity, and risk of management activities.  b) Evidence that the significance of the potential impacts from management activities on the identified environmental values have been identified and assessed.  c) Evidence that measures have been defined and implemented to avoid, minimize, and (when necessary) compensate for these impacts on the environmental values.  d) Evidence that the documented operational procedures consider recommendations to avoid, minimize, and mitigate negative impacts on environmental values.  3.5.1  The organization shall identify and assess the environmental, social, and economic values for stakeholders. Impacts on these values shall be identified and assessed, and measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts shall be defined and implemented.  3.6.1  The forest organization shall implement a monitoring and measurement plan to assess its performance that is in line with the scale, intensity, and objectives of management. |
| 5. Leadership | | |
| 5.1 The standard requires that the organisation shall provide a commitment: | | |
| a) to comply with the sustainable forest management standard and other applicable requirements of the certification system; | Y | 3.1.5  The organization shall possess a public commitment to perform sustainable forest management according to the applicable requirements for assessing compliance.  Indicators:  a) Existence of a formal commitment by the organization to perform sustainable forest management and improve it continuously in line with the applicable requirements for assessing compliance.  b) Evidence that the commitment cited in the previous indicator is available to the public. |
| b) to continuously improve the sustainable forest management system. | Y |
| 5.2 The standard requires that this commitment shall be publicly available. | Y |
| 5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned. | Y | 3.2.1 E)  Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  e) Evidence that the parties responsible for the sustainable forest management plan are clearly defined and identified; |
| 6. Planning | | |
| 6.1 Actions to address risks and opportunities | | |
| 6.1.1 The standard requires that the organisation shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management. Size and scale of the operations of the organisation shall be considered. | Y | 3.2.1 A)  Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  Indicators:  a) Evidence that the risks and opportunities related to compliance with the requirements of this Standard are continuously identified and considered in forest management **according to the size, intensity of management activities, and scale of operations**, considering changes in the current scenario.  3.3.1 A)  The organization shall identify and assess environmental value and impacts, including defining and implementing measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts  Indicators:  a) Evidence that environmental values present in the forest management unit and surround areas that may be potentially affected by management activities are identified and assessed. This assessment should be realized at a detail level and frequency compatible with the scale, intensity, and risk of management activities.  3.5.1 B)  The organization shall identify and assess the environmental, social, and economic values for stakeholders. Impacts on these values shall be identified and assessed, and measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts shall be defined and implemented.  Indicators:  b) Evidence that the environmental, social, and economic values for stakeholders that could possibly be affected by the forest management are identified and assessed, considering stakeholder needs and expectations. This assessment shall be realized at a detail level and frequency compatible with the scale, intensity, and risk of management activities. |
| 6.1.2 The standard requires that inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the requirements described in this international benchmark standard. | Y | 3.2.1  Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  Indicators:  a) Evidence that the risks and opportunities related to compliance with the requirements of this Standard are continuously identified and considered in forest management according to the size, intensity of management activities, and scale of operations, considering changes in the current scenario.  b) Evidence that management planning is intended to maintain, preserve, or improve biodiversity in the landscape, ecosystem, species, and genetic levels.  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  — Forest management scheme to be implemented  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  — Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur  — Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems  — Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species  — Inventory of the managed forest resources  — Recommendations for alternative raw material sources for the sustainable forest management plan  d) Evidence that the sustainable forest management plan was drafted and is monitored by a qualitied professional  e) Evidence that the parties responsible for the sustainable forest management plan are clearly defined and identified  f) Evidence that the sustainable forest management plan is reviewed periodically, at intervals compatible with the frequency of monitoring and modifications in the organization' management  g) Evidence that the monitoring data are incorporated into the sustainable forest management plan  h) Evidence that a summary of the sustainable forest management plan that is appropriate for the scope, organization's size, and intensity of forest management activities is available to the public and contains information about the overall objectives and principles of forest management. Confidential information, or sensitive information related to the protection of cultural sites or natural resources may be omitted.  i) Existence of documented procedures for the following activities in order to ensure that they are carried out as described in the sustainable forest management plan:  — Selection and location of areas for plantations and transport network  — Seedling production  — Establishment  — Reform  — Forestry activities  — Clearing and maintenance of roadways  — Harvesting and transport of forest production  j) Evidence that the documented procedures are kept up to date. |
| 6.2 Management plan | | |
| 6.2.1 The standard requires that management plans shall be: | | |
| a) elaborated and periodically updated or continually adjusted; | Y | 3.2.1  **Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.**  Indicators:  a) Evidence that the risks and opportunities related to compliance with the requirements of this Standard are continuously identified and considered in forest management according to the size, intensity of management activities, and scale of operations, considering changes in the current scenario.  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  **— Forest management scheme to be implemented**  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  **— Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur**  **— Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems**  **— Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species**  **— Inventory of the managed forest resources**  — Recommendations for alternative raw material sources for the sustainable forest management plan |
| b) appropriate to the size and use of the forest area; | Y |
| c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and | Y |
| d) adequately covering forest resources. | Y |
| 6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area. | Y | 3.2.1 C)  Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  **— Forest management scheme to be implemented**  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  **— Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur**  **— Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems**  **— Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species**  **— Inventory of the managed forest resources**  — Recommendations for alternative raw material sources for the sustainable forest management plan |
| 6.2.3 The standard requires that management plans shall include at least a description of the current forest management unit, long-term objectives, and the average annual allowable cut, including its justification. | Y |
| 6.2.4 The standard requires that the annually allowable use of non-wood forest products shall be included in the management plan where forest management covers commercial use of non-wood forest products at a level which can have an impact on their long-term sustainability. | Y |
| 6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation and damage to forest ecosystems. | Y |
| 6.2.6 The standard requires that management plans shall take into account the results of scientific research. | Y | 3.4  Implementation of forest management operations shall consider the conservation and maintenance of native ecosystems, water, soils, and the air, and **incorporate research findings.** |
