

SCS Interim Standard for Forest Management in the State of Hawaii under the Forest Stewardship Council

A. INTRODUCTION

This document contains the Interim Standard for Forest Management Certification in the state of Hawaii used by SCS Global Services' Forest Conservation Program. The scope of this standard includes both natural and plantation forests. This standard is designed to be used in absence of a Forest Stewardship Council accredited Forest Stewardship Standard covering Hawaii. In the event that such a standard is created, all further evaluations will be done against said standard, and any forest management operations certified under the interim standard will be required to conform to the new standard within one year. In December 2014, the standard was updated due to stakeholder comments regarding conversion. Per FSC-STD-01-003a (7-Sep-2010), the maximum SLIMF size in the United States is up to 1,000 ha.

This standard is based mainly on the SCS Generic Interim Standard, but also incorporates elements of the FSC-US national indicators and other stakeholder comments.

B. STANDARD USE

Conformance with locally adapted standards produced from this generic standard shall be determined by evaluating observed performance at the Forest Management Unit (FMU) level against each indicator of the standard, and in comparison with any performance threshold(s) specified for the indicator. The indicators here apply to all forests covered by the scope of the standard, including SLIMF's, unless otherwise specified.

In the process of adapting this standard for on the assessment of a particular FME, it may be restructured in order to improve its implementation on the ground or to ease stakeholder interpretation of the standard, but only if pre-approved by the SCS Director of Forest Certification. Restructuring or adapting this standard shall not affect the requirements for conformance and certification decision making. If a complaint or appeal is filed, the complete standard shall be considered definitive.

PRINCIPLE #1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES

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

C1.1. Forest management shall respect all national and local laws and administrative requirements.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
1.1.1. An up-to-date register (reference list) of all pertinent statutes and bodies of regulations is maintained and is available to FME staff; summaries of key regulations are kept in field offices.			
1.1.2. FME staff demonstrate a working knowledge of the regulatory framework in which they operate.			
1.1.3. The frequency and nature of regulatory violations shall not be indicative of widespread and systemic non-compliance; when violations occur, FME acts promptly to correct and remediate the circumstances associated with the violation			
1.1.4. The relationship between the FME and personnel from pertinent regulatory agencies can be characterized as productive and collaborative.			
C1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)

1.2.1. FME demonstrates a working knowledge of all applicable fees, royalties, taxes and other charges that apply to their operations.			
1.2.2. There is no evidence of chronic non-payment; rather, payments are regularly made in a time manner.			
1.2.3. Up-to-date records are kept of all payments and are available to the SCS auditor(s).			
1.2.4. In the case of payment or accounting discrepancies, the FME shall demonstrate evidence that efforts are implemented to resolve them.	Verifiers: Interviews with and information supplied by regulatory authorities and other stakeholders.		
C1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
1.3.1. FME is aware of which binding international agreements apply to the nation in which their forest operations reside.			
1.3.2. FME demonstrates sensitivity to all binding international agreements and endeavors to respect their requirements, at a level of effort scaled to the size and intensity of the forest operation. FME has a compendium of applicable international agreements that summarizes how the FME respects these.	Verifiers: <ul style="list-style-type: none"> FME has a register or compendium of applicable international agreements Said register or compendium is available in offices or field sites. Interviews with forest managers and other stakeholders 		

C1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and by the involved or affected parties.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
1.4.1. FME is forthright in informing the SCS auditor(s) of any possible conflicts between laws, regulations and the FSC Principles and Criteria.			
1.4.2. FME is willing to participate in appropriate processes for resolving conflicts, at the request of SCS and/or the FSC.			
C1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.			
1.5.1. Large FMEs: FME shall have a monitoring system with formal documented periodic inspections for the prevention and detection of illegal harvesting, settlement and other unauthorized activities. For SLIMF: SLIMF managers shall ensure that the FMU is monitored periodically to prevent and detect illegal harvesting, settlement, and other unauthorized activities.			
1.5.2. The FME shall take all reasonable legal measures to prevent illegal and inappropriate usage of the forest area or its natural resources.			
1.5.3. Illegal harvest, settlements and other unauthorized usage of the forest shall be reported to the responsible authorities.			

1.5.4. Preventive measures shall be taken to decrease poaching and illegal timber extraction.			
C1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
1.6.1. FME shall have a publicly available policy or statement committing the organization to adhere to the FSC requirements within the certified forest area.			
1.6.2. FME shall not implement activities that blatantly conflict with the FSC P&C on forest areas outside of the FMU under assessment on which it has direct or indirect involvement.			
1.6.3. FME shall disclose information on all forest areas over which it has direct or indirect involvement to demonstrate compliance with current FSC policies on partial certification and on excision of areas from the scope of the certificate.	FME staff and contractors shall be informed about FSC requirements and FME shall control how these requirements are upheld.		

PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES			
Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.			
C2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
2.1.1. FME shall possess legal documents proving its legal rights of	Verifiers: Legal use rights may be associated with:		

ownership or long term rights to manage the FMU.	<ul style="list-style-type: none"> • Authenticated copies of land titles of the FMU(s) • fee-simple ownership • long-term or renewable lease rights (at least one rotation) • long-term or renewable exclusive management agreements (at least one rotation) • other mechanisms allocating long-term or renewable management rights and responsibilities to the forest manager 		
2.1.2. Property borders shall be marked or otherwise clearly delineated (e.g. follow natural boundaries).			
C2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
2.2.1. Local communities, and/or other stakeholders with duly recognized legal or customary tenure or use rights within the FMU have been identified and the nature of these rights are described and documented.	Examples of legal or customary tenure or use-rights may include: <ul style="list-style-type: none"> -public rights of way -established easements -collection of non-timber forest products -hiking, fishing, hunting, or other recreation -firewood collection -visitation of culturally significant sites, such as religious shrines 		
2.2.2. When communities have delegated control of their legal rights or customary tenure or use in whole or in part, this must be confirmed by documented agreements and / or interviews with			

representatives of local communities.			
C2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
2.3.1. Records are kept of any past disputes over tenure claims and use rights, to a level of detail sufficient to enable the SCS auditor(s) to ascertain the nature and magnitude of the disputes.	<p><i>Verifiers:</i></p> <ul style="list-style-type: none"> • <i>Records or other relevant documents that detail past and current disputes over tenure claims and use rights are maintained and made available to SCS auditors.</i> • <i>Agreements and / or mechanisms to resolve disputes over tenure claims and use rights are documented.</i> 		
2.3.2 Forest owners or managers maintain communications with stakeholders to identify disputes in their early stages. If disputes arise, the forest owner or manager initially attempts to resolve them through direct discussions, negotiations, and/or mediation. If these good-faith efforts fail, federal, state, local, and/or tribal laws are employed to resolve disputes over tenure (see Glossary) and rights of use.			
2.3.3. FME shall not be involved in outstanding disputes of substantial magnitude over tenure or use rights on the FMU that involve a significant number of interests.			

PRINCIPLE #3: INDIGENOUS PEOPLES' RIGHTS

The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.

3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
3.1.1. The identity, location and population of all indigenous peoples, including migratory groups, living in the vicinity of the FMU are documented by the FME.			
3.1.2. The communities concerned have identified themselves as indigenous.			
3.1.3. All rights and claims to lands, territories or customary rights within the FMU are documented and/or clearly mapped.			
3.1.4. Rights identified in terms of Indicator 3.1.3 are respected.			
3.1.5 Forest management operations do not take place in areas identified in Indicator 3.1.3 above, without clear evidence of the free and informed consent of the indigenous or traditional peoples claiming such land, territory or customary rights.			

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

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
3.2.1. Forest management planning and its implementation			

incorporate measures to protect tribal resources (e.g., subsistence gathering areas, fisheries, etc. – whether on or off the forest) that may be adversely affected by management activities.			
3.2.2. As appropriate, indigenous peoples are afforded opportunities to participate in management planning, research, and monitoring on forest areas associated with indigenous resources and tenure rights			
3.2.3. FME solicits—through effective consultative mechanisms—the concerns and perspectives of potentially affected indigenous peoples; the results of such consultation are documented, including the actions taken to reasonable accommodate concerns and perspectives that have been received	<i>Verifiers: Communications between the FME and indigenous representatives are documented</i>		
3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
3.3.1. Management activities with potential impacts to sites of special cultural, ecological, economic or religious significance to indigenous peoples are guided by the precautionary principle.	Examples of these sites may include: - Ceremonial sites, burial grounds - Hunting, fishing, trapping or gathering sites/zones - Areas used for gathering of materials for important cultural uses		

<p>3.3.2. FME engages in affirmative procedures for identifying and appropriately protecting sites of special cultural or religious significance; the processes for identifying and protecting such sites are documented; the forest management plan (FMP) contains express written policies for the identification and protection of such sites.</p>			
<p>3.3.3. Field workers are appropriately trained in the procedures employed for protecting sites of special significance to indigenous peoples.</p>			
<p>3.3.4. Confidential maps recording the locations of sites of special significance are maintained up-to-date and are used by forest managers and field workers.</p>			
<p>3.3.5 As appropriate, indigenous peoples are afforded opportunities to participate in the identification and protection of sites of special cultural, ecological, economic or religious significance within the FMU.</p>			
<p>3.3.6 The confidentiality of sensitive tribal knowledge is maintained in keeping with applicable laws and at the behest of tribal representatives.</p>			
<p>3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</p>			

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
3.4.1 FME seeks to identify and document circumstances in which management activities on the FMU are reliant upon or are based upon the application of protected traditional knowledge traceable to particular indigenous peoples.			
3.4.2. If commercial utility is created through direct application of traditional knowledge, forest managers seek to compensate, through appropriate mechanisms, those indigenous peoples with whom the traditional knowledge is associated.			