| 6.2.7 The standard requires that a summary of the management plan, appropriate to the scope and scale of forest management, shall be publicly available and shall include information on the general objectives and forest management principles. | Y | 3.2.1 H) - Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  h) Evidence that a summary of the sustainable forest management plan that is appropriate for the scope, organization's size, and intensity of forest management activities is available to the public and contains information about the overall objectives and principles of forest management. Confidential information, or sensitive information related to the protection of cultural sites or natural resources may be omitted. |
| 6.2.8 The standard requires that the publicly available summary of the management plan may exclude confidential business and personal information and other information made confidential by applicable legislation or for the protection of cultural sites or sensitive natural resource features. | Y |
| 6.3 Compliance requirements | | |
| 6.3.1 Legal compliance | | |
| 6.3.1.1 The standard requires that the organisation shall identify and have access to the legislation applicable to its forest management and determine how these compliance obligations apply to the organisation.  Note: For a country which has signed a FLEGT Voluntary Partnership Agreement (VPA) between the European Union and the producing country, the “legislation applicable to forest management” is defined by the VPA agreement. | Y | 3.1.1 A) - The organization shall carry out activities related to establishing and managing its forests in accordance with laws, agreements, treaties, and conventions applicable to forest management.  Indicators:  a) Existence of procedures to identify and access laws, agreements, treaties, and conventions applicable to forest management and determine how these obligations apply to the organization |
| 6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes. | Y | 3.1.1 B) - The organization shall carry out activities related to establishing and managing its forests in accordance with laws, agreements, treaties, and conventions applicable to forest management.  b) Existence of records providing compliance with legislation, agreements, treaties, and conventions applicable to forest management.  3.1.2 - The organization's rights of ownership and of the use of land and forest resources and/or land tenure rights shall be clearly defined, documented, and established for the forest management unit. Similarly, **legal, customary, and traditional rights related to the forest management unit shall be identified, recognized, and respected according to current legislation and applicable treaties and international agreements ratified by the country.**  3.1.3 A), B) and G) - Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.  Indicators:  a) Evidence that social security/pension for all workers is in compliance with current legislation. When there are pending issues related to social security/pension, the organization shall prove it is monitoring these pending issues and working to correct them.  b) Evidence that all aspects related to labor legislation are in compliance with current legislation including collective or individual agreements, collective conventions, and regulatory labor standards.  g) Evidence that the organization is in compliance in terms of payment of royalties and appliable taxes and tributes. When payments are pending, a plan to pay off the debts shall be made with the creditor or institution. |
| 6.3.1.3 The standard requires that where no anti-corruption legislation exists, the organisation must take alternative anti-corruption measures appropriate to the risk of corruption. | Y | 3.1.1 D) - The organization shall carry out activities related to establishing and managing its forests in accordance with laws, agreements, treaties, and conventions applicable to forest management.  Indicators:  d) Existence of anti-corruption mechanisms in line with existing legislation, as well as evidence of implementation and corrective measures (when necessary) |
| 6.3.1.4 The standard requires that measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities. | Y | 3.1.4 A) and B) - The organization shall implement measures to ensure the production of the forest management unit against illegal or unauthorized activities such as extraction of wood or other products, land use, hunting, fishing, fires, etc.  Indicators:  a) Existence of mechanisms to protect the forest management unit and control illegal or unauthorized activities there according to the size of the organization and intensity of management activities.  b) Existence of records of illegal or unauthorized activities within the forest management unit and measures taken to avoid or minimize such activities. |
| 6.3.2 Legal, customary and traditional rights related to the forest land | | |
| 6.3.2.1 The standard requires that property rights, tree ownership and land tenure arrangements shall be clearly defined, documented and established for the relevant management unit. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.  Note: Guidance for the handling of tenure arrangements can be obtained from the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security. | Y | 3.1.2 A), D) and E) - The organization's rights of ownership and of the use of land and forest resources and/or land tenure rights shall be clearly defined, documented, and established for the forest management unit. Similarly, legal, customary, and traditional rights related to the forest management unit shall be identified, recognized, and respected according to current legislation and applicable treaties and international agreements ratified by the country.  Indicators:  a) Evidence that legal, customary, and traditional rights related to the forest management units are identified, recognized, and respected according to current legislation and applicable treaties and international conventions ratified by the country  d) Evidence that local communities are identified and their legal rights are respected by forest management  e) Evidence that the organization's rights of ownership, land use, and use of forest resources and/or land tenure rights are long-term (lasting at least one full rotation or harvesting cycle) and are documented and established for the forest management unit according to current legislation |
| 6.3.2.2 The standard requires that forest practices and operations 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. | Y |
| 6.3.2.3 The standard requires that forest practices and operations shall respect human rights as defined by the Universal Declaration on Human Rights. | Y | 3.1.1 C) - The organization shall carry out activities related to establishing and managing its forests in accordance with laws, agreements, treaties, and conventions applicable to forest management.  Indicators:  c) Evidence that the organization respects human rights as defined in the Universal Declaration of Human Rights |
| 6.3.3 Fundamental ILO conventions | | |
| 6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.  Note: In countries where the fundamental ILO conventions have been ratified, the requirements of 6.3.3.1 apply. In countries where a fundamental convention has not been ratified and its content is not covered by applicable legislation, specific requirements shall be included in the forest management standard. | Y | 3.1.3 C) - Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.  Indicators:  c) Evidence of compliance with fundamental ILO conventions, as well as other ILO conventions ratified by the country.  NOTE When conflicts exist between legislation and fundamental conventions (causing compliance with a convention to lead to illegality in forest management), legislation shall prevail. |
| 6.3.4 Health, safety and working conditions | | |
| 6.3.4.1 The standard requires that forest operations 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. | Y | 3.1.3 J) - Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.  Indicators:  j) Existence of a workplace health and safety program in line with legal requirements, implemented in such a way that risks to health and accidents can be identified and measures can be implemented to protect workers from work-related risks.  3.2.5 - The organization shall ensure that forest managers, service providers, workers, and forest owners are trained and updated with regard to sustainable forest management as a prerequisite for planning and for the forest management practices described in this Standard.  Indicators:  a) Existence of an ongoing training program for management and workers in order to ensure that the sustainable forest management plan, procedures, and operational guidelines are correctly understood and carried out, including:  — Operational procedures and guidelines  — Safe working practices and guidelines related to the risks involved in work and preventive measures  — Environmental concerns related to activities  b) Existence of records of trainings held according to the established program. |
| 6.3.4.2 The standard requires that 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. Working hours and leave shall comply with national laws or applicable collective agreements.  Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work. | Y |
| 6.3.4.3 The standard requires that wages of local and migrant forest workers as well as of contractors and other operators operating in PEFC-certified areas shall meet or exceed at least legal, industry minimum standards or, where applicable, collective bargaining agreements.  Note: Where wages are below the living wage of a country, steps should be taken to attain increased wages towards a living wage level over time in addition to increases for inflation. | Y | 3.1.3 D), E) and F) - Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.  Indicators:  d) Evidence that the organization promotes equal opportunities without discrimination, including a workplace free of harassment and promotion of gender equality.  e) Existence of effective mechanisms to report and eradicate cases of harassment and discrimination that include confidentiality in order to avoid problems and potential penalties to affected parties.  f) Evidence that worker wages meet or exceed the legal minimum or existing workplace wage agreements or minimum wage agreements in the region, when applicable. |
| 6.3.4.4 The standard requires that the organisation is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted. | Y |
| 7. Support | | |
| 7.1 Resources | | |
| 7.1.1 The standard requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system. | Y | 3.2.3 - The organization shall determine and provide the resources needed to establish, implement, maintain, and continuously improve the sustainable forest management system.  Indicators:  a) Existence of a budget plan with planned environmental, social, and operational investments and costs that ensure implementation of the sustainable forest management plan.  b) Evidence that the organization has human resources compatible with the activities described in the sustainable forest management plan  c) Evidence that the forest management is economically viable, considering the possibilities of new markets and economic activities related to all the relevant forest goods and services, when applicable. |
| 7.2 Competence |  |  |
| 7.2.1 The standard requires that forest managers, contractors, employees and forest owners shall be provided with sufficient information and kept up-to-date through continuous training in relation to sustainable forest management, as a precondition for all management planning and practices described in this benchmark. | Y | 3.2.5 - The organization shall ensure that forest managers, service providers, workers, and forest owners are trained and updated with regard to sustainable forest management as a prerequisite for planning and for the forest management practices described in this Standard.  Indicators:  a) Existence of an ongoing training program for management and workers in order to ensure that the sustainable forest management plan, procedures, and operational guidelines are correctly understood and carried out, including:  — Operational procedures and guidelines  — Safe working practices and guidelines related to the risks involved in work and preventive measures  — Environmental concerns related to activities  b) Existence of records of trainings held according to the established program. |
| 7.3 Communication |  |  |
| 7.3.1 The standard requires that effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided. | Y | 3.5.3 A) - The organization shall implant mechanisms to communicate, disseminate, and resolve complaints, conflicts, and litigation with stakeholders.  Indicators:  a) Existence of programs implemented for consultations, dissemination, and dialog channels that allow effective communication with local and traditional communities, indigenous peoples, and other stakeholders related to forest management |
| 7.4 Complaints |  |  |
| 7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions. | Y | 3.5.3 B) - The organization shall implant mechanisms to communicate, disseminate, and resolve complaints, conflicts, and litigation with stakeholders.  Indicators:  b) Existence of appropriate mechanisms to resolve complaints, conflicts, and litigation related to forest management operations  3.1.2 F) - The organization's rights of ownership and of the use of land and forest resources and/or land tenure rights shall be clearly defined, documented, and established for the forest management unit. Similarly, legal, customary, and traditional rights related to the forest management unit shall be identified, recognized, and respected according to current legislation and applicable treaties and international agreements ratified by the country.  f) Existence of suitable mechanisms to resolve complaints, conflicts, and litigation related to the organization's rights of ownership, use of land and forest resources, and/or land tenure rights  3.1.3 H) - Laws related to labor, social security, taxes, and workplace health and safety shall be complied with, along with collective and/or individual agreements, collective conventions, and fundamental ILO conventions.  Indicators:  h) Existence of appropriate mechanisms to resolve complaints, conflicts, and litigation related to working conditions, labor and social security/pension issues, and labor-related taxes. |
| 7.5 Documented Information |  |  |
| 7.5.1 The standard requires that the organisation’s management system shall include documented information required by the standard and determined by the organisation as being necessary for the effectiveness of the sustainable forest management system. | Y | 3.2.1 C), F), G) and J) - Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  Indicators:  c) Existence of a documented sustainable forest management plan that encourages diversified production of goods and services over the long term, and is compatible with the size of the forest management unit and scale of operations at the institution, containing:  — The objectives of the sustainable forest management plan, including those related to maintaining and protecting the social, environmental, and economic functions of the forests  — Management conditions as a function of specific regional and local characteristics  — Forest management scheme to be implemented  — Justification of the economic viability of the management  — Roadway/transport system  — Estimated age at harvest according to the type of management  — Estimated growth and production by type of product to be harvested  — Where non-wood products are commercially utilized, document the permitted annual rate of use, when this might affect long-term sustainability  — Description and mapping of resources managed by the organization, with descriptions of land use and occupation  — Surveys of topography, soil classes or types, vegetation typologies, as well as available water resources  — Existence of a multi-annual program for planting or reform, harvesting, and maintenance  — Plans to prevent, combat, and mitigate damage from fires and other incidents which are appropriate to the risk that these events might occur  — Environmental safeguards that specify how to minimize risks of degradation and damage to forest ecosystems  — Specific measures to protect and preserve wild flora and fauna, particularly rare, threatened, endemic, and protected species  — Inventory of the managed forest resources  — Recommendations for alternative raw material sources for the sustainable forest management plan  f) Evidence that the sustainable forest management plan is reviewed periodically, at intervals compatible with the frequency of monitoring and modifications in the organization' management  g) Evidence that the monitoring data are incorporated into the sustainable forest management plan  i) Existence of documented procedures for the following activities in order to ensure that they are carried out as described in the sustainable forest management plan:  — Selection and location of areas for plantations and transport network  — Seedling production  — Establishment  — Reform  — Forestry activities  — Clearing and maintenance of roadways  — Harvesting and transport of forest production  j) Evidence that the documented procedures are kept up to date. |
| 7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation. | Y |
| 8. Operation | | |
| 8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle | | |
| 8.1.1 The standard requires that management shall aim to maintain or increase forests and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources. | Y | 3.2 - Forest management planning shall focus on the health and vitality of forest ecosystems in order to maintain and expand the economic, environmental, cultural, and social value of the forest. Forest shall be managed so that activity helps preserve renewable natural resources.  3.3 - The organization shall manage the forest in order to minimize negative effects from management activities on environmental value. Native ecosystems, areas of ecological and social interest, and biodiversity shall be maintained or improved. |