PRINCIPLE #4: COMMUNITY RELATIONS AND WORKER'S RIGHTS

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

C4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
4.1.1. The FMP, or other pertinent policy document, contains express provisions demonstrating a commitment to hiring and contracting, locally, to the extent feasible in light of local capacity and needed workplace skills.			
4.1.2. Qualified people in local communities are given preferential opportunities in employment and contracting; the forest management operation	<i>Examples may include: -employment and contractual opportunities offered locally before they are offered outside the region</i>		

actively targets the local workforce.			
4.1.3. FME contributes to or directly develops training programs designed to enhance the capabilities and qualifications of local workers.			
4.1.4. There is active dialogue with representatives of local communities, aimed at identifying employment, contracting and training opportunities.			
4.1.5. FME gives preference to local vendors of equipment and miscellaneous services, subject to cost considerations.	<i>Examples may include: - timber being offered to local processors before being sold out of the region -utilization of local banks, insurance companies, etc.</i>		
4.1.6 FME contributes to public education about forestry practices in conjunction with schools, community colleges, and/or provide other opportunities for training and education.			
C4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
4.2.1. FME demonstrates a priority towards worker safety; there is an active safety program, appropriate to the scale of operations.			
4.2.2. Written guidelines and policies, appropriate to the scale of operations, exist for workplace health and safety.			
4.2.3. Appropriate safety equipment is made available to all workers.			

4.2.4. All equipment is periodically inspected and tested for safety performance.			
4.2.5. Up-to-date information on pertinent health and safety laws and regulations is maintained by FME and appropriately disseminated to forest workers.			
4.2.6. FME maintains up-to-date safety records; such records indicate exemplary performance relative to industrial norms.			
4.2.7. No work likely to jeopardize health, safety or morals shall be carried out by anyone under the age of 18 (unless there is special provision for safety, training or traditional community circumstances).			
C4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organization (ILO).			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
4.3.1. Forest managers, by their actions and policies, respect the rights of workers to organize or join trade unions and to engage in collective bargaining.			
4.3.2. Issues and grievances raised by workers and/or their organizations are investigated fairly and objectively.			
4.3.3. There are documented procedures for conflict resolution.			
C4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)

4.4.1. The FMP for the FMU contains a section presenting the results of periodic social impact assessments, appropriate to the scale of operations.			
4.4.2. Management activities and policies are modified, as appropriate, in response to the results of social impact assessment.			
4.4.3. FME engages in regular communications with neighbors and other stakeholders within the local communities; to the extent practicable, management policies and activities are sensitive to stakeholder concerns and expectations.			
4.4.4. FME endeavors to keep neighbors and members of the community informed as to planned activities on the FMU.			
C4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
4.5.1. FME shall make all reasonable efforts to avoid losses and damages affecting local peoples, and in resolving grievances related to legal rights, damage compensation and negative impacts.			
4.5.2. In the event of a grievance or dispute, FME shall implement documented dispute resolution procedures that require it to, at a minimum: a) keep a record of all complaints made			

<p>known to them relating to the FME's compliance with FSC requirements;</p> <p>b) make these records available to SCS upon request;</p> <p>c) conduct an investigation on any claims or disputes to identify the root cause;</p> <p>d) take appropriate action with respect to such complaints and any deficiencies found in FME's forest management system that affect compliance with the requirements for FSC certification; and</p> <p>e) document the actions taken to resolve grievance or dispute.</p>			
<p>4.5.3. Fair compensation or reasonable mitigation is provided to local people, communities or adjacent landowners for substantiated damage or loss of income caused by the FME.</p>			

<p>PRINCIPLE #5: BENEFITS FROM THE FOREST</p>			
<p>Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</p>			
<p>C5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>5.1.1. FME has sufficient financial capital and human resources to implement the FMP, over the long run.</p>			

5.1.2. The full costs of forest management, including environmental and social costs, are considered and adequately covered by the financial resources of the FME.			
5.1.3. Adequate investments of capital, machinery and human resources are made so as to maintain or restore the productive capacity, ecological integrity and socio-economic profile of the define forest area.			
5.1.4. Commercial (income generating) activities are financially viable, given short and medium-term market conditions and costs.			
5.1.5. Responses (e.g., increases in harvests or debt load) to short-term financial factors (e.g., fluctuations in the market, requirements for cash flow, need for sawmill equipment and log supplies) are limited to levels that enable fulfillment of the FMP.			
C5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
5.2.1. Management and marketing policies, as well as field-level decisions, systematically assure that commercial forest products are being sold for their highest and best uses.	<i>Examples may include:</i> -new products are explored and developed for common but less used species; -access to new markets is explored and developed.		