| 8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources. | Y | 3.3.2 C) - The integrity of native ecosystems and biodiversity shall be maintained or improved. Degraded areas within a forest management unit shall be recovered, with best use of the structures and natural processes.  Indicators:  c) Evidence of actions to maintain or improve ecosystem services, such as potential to control erosion, prevent floods, purify water, regulate the climate, **sequester carbon**, and other services that regulate or support the ecosystem. |
| 8.1.3 The standard requires that climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged. | Y | 3.2.2 C) and D) - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  c) Evidence that practices which indicate efficient utilization of the forest resources produced are adopted  d) Existence of environmentally suitable explanations for determining the destination of forest harvesting byproducts, such as reducing, reuse, or disposal |
| 8.1.4 The standard requires that forest conversion shall not occur unless in justified circumstances where the conversion: | | |
| a) is in compliance with national and regional policy and legislation applicable 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 affected stakeholders; and | Y | 3.3.5 A) and B) - Conversion of land use by replacing natural ecosystems shall not occur except when justified. If severely degraded forests are converted into planted forests, this shall meet prior conditions established to add economic, ecological, social, and/or cultural value.  Indicators:  a) Evidence of no conversion except in justified circumstances.  NOTE 1 Planted forest established in areas that were converted after December 31, 2010 without justification are not eligible for assessment of compliance.[10]  NOTE 2 Conversion to install the infrastructure necessary to implement and execute the sustainable forest management plan (such as main and secondary roadways, log yards, and other infrastructure elements) are not considered conversions in the context of this indicator.  b) Evidence that conversion after December 31, 2010 only occurred in justified circumstances in which:  — It is in compliance with national, regional, and local policy and legislation related to land use and forest management, including stakeholder consultations, offering them chances to participate in making the decision on conversion;  — It represents a small portion (no greater than 5%) of the total area;  — There are no significant negative impacts on threatened species, threatened ecosystems (including vulnerable, rare, or endangered ecosystems) culturally and socially important areas, and important habitats for threatened species or other protected areas;  — Makes a contribution to long-term conservation, economic, and social benefits. |
| b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and | Y |
| c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and | Y |
| d) does not destroy areas of significantly high carbon stock; and |  |
| e) makes a contribution to long-term conservation, economic, and social benefits. | Y |
| 8.1.5 The standard requires that afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion: | | |
| a) is in compliance with national and regional policy and legislation applicable 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; and |  |  |
| b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and |  |  |
| c) does not have negative impacts on threatened (including vulnerable, rare or endangered) nonforest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and |  |  |
| d) entails a small proportion of the ecologically important non-forest ecosystem managed by an organisation; and |  |  |
| e) does not destroy areas of significantly high carbon stock; and |  |  |
| f) makes a contribution to long-term conservation, economic, and social benefits. |  |  |
| 8.1.6 The standard requires that if conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and/or cultural value. Precondition of adding such value are circumstances where the conversion: | | |
| a) is in compliance with national and regional policy and legislation applicable 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; and | Y | 3.3.5 C) - Conversion of land use by replacing natural ecosystems shall not occur except when justified. If severely degraded forests are converted into planted forests, this shall meet prior conditions established to add economic, ecological, social, and/or cultural value.  Indicators:  c) Evidence that, if conversion of severely degraded forests into planted forests is under consideration, this process will add economic, ecological, social, and/or cultural value. Prerequisites to add this value are circumstances in which the conversion:  — Is in compliance with national, regional, and local policy and legislation applicablefor land use and forest management, including stakeholder consultations, offering them chances to contribute to the decision-making on conversion;  — does nothave significant negative impacts on threatened species, threatened ecosystems (including vulnerable, rare, or endangered ecosystems) culturally and socially important areas, and important habitats of threatened species or other protected areas;  — safeguards protective functions of forests for society and other regulating or supporting ecosystem services;  — Safeguards socio-economic functions of forests, including the recreational function and aesthetic value of forests and other cultural services;  — Provides evidence that the degradation did not result from improper forest management processes by the same organization;  **— is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.b.** |
| b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and | Y |
| c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and | Y |
| d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and | Y |
| e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and | Y |
| f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and | Y |
| g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and | Y |
| h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery. | Y |
| 8.2 Criterion 2: Maintenance of forest ecosystem health and vitality | | |
| 8.2.1 The standard requires that health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures. | Y | 3.3.2 - The integrity of native ecosystems and biodiversity shall be maintained or improved. Degraded areas within a forest management unit shall be recovered, with best use of the structures and natural processes.  Indicators:  a) Evidence that the species diversity and ecosystems in the forest management unit are identified and recognized.  b) Existence of measures to maintain or improve biodiversity.  c) Evidence of actions to maintain or improve ecosystem services, such as potential to control erosion, prevent floods, purify water, regulate the climate, sequester carbon, and other services that regulate or support the ecosystem.  d) Evidence that the layout or demarcation of the planted forests helps maintain or improve ecological connectivity, considering the context of the landscape. The size and distribution of areas with naturally occurring vegetation shall be identified during the preparation phase of establishing new planted forests, based on the social and environmental assessments, and shall also be reviewed during subsequent phases of new replanting efforts.  e) Evidence that protective measures are taken to minimize the impact of domesticated animals on soil and biodiversity (when applicable).  f) Evidence of activities to recover degraded areas identified in the forest management unit, based on techniques adapted to the local conditions. In activities to recover degraded areas in natural remnants found within the plantations, the use of native species should be prioritized. Areas undergoing recovery shall be protected from forest operations, including pressure from domestic and wild animals. |
| 8.2.2 The standard requires that adequate genetic, species and structural diversity shall be encouraged or maintained to enhance the stability, vitality and resilience of the forests to adverse environmental factors and strengthen natural regulation mechanisms. | Y | 3.4.2 A) and E) - Genetic diversity (species and structural) shall be improved, encouraged, or maintained. Introduction and utilization of genetic material shall take place in a controlled manner and following biosafety standards. Prior experience with the material is required, proving its potential for forest production in the region and permitting potential environmental impacts to be assessed.  a) Evidence that the genetic base is continuously maintained or improved, according to the scale and objectives of forest management;  e) Evidence that structural diversity is maintained or intensified by varying the size and layout of stands, species, genetic, diversity, and age class. |
| 8.2.3 The standard requires that use of fire shall be limited to regions where fire is an essential tool in forest management for regeneration, wildfire protection and habitat management or a recognized practice of indigenous peoples. In these cases adequate management and control measures shall be taken. | Y | 3.4.3 D) - Integrated pest and disease management techniques shall be adopted to protect the planted forests.  d) Existence of a system to prevent, monitor, and control forest fires, specific for the organization or in partnership. In the exceptional case of fire used for silvicultural purposes, legal requirements shall be observed and effective methods shall be adopted to control and minimize negative impacts. |