5.2.2. FME strives to diversify the mix of commercial products recovered from the forest and marketed.			
5.2.3. FME has a demonstrated track record of favoring or encouraging local processing of wood products, subject to competitive pricing and logistical considerations.			
5.2.4 When non-timber products are harvested, the management and use of those products are incorporated into the management strategy.			
C5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
5.3.1. Harvesting operations minimize waste and residual stand damage.	<i>Examples may include: -bumper trees and directional felling techniques are used to minimize unintentional tree damage</i>		
5.3.2. Yarding, log sorting, and onsite processing operations minimize product wastage, degrade and foregone revenue opportunities.			
5.3.3. Log landings or other forest product staging areas are kept to a minimum practicable number and size and are located so as to minimize adverse environmental impacts.	Guidance: The size and location of log landings should be based on impacts to sensitive ecosystems, proximity to the transportation network, and the rate at which logs at the landing can be transported to their next location.		
5.3.4. Post-harvest audits within harvest units, log landings, log sort yards			

are systematically conducted to identify avoidable wastage.			
5.3.5 Where on-site processing takes place, the foot print of the milling facility is kept to the smallest practicable size; the processing facilities are located in the most environmentally benign locales as well as in locations where losses to productive forest area are minimized.	<i>Verifiers: Records of an impact assessment with completed mitigation measures (where applicable) for placement of charcoal kilns or milling operations</i>		
5.3.6 While minimizing undue waste, FME establishes field guidelines that recognize the ecological value of biomass (e.g., tops and branches) being left on site; FME has documented guidelines for retention of downed woody debris and standing snags within harvest areas.	<i>Verifiers: Written or illustrated field guidelines for the biomass retention (snags, tops, and downed woody debris).</i>		
C5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
5.4.1. FME can demonstrate their efforts to diversify the mix of commercial products recovered from the forest and marketed.			
5.4.2. FME is cognizant of local/regional economic development plans and strategies, and takes what actions it can to support these plans and strategies.			
C5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.			

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
5.5.1. FME shall identify the full range of forest services associated with the FMU including: municipal watersheds, commercial and recreational fisheries (or the supply of water to downstream fisheries), visual quality, contributions to regional biodiversity, recreation, tourism, and any other services.			
5.5.2. Forest management activities are designed and implemented, spatially and temporally, with due consideration to the impacts on the forest services identified in 5.5.1.			
5.5.3. The FME engages in regular dialogue with stakeholders and advocates of forest services that are subject to impact from forest operations.			
C5.6 The rate of harvest of forest products shall not exceed levels that can be permanently sustained.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
5.6.1. For natural forest management operations, the annual allowable cut (AAC) of forest products, either by area or volume, shall be established by a combination of empirical data and published literature, based on conservative, well-documented growth and yield estimates to ensure	Verifiers: <ul style="list-style-type: none"> • Growth and yield data • Stand table projections • Management plan Applicability note: Short rotation crops, such as Christmas tree farms established on forest soils prior to November 1994 may be certified as part of natural forest management		

<p>that the rate of harvest does not exceed the calculated rates of long-term growth.</p>	<p>certificates if the area used for the farm amounts to a limited portion of the FMU (generally <5% of the FMU).</p>		
<p>5.6.2. For plantation forest management, the growth and harvest rates (for thinning and final cuts), shall be based on well-documented information and/or field trials, and be consistent with the observed behaviour of the species at the national or regional level.</p>	<p>If the primary purpose of the FMU is to produce Christmas trees or other short rotation crops, then these may be treated as plantations and subject to Principle 10. Christmas tree farms and other short rotation crops are subject to all of the requirements of the standard, including Criterion 5.6. See FSC-DIS-01-001 and Sustainable Forest Management: Support to Forest Stewardship Council D 1.1(June 2010) for more information.5.6.1 is applicable to natural/ semi-natural forest management. 5.6.2 is applicable to plantation forest management.</p>		
<p>5.6.3. For large FMEs: Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated AAC. For SLIMF: On SLIMF forests, harvest levels and rates do not exceed growth rates over successive harvests, contribute directly to achieving desired future conditions as defined in the FMP, and do not diminish the long term ecological integrity and productivity of the site.</p>			
<p>5.6.4. Harvest levels shall be set such that inventories of desired species increase over</p>			

<p>time, unless it is substantiated that current inventories (measured in average standing volume per hectare) exceed optimal levels.</p>			
<p>5.6.5. For operations harvesting NTFPs, management strategies incorporate the best available monitoring and inventory data to calculate a conservative growth and harvest rates.</p>			
<p>5.6.6. For timber investment management programs (see FSC-STD-50-001 (V1-2), section 9): If growth projections are used to make claims on the rate of financial return, the FME shall include a visible declaration on all material that carries the FSC or certification body trademarks regarding the responsibility of financial claims (e.g., “FSC and SCS are not responsible for and do not endorse any financial claims on returns on investments”).</p>	<p><i>Guidance: A timber investment organization is a forest management project established in a natural or plantation forest (e.g., a TIMO or REIT), where the FME uses funds from various investors to achieve management objectives, usually in exchange for returns on investment within a specified timeframe.</i></p>		

PRINCIPLE #6: ENVIRONMENTAL IMPACT

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

C6.1. Assessments of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.1.1. Standard operating procedures for the FMU include the completion of project (site)-level environmental impacts assessments, scaled to the size and complexity of operations, prior to commencement of site disturbing activities.			
6.1.2. In addition to project-level assessments, FME also completes landscape-levels environmental impact assessments where, for instance, the cumulative effects of forest operations within and nearby the FMU are addressed.			
6.1.3. To provide background for environmental impact assessments, the regional, sub-regional, and landscape environmental context of the FMU is established and documented (preferably in the FMP), consistent with the scale and intensity of operations.			
6.1.4. Planned management activities are appropriately modified based upon the results of the environmental impact assessments; that is, day-to-day activities are influenced by environmental assessments.			
6.1.5 Information and data necessary to complete competent impact assessments are being systematically gathered by the FME.			

6.1.6 Current ecological conditions are compared to historical conditions at the landscape level by using information generated from environmental impact assessments.			
For FMU's meeting SLIMF requirements, only the following indicator(s) apply:			
6.1.7 FME demonstrates knowledge of the possible negative impacts of its activities and seeks to minimize them.			
C6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.2.1. Management policies are established and duly documented that commit the FME to protect rare, threatened and endangered species and their habitats.			
6.2.2. Endangered species polices comply with all pertinent local, state and federal laws and regulations, as well as international treaties, regarding endangered species.			
6.2.3. FME demonstrably adheres to the endangered species policies set by the FME.			
6.2.4. FME forges positive and collaborative working relationships with pertinent officials from local, state and federal agencies charged with enforcing endangered species statutes.			

<p>6.2.5. "Listed" species, their habitats, and sites with unusually high species and/or ecosystem diversity are identified through field surveys or other sources and protected or managed at a level sufficient to ensure that viable populations are maintained or restored; the level of effort should be scaled to the size and complexity of operations.</p>			
<p>6.2.6. As appropriate, field employees are trained in the recognition of endangered species and their habitats.</p>			
<p>6.2.7 Areas of critical habitat for listed species are duly delineated, appropriately managed, and recorded on maps of appropriate scale.</p>			
<p>6.2.8 When rare, threatened or endangered species or plant community types are present or assumed to be present, control of hunting, fishing, trapping and collecting is adequate to protect species and/or plant communities.</p>			
<p><i>For FMU's meeting SLIMF requirements, only 6.2.5, 6.2.6, and the following indicator(s) of this criterion apply; the following indicator(s) are not to be used for assessing non-SLIMF operations:</i></p>			
<p>6.2.9. Where information exists on rare, threatened and endangered species and their habitats, the forest manager uses this</p>			

information to map and protect them.			
6.2.10. Habitat features that are important for conservation are identified and protected.			
6.2.11 Hunting or fishing for commercial purposes is regulated. Fishing using dynamite and toxic substances is not permitted. Other inappropriate hunting fishing, trapping and collecting are controlled.			
6.2.12 The use of fires is controlled inside the FMU and the forest manager assists in fire prevention or regulation in the surrounding area.			
C6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.3.1. Known ecological functions and values are described in the FMP and updated periodically as additional information/knowledge is acquired; FME takes affirmative steps to eliminate gaps in information and knowledge about ecological functions within the FMU.			
6.3.2. Subject to the scale operations, the forest is managed so as to maintain a full range of successional stages at distributions within the range of natural variability.			
6.3.3. The FMP incorporates principles of			

landscape and ecosystem-based planning; the plan contains goals pertaining to biological diversity for the range of spatial scales from genetic diversity to landscape diversity.			
6.3.4. Harvesting prescriptions maintain, enhance or restore natural forest composition; management is aimed at maintaining all naturally occurring species.			
6.3.5. Harvesting is designed and laid out, over time and space, with consideration of the types, sizes and frequency of natural disturbances as well as connectivity of wildlife habitats.			
6.3.6. Regeneration after final harvests are timely and successful; young stands, either planted or naturally established, are well-stocked with desired species, vigorous and on the trajectory to healthy merchantable stands.			
6.3.7 Managers work with rather than fight natural regeneration; natural regeneration, even in planted stands, is managed so as to enhance species and structural diversity.			
6.3.8 FME, through its actions, policies and prescriptions, demonstrates a working knowledge of ecological functions pertinent to the forest types in which it works.			
6.3.9 Special habitats (such as wetlands, riparian areas,			

unstable slopes and rock outcrops) are protected.			
6.3.10 Site disturbing activities (e.g., harvesting, road building, site preparation, planting) minimize adverse impacts to soil fertility, structure, organic layers and nutrients.			
6.3.11 Coarse woody debris is maintained in the form of large fallen trees, large logs, and snags of various sizes.			
<p>C6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources. Note: For plantations, opportunities to restore representative samples of existing ecosystems should be identified during the assessment, consistent with C10.5.</p>			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.4.1. Appropriate to the scale and intensity of operations, a network of protected areas is established within the FMU; in establishing the network, FME balances ecological and economic considerations in an exemplary manner.			
6.4.2. FME compiles information regarding the extent to which representative samples of existing ecosystems are protected within the regional landscape; where gaps exist within the landscape, FME takes actions that contribute to correcting those deficiencies, appropriate to the scale and intensity of operations.			
6.4.3. Areas of ecological significance within the FMU (e.g., due to uniqueness or			