| 8.2.4 The standard requires that 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. | Y | 3.2.2 - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  Indicators:  a) Evidence that forest species are suited to the local soil and climate conditions and the planned end uses  b) Evidence that suitable practices for planting, reform, or coppicing are adopted to ensure the quality and quantity of forest resources  c) Evidence that practices which indicate efficient utilization of the forest resources produced are adopted  d) Existence of environmentally suitable explanations for determining the destination of forest harvesting byproducts, such as reducing, reuse, or disposal  e) Evidence that the harvest levels of wood and non-wood forest products that are commercially utilized by the organization do not exceed the long-term replacement rates, according to the plan  3.3.1 D) - The organization shall identify and assess environmental value and impacts, including defining and implementing measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts  Indicators:  d) Evidence that the documented operational procedures consider recommendations to avoid, minimize, and mitigate negative impacts on environmental values.  3.4.4 - Construction of infrastructure and forest operations shall be planned and carried out in a way that preserves and maintains native ecosystems and water and soil resources.  Indicators:  a) Evidence that construction of infrastructure and forest operations are carried out as planned in the planning stages and in the operational procedures and guidelines  b) Evidence that the infrastructure is planned and constructed and the forest operations are carried out in a way that minimizes damage to ecosystems, particularly rare, sensitive, or representative ecosystems and genetic reserves, and also considers the existence of endemic, rare, threatened, or endangered species or other key species, particularly their identified migration patterns  c) Evidence that silviculture and forest procedures and harvest operations are carried out in a way that does not cause irreversible damage to ecosystems  d) Evidence that forest operations are carried out in a way that prevents, minimizes, and mitigates (when necessary) soil degradation. Areas susceptible to erosion shall be considered, and the techniques and machinery utilized in the operations shall be adapted to the soil, topography, and local climate conditions.  e) Evidence that adequate infrastructure such as roadways, skid trails, and bridges is planned, constructed, and maintained in a way that minimizes exposed soil, avoids erosion, and preserves the level and natural function of bodies of water and riverbeds.  f) Evidence that forest operations are carried out in a way that prevents, minimizes, and mitigates (when necessary) adverse effects on water resources The water balance and water quality downstream cannot be significantly affected by forest operations  g) Evidence that when fertilizers are applied, procedures exist based on technical justifications that consider environmental concerns  h) Evidence that fertilizer use is controlled, when used.  i) Evidence that vehicles, machinery, and equipment that use oil-based fuels are maintained in a good state of repair to control emission of atmospheric pollutants. |
| 8.2.5 The standard requires that the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimisation of risk of environmental harm arising from the accidental spillage shall be in place. | Y | 3.4.6 - The organization shall adopt and implement an environmentally appropriate management plan for solid waste and effluents/wastewater in accordance with applicable legislation.  Indicators:  a) Existence of an environmentally appropriate waste management plan in place that includes collection, separation, transport, storage, redirection, and/pr final disposal, according to current legislation  b) Existence of records of environmentally appropriate redirection and/or final disposal of hazardous liquid and solid waste in accordance with current legislation  c) Evidence that other liquid and solid waste is treated and disposed of in an environmentally appropriate manner, in accordance with current legislation  d) Existence of emergency procedures to address spills or leaks of hazardous products in order to minimize environmental damage. |
| 8.2.6 The standard requires that integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimise the use of pesticides. | Y | 3.4.3 A) and C) - Integrated pest and disease management techniques shall be adopted to protect the planted forests.  Indicators:  a) Existence of an Integrated pest and disease management plan  c) Evidence of measures to minimize the use of chemical products to control pests and diseases that consider natural biological control agents, silvicultural, physical, or mechanical techniques, and genetic improvement |
| 8.2.7 The standard requires that any use of pesticides is documented. | Y | 3.4.5 D) - The organization shall establish adequate measures for storage, transport, and use of pesticides, oils, and fuels.  Indicators:  d) Existence of records of pesticide use, including but not limited to:  — Trade name and active ingredient  — Quantity of product applied  — Dates of application  — Location and area of application  — Reason for/target of application  — Method of application  — Workers involved in application |
| 8.2.8 The standard requires that the WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides shall be defined in the national/regional standard. | Y | 3.4.5 A), and B) - The organization shall establish adequate measures for storage, transport, and use of pesticides, oils, and fuels.  Indicators:  a) Evidence that except for under government order, the organization does not use highly toxic pesticides that:  — Are prohibited by current legislation  — Are prohibited by international agreements such as the Stockholm Convention, Rotterdam Convention, and Montreal Protocol  — Contain chlorinated hydrocarbons, the derivatives of which remain biologically active and accumulate in the food chain well beyond the intended use  — Are included in the WHO pesticide classifications 1a or 1b  b) Evidence that the pesticide manufacturer's technical recommendations for handling, preparation, and application are followed  c) Existence of procedures for pesticide use that consider climatic, soil, and topographic conditions |
| 8.2.9 The standard requires that 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.  Note: “Pesticides banned by international agreements” are defined in the Stockholm Convention on Persistent Organic Pollutants. | Y |
| 8.2.10 The standard requires that the use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment by trained personnel. | Y |
| 8.2.11 The standard requires that where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment. Fertilizer use shall not be an alternative to appropriate soil nutrient management. | Y | 3.4.4 G) and H) - Construction of infrastructure and forest operations shall be planned and carried out in a way that preserves and maintains native ecosystems and water and soil resources.  g) Evidence that when fertilizers are applied, procedures exist based on technical justifications that consider environmental concerns  h) Evidence that fertilizer use is controlled, when used. |
| 8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood) | | |
| 8.3.1 The standard requires that the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained. | Y | 3.2.2 E) - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  e) Evidence that the harvest levels of wood and non-wood forest products that are commercially utilized by the organization do not exceed the long-term replacement rates, according to the plan |
| 8.3.2 The standard requires that sound economic performance shall be pursued, taking into account possibilities for new markets and economic activities in connection with all relevant goods and services of forests. | Y | 3.2.3 C) - The organization shall determine and provide the resources needed to establish, implement, maintain, and continuously improve the sustainable forest management system.  Indicators:  c) Evidence that the forest management is economically viable, considering the possibilities of new markets and economic activities related to all the relevant forest goods and services, when applicable. |
| 8.3.3 The standard requires that management, harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site, for example by avoiding damage to soil and retained stands and trees. | Y | 3.3.1 D) - The organization shall identify and assess environmental value and impacts, including defining and implementing measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts  d) Evidence that the documented operational procedures consider recommendations to avoid, minimize, and mitigate negative impacts on environmental values. |
| 8.3.4 The standard requires that 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 products. | Y | 3.2.2 E) - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  e) Evidence that the harvest levels of wood and non-wood forest products that are commercially utilized by the organization do not exceed the long-term replacement rates, according to the plan |
| 8.3.5 The standard requires that 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. | Y | 3.4.4 E) - Construction of infrastructure and forest operations shall be planned and carried out in a way that preserves and maintains native ecosystems and water and soil resources.  Indicators:  e) Evidence that adequate infrastructure such as roadways, skid trails, and bridges is planned, constructed, and maintained in a way that minimizes exposed soil, avoids erosion, and preserves the level and natural function of bodies of water and riverbeds. |
| 8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems | | |
| 8.4.1 The standard requires that management planning shall aim to maintain, conserve or enhance biodiversity on landscape, ecosystem, species and genetic levels. | Y | 3.2.1 B) - Forest operations shall be based on a sustainable forest management plan drafted according to applicable legislation, documented, and updated, which includes management activities or references associates documentation considering different land use, organization size, intensity of management activities, and function of the managed forest area.  Indicators:  b) Evidence that management planning is intended to maintain, preserve, or improve biodiversity in the landscape, ecosystem, species, and genetic levels. |
| 8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.  Note: This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes. | Y | 3.3.4 C) - Areas of relevant ecological and social interest which are recognized for their exceptional natural, social, cultural, or environmental attributes shall be identified, protected, maintained, or improved.  Indicators:  c) Existence of measures to protect, maintain, or improve relevant areas of ecological and social interest in the forest management unit |
| 8.4.3 The standard requires that protected, threatened 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.  Note: The requirement does not preclude trade according to CITES requirements. | Y | 3.3.3 - Measures to identify and protect endemic, rare, threatened, or endangered species and their habitats are implemented in the forest management unit.  Indicators:  a) Evidence of measures to identify and list endemic, rare, threatened, or endangered species that occur in the forest management unit which are appropriate to the scale of the organization.  b) Existence of mapping or demarcation of habitats of endemic, rare, threatened, or endangered species.  c) Evidence that endemic, rare, threatened, or endangered species are not exploited for commercial purposes, except when permitted by law.  d) Evidence that measures are taken to protect or maintain the presence of endemic, rare, threatened, or endangered species and their habitats in the forest management unit. |
| 8.4.4 The standard requires that successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources. | Y | 3.2.2 B) - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  Indicators:  b) Evidence that suitable practices for planting, reform, or coppicing are adopted to ensure the quality and quantity of forest resources |
| 8.4.5 The standard requires that for reforestation and afforestation origins of native species that are well-adapted to site conditions shall be preferred. 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 scientifically evaluated, and if negative impacts can be avoided or minimised.  Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species. | Y | 3.2.2 A) - The organization shall adopt strategies oriented toward sustainable use and management of forest resources.  Indicators:  a) Evidence that forest species are suited to the local soil and climate conditions and the planned end uses  3.6.1 M) - The forest organization shall implement a monitoring and measurement plan to assess its performance that is in line with the scale, intensity, and objectives of management.  Indicators:  m) Existence of monitoring of invasive exotic species in areas set aside for conservation that could alter the balance between the occurring species. |
| 8.4.6 The standard requires that afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted. | Y | 3.3.2 D) - The integrity of native ecosystems and biodiversity shall be maintained or improved. Degraded areas within a forest management unit shall be recovered, with best use of the structures and natural processes.  Indicators:  d) Evidence that the layout or demarcation of the planted forests helps maintain or improve ecological connectivity, considering the context of the landscape. The size and distribution of areas with naturally occurring vegetation shall be identified during the preparation phase of establishing new planted forests, based on the social and environmental assessments, and shall also be reviewed during subsequent phases of new replanting efforts. |
| 8.4.7 The standard requires that genetically-modified trees shall not be used.  Note: The restriction on the usage of genetically-modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used. | Y | 3.4.2 E) and F) - Genetic diversity (species and structural) shall be improved, encouraged, or maintained. Introduction and utilization of genetic material shall take place in a controlled manner and following biosafety standards. Prior experience with the material is required, proving its potential for forest production in the region and permitting potential environmental impacts to be assessed.  Indicators:  e) Evidence that structural diversity is maintained or intensified by varying the size and layout of stands, species, genetic, diversity, and age class.  f) Evidence of compliance with biosafety standards and techniques when genetically modified organisms are used in research areas. Genetically modified organisms cannot be used in commercial planted forests.  NOTE This restriction on the use of genetically modified trees was adopted as a precautionary measure until sufficient scientific data on genetically modified trees indicate that the impacts on human, animal, and environmental health are the same as or more beneficial than those presented by trees that have undergone improvement processes via traditional genetic improvement methods. |
| 8.4.8 The standard requires that a diversity of both horizontal and vertical structures and the diversity of species such as mixed stands shall be promoted, where appropriate. The practices shall also aim to maintain or restore landscape diversity. | Y |
| 8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate. | Y | 3.3.2 - The integrity of native ecosystems and biodiversity shall be maintained or improved. Degraded areas within a forest management unit shall be recovered, with best use of the structures and natural processes.  Indicators:  a) Evidence that the species diversity and ecosystems in the forest management unit are identified and recognized.  b) Existence of measures to maintain or improve biodiversity.  c) Evidence of actions to maintain or improve ecosystem services, such as potential to control erosion, prevent floods, purify water, regulate the climate, sequester carbon, and other services that regulate or support the ecosystem.  d) Evidence that the layout or demarcation of the planted forests helps maintain or improve ecological connectivity, considering the context of the landscape. The size and distribution of areas with naturally occurring vegetation shall be identified during the preparation phase of establishing new planted forests, based on the social and environmental assessments, and shall also be reviewed during subsequent phases of new replanting efforts.  e) Evidence that protective measures are taken to minimize the impact of domesticated animals on soil and biodiversity (when applicable).  f) Evidence of activities to recover degraded areas identified in the forest management unit, based on techniques adapted to the local conditions. In activities to recover degraded areas in natural remnants found within the plantations, the use of native species should be prioritized. Areas undergoing recovery shall be protected from forest operations, including pressure from domestic and wild animals. |
| 8.4.10 The standard requires that 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 maintain or improve biological diversity. | Y |
| 8.4.11 The standard requires that infrastructure shall be planned and constructed in a way that minimizes 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. | Y |
| 8.4.12 The standard requires that, with due regard to management objectives, measures shall be taken to control the pressure of animal populations on forest regeneration and growth as well as on biodiversity. | Y |