rarity) are appropriately protected.			
6.4.4. Protected areas within the FMU are delineated on maps and addressed in the FMP, including written management and protection policies.			
For FMU’s meeting SLIMF requirements, only the following indicator(s) apply:			
6.4.5 Representative samples of ecosystems are identified, recorded on maps, and excluded from the harvesting area. If existing representative samples of ecosystems are already adequately protected on other private or public properties within the region then no additional samples would need to be identified and protected.			
6.4.6 For plantations, where it is ecologically and economically unviable for the FME to manage a restoration area, it demonstrates off-site contributions to the management and/or restoration of similar landscape and ecosystem types either jointly with other adjacent small operations, or in-kind by supporting an existing protected area.			
C6.5. Written guidelines shall be prepared and implemented to control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and to protect water resources.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)

<p>6.5.1. The FMP, or another pertinent policy document, contains express written guidelines for effectively minimizing soil erosion as a result of site disturbing activities.</p>			
<p>6.5.2. The FMP, or another pertinent policy document, contains express written guidelines for effectively minimizing damage to forest vegetation as a result of site disturbing activities.</p>	<p>Intent: BMPs for water quality, erosion control, protection of forest resources during harvesting, road construction, and all other mechanical disturbances provide a foundational minimum for compliance with this Criterion.</p> <p>BMPs include both voluntary and mandatory state and regional BMPs, as well as analogous terms used in certain states (e.g., Site Level Guidelines).</p> <p>Isolated and minor situations of non-compliance with BMPs may or may not result in a finding of nonconformance with the Indicator.</p>		
<p>6.5.3. The FMP, or another pertinent policy document, contains express written guidelines for effectively protecting water resources (e.g., stream courses and adjoining riparian areas, wetlands, seeps and springs) found within the FMU; protection measures exceed applicable regulatory requirements and/or best management practices.</p>			
<p>6.5.4. Forest managers and forest workers demonstrate a working knowledge of these protection guidelines and, in fact, systematically comply with them in day-to-day operations.</p>			

6.5.5. All watershed, riparian, and aquatic features are identified, classified, and mapped.			
6.5.6 Road construction, maintenance and closure standards are followed in the field; road surfaces are well drained, culverts are large enough to accommodate peak flow, and water bars are appropriately installed and they operate effectively.			
6.5.7 Logging operations and construction of roads and skid trails are conducted only during periods of weather when soil compaction, surface erosion, or sediment transport into streams and other bodies of water can be minimized.			
6.5.8 Stream crossings are located and constructed to minimize impacts on water quality and fragmentation of aquatic habitat (see Glossary).			
C6.6. Management systems shall promote the development and adoption of environmentally friendly non chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.6.1. All chemical pesticide use in nurseries, FMUs or processing facilities occurs within the context of an integrated pest management program; pesticides are only used when non-chemical			

<p>management has been proven ineffective or cost-prohibitive.</p>			
<p>6.6.2. If the FME uses chemical pesticides, the FME and its contractors shall:</p> <ul style="list-style-type: none"> • Have a complete list of chemical pesticides used; • Maintain records of all pesticides used, including the name of the product, active ingredient(s), location and method of application, total quantity applied, and the dates of application; • Comply with all safety regulations during the transport, manipulation, application, and storage of chemical pesticides; • Where required by law, field personnel shall be properly licensed to apply chemical pesticides; • Use appropriate equipment and gear to assure safe application; <p>Provide adequate supervision and training to personnel and contractors related to the transport, storage, manipulation, and application of chemical pesticides.</p>			
<p>6.6.3. The FME shall not use highly hazardous chemical pesticides as defined by the FSC (FSC-POL-30-601), those prohibited in the country, pesticides classified as Type 1A or 1B by the World</p>	<p>Note: See FSC-GUI-30-001 for a list of FSC-prohibited chemicals.</p> <p>If FME is an applicant for certification and is in nonconformance to this indicator and wishes to file a</p>		

Health Organization (WHO) or pesticides composed of hydrocarbons or chlorine. Exceptions are made when the FSC has permitted a formal derogation to the FME in the applicable territory. In such cases, the FME shall follow the terms of the approved derogation.	derogation request, rather than discontinue use of prohibited chemical, it may submit its derogation request to SCS prior to being awarded certification. If FSC IC denies the derogation request, the FME shall not use the prohibited chemical.		
C6.7. Chemicals, containers, liquid and solid non organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off site locations.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.7.1. Toxic chemicals and their containers are disposed of, off site, in an environmentally sound and legal manner, whether from forest operations or processing facilities.			
6.7.2. There are contingency plans and procedures for prevention and cleanup following spills or other accidents involving chemical pesticides, oils and fuels.			
6.7.3. There are on-site facilities for secure collection of waste.			
6.7.4. Fuel tanks and storage areas are located, and equipment is parked, outside of riparian management zones and away from sinkholes. There is no evidence of ground or surface water contamination.			
C6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.8.1. There shall be no use (defined as commercial	Note: Non-conformance to this Indicator constitutes a		