| 8.4.13 The standard requires that standing and fallen dead wood, hollow trees, old groves and 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. | N | **According to Appendix 1 (Guidelines for the interpretation of requirements in the case of forest plantations) of PEFC ST 1003:2018:**  **The requirements 8.4.8, 8.4.9 and 8.4.13 do not usually apply to forest plantations and shall be understood to be primarily taking place in buffer zones and set-aside areas, which complement forest plantations, and which are dedicated to environmental, ecological, cultural and social functions.**  **Because of it, the ABNT NBR 14789:2021´s WG decided to exclude this requirement.** |
| 8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water) | | |
| 8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced. | Y | 3.3.2 C) - The integrity of native ecosystems and biodiversity shall be maintained or improved. Degraded areas within a forest management unit shall be recovered, with best use of the structures and natural processes.  Indicators:  c) Evidence of actions to maintain or improve ecosystem services, such as potential to control erosion, prevent floods, purify water, regulate the climate, sequester carbon, and other services that regulate or support the ecosystem. |
| 8.5.2 The standard requires that areas that fulfil specific and recognised protective functions for society shall be mapped, and forest management plans and operations shall ensure the maintenance or enhancement of these functions. | Y | 3.3.4 - Areas of relevant ecological and social interest which are recognized for their exceptional natural, social, cultural, or environmental attributes shall be identified, protected, maintained, or improved. interest |
| 8.5.3 The standard requires that special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas. | Y | 3.4.4 D) and F) - Construction of infrastructure and forest operations shall be planned and carried out in a way that preserves and maintains native ecosystems and water and soil resources.  d) Evidence that forest operations are carried out in a way that prevents, minimizes, and mitigates (when necessary) soil degradation. Areas susceptible to erosion shall be considered, and the techniques and machinery utilized in the operations shall be adapted to the soil, topography, and local climate conditions.  f) Evidence that forest operations are carried out in a way that prevents, minimizes, and mitigates (when necessary) adverse effects on water resources The water balance and water quality downstream cannot be significantly affected by forest operations  3.6.1 P) and Q) - The organization shall have a system for assessing performance, monitoring, measuring, and analyzing the management system that includes environmental, social, and economic aspects  p) Existence of monitoring of qualitative and quantitative parameters for relevant water resources that are related to management  q) Existence of physical and chemical monitoring of relevant soil resources that are related to management |
| 8.5.4 The standard requires that special care shall be given to forestry operations 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. Downstream water balance and water quality shall not be significantly affected by the operations. | Y |
| 8.5.5 The standard requires that 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. | Y | 3.4.4 E) - Construction of infrastructure and forest operations shall be planned and carried out in a way that preserves and maintains native ecosystems and water and soil resources.  Indicators:  e) Evidence that adequate infrastructure such as roadways, skid trails, and bridges is planned, constructed, and maintained in a way that minimizes exposed soil, avoids erosion, and preserves the level and natural function of bodies of water and riverbeds. |
| 8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions | | |
| 8.6.1 The standard requires that forest management planning shall aim to respect all socio-economic functions of forests. | Y | 3.5.1 D) - The organization shall identify and assess the environmental, social, and economic values for stakeholders. Impacts on these values shall be identified and assessed, and measures to avoid, minimize, mitigate, and (when necessary) compensate for these impacts shall be defined and implemented.  Indicators:  d) Evidence that measures have been defined and implemented to avoid, minimize, and (when necessary) compensate for negative impacts on the environmental, social, and economic values for stakeholders as a result of forest management |
| 8.6.2 The standard requires that adequate public access to forests for the purpose of recreation shall be provided, taking into account respect for ownership rights, safety and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest. | Y | 3.1.2 G)  The organization's rights of ownership and of the use of land and forest resources and/or land tenure rights shall be clearly defined, documented, and established for the forest management unit. Similarly, legal, customary, and traditional rights related to the forest management unit shall be identified, recognized, and respected according to current legislation and applicable treaties and international agreements ratified by the country.  Indicators:  g) Evidence that areas customarily used for recreation within the forest management unit are recognized, and when present, **that public access is permitted**, respecting rights of ownership, safety limits, rights of third parties, and the effects on forest resources and ecosystems, as well as compatibility with the forest's other functions. |
| 8.6.3 The standard requires that sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site. | Y | 3.3.4 A), B) and C) - Areas of relevant ecological and social interest which are recognized for their exceptional natural, social, cultural, or environmental attributes shall be identified, protected, maintained, or improved.  Indicators:  a) Evidence of assessment to identify areas of relevant ecological and social interest (see 2.3) in the forest management unit, including characterization and mapping  b) Evidence that stakeholder and/or specialists were consulted in the process of assessing areas of relevant ecological and social interest in the forest management unit  c) Existence of measures to protect, maintain, or improve relevant areas of ecological and social interest in the forest management unit |
| 8.6.4 The standard requires that management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities and indigenous peoples. | Y | 3.5.2 F), B) and C) - The organization's relationships with local and traditional communities and indigenous peoples shall value traditional knowledge and raise awareness about sustainable use of natural resources.  The organization shall consider the role of its activities in local economies and promote activities that contribute to the health, well-being, and environmental education of its workers, and when viable, of local and traditional communities and indigenous peoples.  Indicators:  f) Existence of activities that preserve the long-term health and well-being of local and traditional communities and indigenous peoples, defined through engagement with these communities and local governments in developing and in accordance with the scale of the organization  b) Evidence that the intellectual property of these traditional communities and indigenous peoples, when utilized by the organization in forest management, is compensated as agreed between the parties and in accordance with legal requirements  c) Evidence that local communities, including indigenous peoples, are considered when employment and training opportunities are available in various forest management activities, in accordance with specific legislation |
| 8.6.5 The standard requires that the best use shall be made of forest-related experience and traditional knowledge, innovations and practices such as those of forest owners, NGOs, local communities, and indigenous peoples. Equitable sharing of the benefits arising from the utilization of such knowledge shall be encouraged. | Y |
| 8.6.6 The standard requires that management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people, including indigenous peoples. | Y |
| 8.6.7 The standard requires that 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. | Y | 3.4.1 C) - Forest management shall incorporate scientific and technical information and also be appropriate for local characteristics.  Indicators:  c) Evidence that the forest management contributes to research activities and data collection required for sustainable forest management, or monitors relevant research activities conducted by other organizations. |
| 9. Performance evaluation | | |
| 9.1 Monitoring, measurement, analysis and evaluation | | |
| 9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process. | Y | 3.6.1 - The forest organization shall implement a monitoring and measurement plan to assess its performance that is in line with the scale, intensity, and objectives of management.  Indicators:  a) Existence of a monitoring plan indicating environmental, social, and economic aspects to be monitored.  b) **Existence of indicators and goals related to environmental, social, and economic aspects, with frequency and intensity that are in line with the scale, intensity, and objectives of management.**  c) Existence of monitoring for pending administrative and legal issues related to the organization's compliance with legislation, including planned and executed activities as well as time frames for execution  **d) Existence of monitoring (of documents and in the field) related to compliance with labor law, including collective or individual agreements and collective conventions, which apply to the workers that carry out activities in the forest management unit**  **e) Existence of monitoring (of documents and in the field) related to compliance with legislation and regulatory standards related to workplace health and safety which apply to the workers that carry out activities in the forest management unit**  **f) Existence of workplace accident monitoring**  g) Existing of monitoring of illegal or unauthorized activities in the forest management unit  **h) Existence of monitoring of growth, production, and productivity of the wood products managed by the organization**  i) Existence of monitoring of productivity of non-wood products managed by the organization  **j) Existence of monitoring of the efficacy of measures to avoid, minimize, mitigate, or compensate for significant environmental impacts caused by the forest management activity**  **k) Existence of flora and fauna monitoring that makes it possible to assess the effectiveness of conservation and restoration activities**  **l) Existence of monitoring of measures to protect, maintain, or improve areas of relevant ecological and social interest**  m) Existence of monitoring of invasive exotic species in areas set aside for conservation that could alter the balance between the occurring species.  **n) Existence of monitoring of pests and diseases**  **o) Existence of monitoring of meteorological conditions and fires**  **p) Existence of monitoring of qualitative and quantitative parameters for relevant water resources that are related to management**  q) Existence of physical and chemical monitoring of relevant soil resources that are related to management  r) Existing of monitoring and control of gas emissions of vehicles and forest equipment powered by oil-based fuels  s) existence of monitoring of the efficacy of measures to avoid, minimize, mitigate, or compensate for significant negative social impacts caused by the forest management activity |
| 9.1.2 The standard requires that 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. | Y |
| 9.1.3 The standard requires that where it is the responsibility of the forest owner/manager and included in forest management, the use of non-wood forest products, including hunting and fishing, shall be regulated, monitored and controlled. | Y |
| 9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary. | Y |
| 9.2 Internal audit | | |
| 9.2.1 Objectives  The standard requires that an internal audit programme at planned intervals shall provide information on  whether the management system | | |
| a) conforms to  • the organisation’s requirements for its management system;  • the requirements of the national sustainable forest management standard | Y | 3.6.2 A) - The organization shall plan, implement, and maintain an internal auditing program in order to verify compliance with the requirements of this Standard  Indicators:  a) Existence of an internal auditing program in order to verify compliance with this Standard that is in line with the scale of the organization and the intensity of management activities, including:  — frequency  — methods  — responsibilities  — criteria and scope |
| b) is effectively implemented and maintained. | Y |
| 9.2.2 Organisation  The standard requires that the organisation shall: | | |
| a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits; | Y | 3.6.2 – The organization shall plan, implement, and maintain an internal auditing program in order to verify compliance with the requirements of this Standard  Indicators:  a) Existence of an internal auditing program in order to verify compliance with this Standard that is in line with the scale of the organization and the intensity of management activities, including:  — frequency  — methods  — responsibilities  — criteria and scope  b) evidence that the internal auditing program is planned, implemented, and maintained  c) evidence that the results of previous audits are considered  d) evidence that the audit process is conducted in an objective and impartial manner  e) evidence that the results of the internal audits are documented and reported to the relevant management |
| b) define the audit criteria and scope for each audit; | Y |
| c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process; | Y |
| d) ensure that the results of the audits are reported to relevant management; | Y |
| e) retain documented information as evidence of the implementation of the audit programme and the audit results. | Y |
| 9.3 Management review | | |
| 9.3.1 The standard requires that an annual management review shall at least include | | |
| a) the status of actions from previous management reviews; | Y | 3.6.4 - The organization shall promote annual management review and incorporate the results of this practice to improve sustainable forest management and the management system.  Indicators:  a) Evidence that the organization's top management promotes annual management review  **b) Evidence that the management review consider:**  **— The status of activities in prior management review**  **— Changes in external and internal issues that are relevant for the management system**  **— Information about the organization's performance, including trends in**  **● Non-conformities and corrective measures**  **● Results of monitoring and measurement**  **● Audit findings**  ** Opportunities for continuous improvement**  **c) Evidence that the results of management review include decisions related to continuous improvement and the need for changes in the management system**  **d) Evidence that documented data showing the findings of management review by top management are maintained**  e) Evidence that compliance, improvement, and efficacy of the sustainable forest management system are continuously improved. |
| b) changes in external and internal issues that are relevant to the management system; | Y |
| c) information on the organisation’s performance, including trends in:  • nonconformities and corrective actions;  • monitoring and measurement results;  • audit results; | Y |
| d) opportunities for continual improvement | Y |
| 9.3.2 The standard requires that the outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the management system. | Y |
| 9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained. | Y |
| 10. Improvement | | |
| 10.1 Nonconformity and corrective action | | |
| 10.1.1 The standard requires that when a nonconformity occurs, the organisation shall: | | |
| a) react to the nonconformity and, as applicable:  i. take action to control and correct it;  ii. deal with the consequences; | Y | 3.6.3 - The organization shall implement activities to address any non-conformities identified in order to minimize their impacts and avoid recurrence  Indicators:  a) Evidence that appropriate measures are taken to control, correct, and mitigate (when applicable) damage caused by any identified non-conformities  b) Evidence that the identified non-conformities are analyzed in order to:  — determine causes  — determine whether similar non-conformities exist or could occur  — determine appropriate corrective measures to eliminate the identified causes in order to avoid recurrence of the non-conformity  c) Evidence that corrective measures defined to eliminate the identified causes were implemented and their effectiveness analyzed. |
| b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not  recur or occur elsewhere, by:  i. reviewing the nonconformity;  ii. determining the causes of the nonconformity;  iii. determining if similar nonconformities exist, or could potentially occur; | Y |
| c) implement any action needed; | Y |
| d) review the effectiveness of any corrective action taken; | Y |
| e) make changes to the management system, if necessary. | Y |
| 10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered. | Y |
| 10.1.3 The standard requires that the organisation shall retain documented information as evidence of: | | |
| a) the nature of the nonconformities and any subsequent actions taken; | Y | 3.6.3 D) - The organization shall implement activities to address any non-conformities identified in order to minimize their impacts and avoid recurrence  Indicators:  d) Documented evidence of the non-conformities identified, the corrective measures implemented, and their results. |
| b) the results of any corrective action. | Y |
| 10.2 Continual improvement  The standard requires that the suitability, adequacy and effectiveness of the sustainable forest management system and the sustainable management of the forest shall be continuously improved. | Y | 3.6.4 E) - The organization shall promote annual management review and incorporate the results of this practice to improve sustainable forest management and the management system.  Indicators:  e) Evidence that compliance, improvement, and efficacy of the sustainable forest management system are continuously improved. |

**\*** 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.