use as well as research) of genetically modified organisms within the FMU.	Major Failure and precludes award of certification until appropriately corrected.		
6.8.2 All use of biological control agents takes place within the context of an integrated pest management program that documents, minimizes, monitors, and strictly controls their application.			
6.8.3. Use of biological control agents takes place only where demonstrably necessary and only under strict protocols in compliance with applicable laws and regulations.			
C6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.9.1. Exotic species (tree species as well as other flora and fauna) are introduced into the FMU only after active investigation of the potential environmental hazards.			
6.9.2. When exotic species are used, it is governed by written guidelines for controlling off-site regeneration; active ongoing monitoring is mandatory.			
6.9.3. Invasive exotic species are not used.			
6.9.4 Forest owners or managers develop and implement control measures for invasive exotic plants.			
C6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:			
<ul style="list-style-type: none"> a) entails a very limited portion of the forest management unit; and b) does not occur on high conservation value forest areas; and 			

c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
6.10.1. FME shall not convert forests to plantations or non- forest land uses, except where the conversion meets the conditions of 6.10.2 – 6.10.4 below.			
6.10.2. If conversion occurs, the area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the FMU.			
6.10.3. If conversion occurs, the FME shall demonstrate that any conversion produces clear, substantial, additional, secure, long-term conservation benefits across the FMU.			
6.10.4. If the conversion occurs, it shall not occur on high conservation value forest areas.			

PRINCIPLE #7: MANAGEMENT PLAN

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

7.1. The management plan and supporting documents shall provide:

- a) Management objectives.
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.
- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.
- d) Rationale for rate of annual harvest and species selection.
- e) Provisions for monitoring of forest growth and dynamics.
- f) Environmental safeguards based on environmental assessments.
- g) Plans for the identification and protection of rare, threatened and endangered species.

<p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.</p> <p>i) Description and justification of harvesting techniques and equipment to be used.</p>			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
7.1.1. There shall be a written FMP for the FMU that addresses the subjects and plan components enumerated in this criterion, above;			
7.1.2. The FMP contains both long term goals and objectives as well as short and near term tactical direction;			
7.1.3. Forest managers and forest workers, through their actions and policies, demonstrate a commitment and ability to implement the FMP;			
7.1.4. The duration of the FMP is defined therein			
For FMU's meeting SLIMF requirements, only the following indicator(s) apply;			
<p>7.1.5. A written FMP exists and is implemented. The FMP includes which includes at least the following:</p> <p>a) The objectives of management;</p> <p>b) A description of the forest;</p> <p>c) How the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability;</p> <p>d) Sustainable harvest limits (which must be</p>			

<p>consistent with FSC criteria 5.6);</p> <p>e) Plans for monitoring forest growth;</p> <p>f) Environmental/ social impacts of the plan;</p> <p>g) Conservation of rare species and any high conservation values;</p> <p>h) Maps of the forest, showing protected areas, planned management and land ownership;</p> <p>i) Pest and weed control planned;</p> <p>j) Duration of the plan.</p>			
<p>C7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>7.2.1. The FMP is revised and updated at regular intervals, at a frequency defined therein. The FMP is kept current and relevant based on the results of monitoring and emerging scientific/ technical information.</p>			
<p>C7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>7.3.1. Appropriate to the scale and intensity of operations, there is a documented protocol by which forest workers are duly trained as to their role in implementing the FMP.</p>			
<p>7.3.2. Records are maintained as to when each forest worker received training on the FMP.</p>			

7.3.3 Both employees and contractors receive appropriate levels of training and/or supervision with respect to the FMP.			
C7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
7.4.1. While respecting landowner confidentiality, the FMP or a summary of the FMP that outlines the elements of the plan described in Criterion 7.1 is available to the public either at no charge or a nominal fee.			
7.4.2. FME shall update the public summary of the FMP as necessary, or, at a minimum, during full revisions of the FMP.			

PRINCIPLE #8: MONITORING AND ASSESSMENT

Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

C8.1. The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
8.1.1. Consistent with the scale and intensity of operations, the FME shall implement shall conduct consistent and replicable documented procedures for the elements mentioned in C8.2 and chain of custody (C8.3).			

8.1.2. FME shall demonstrate that monitoring protocols have been implemented consistently over time.			
C8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: <ul style="list-style-type: none"> a) Yield of all forest products harvested. b) Growth rates, regeneration and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Costs, productivity, and efficiency of forest management. 			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
8.2.1. Appropriate to the scale and intensity of operations, FME periodically gathers information on the indicators enumerated in this criterion, above;			
8.2.2. The information that is gathered is utilized, appropriately;			
8.2.3. Written records are kept of the annual or periodic harvest levels, at levels of specificity appropriate to the scale and intensity of operations;			
8.2.4. FME demonstrates a commitment to acquiring and utilizing information on key indicators pertaining to the production, environmental and socio-economic profiles of its operation.			
For FMU's meeting SLIMF requirements, only the following indicator(s) apply;			
8.2.5. Appropriate to the scale and intensity of operations, FME periodically gathers information on the indicators enumerated in this criterion, above;			

<p>8.2.6 FME knows what information they need in order to judge progress towards their objectives. The information is collected and recorded. In all cases this will include:</p> <ul style="list-style-type: none"> • Amount of products harvested; • Effects of operations as identified under Criteria 6.1; • Changes in features identified under Criteria 6.2; • At least annual monitoring of high conservation values identified under Criteria 9.1; • Invasive exotic species. 			
<p>C8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>8.3.1. The FME shall have written procedures for the tracking of certified products per SCS' COC indicators for FMEs.</p>			
<p>8.3.2. The FME shall implement consistently the COC procedures defined in indicator 8.3.1.</p>			
<p>C8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>8.4.1. FME shall incorporate the results of monitoring of C8.2 into the revision of the FMP.</p>			
<p>8.4.2. Where monitoring results indicate that management objectives are not being met, FME shall</p>			

modify its implementation of the management plan.			
C8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
8.5.1. While protecting FME confidentiality, either full monitoring results or an up-to-date summary of the most recent monitoring information is maintained, covering the Indicators listed in Criterion 8.2, and is available to the public, free or at a nominal price, upon request.			
8.5.2. FME shall update the public summary of monitoring results as necessary, or, at a minimum, during full revisions of the FMP.			

PRINCIPLE #9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

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

Note: FSC defines High Conservation Value Forests as those that possess one or more of the following attributes:

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

C9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
<p>9.1.1. The FME shall conduct an evaluation to identify High Conservation Values (HCV) attributes present in the FMU. This evaluation, at a minimum, shall include:</p> <ul style="list-style-type: none"> • Consultation of regional or national conservation databases and maps; • Consultation of the national HCVF toolkit, if it exists, or the first and third parts of the international toolkit for HCV presence (see <i>HCVF Toolkit</i> by WWF)¹; • Consideration of forest inventory data and observations from field workers, contractors or consultants of the FME; • Interviews with biologist and scientific experts, local communities, and other stakeholders; • Identification and documentation of possible threats to HCVs. 			
<p>9.1.2. For non-SLIMF operations the FME shall:</p> <ul style="list-style-type: none"> • Provide a written evaluation for HCVs that includes the elements of 9.1.1 and proposals to protect these HCVs; • Provide a technical explanation for the HCVs identified and the recommendations 			

¹ *HCVF Toolkit: Guidance for High Conservation Value Forests assessment*
[\(http://www.panda.org/what_we_do/how_we_work/conservation/forests/tools/hcvf_toolkit/\)](http://www.panda.org/what_we_do/how_we_work/conservation/forests/tools/hcvf_toolkit/)

<p>presented for the protection of these attributes; and</p> <ul style="list-style-type: none"> • Demonstrate that actions are being taken to protect and/or reduce threats to HCVs that stem from the FME’s management activities. 			
<p><i>For FMU’s meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i></p>			
<p>9.1.3. FME shall consult environmental stakeholders, government officials or researchers to identify HCVs and/or HCVFs.</p>			
<p>9.1.4. FME shall consult the national HCVF toolkit, if it exists, or other relevant regional information to identify potential HCVs. In the absence of sufficient national or regional guidance, the first and third parts of the international toolkit for HCV presence should be consulted.</p>			
<p>C9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
<p>9.2.1. The results of stakeholder consultation related to HCVs shall specify clearly the conservation values that were identified, as well as the proposed strategies for their maintenance, enhancement or reduction of threats. Large</p>			

FMEs shall document this consultation.			
9.2.2. The FME shall maintain a list of all of pertinent stakeholders that the certifier can interview related to HCVFs.			
9.2.3. The results of stakeholder consultation shall indicate that the FME consistently considers and protects areas of HCV.			
C9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
9.3.1. The FME, in the FMP and its public summary, shall describe the conservation values of each area of HCV identified in the FMU, as well as the actions taken to maintain and/or enhance these values.			
9.3.2 The FME shall update the HCV public summary, at a minimum, with HCV re-evaluations conducted under indicator 9.4.4.			
9.3.3. The FME shall provide evidence in the field that it implements measures to maintain and/or enhance HCVs, consistent with a precautionary approach.			
C9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
9.4.1. Measurable monitoring indicators, including qualitative and quantitative, are developed and presented			

in the HCV section of the FMP.			
9.4.2. Consistent with the scale of and intensity of operations, annual or periodic monitoring is conducted that focuses on the effectiveness by which HCV management and protection measures are maintaining and/or enhancing the pertinent conservation attributes according to the indicators developed in 9.4.1.			
9.4.3. The results of HCV monitoring are used adaptively in modifying HCV management and protection policies, as well in revising the FMP.			
9.4.4. The HCV assessment is reevaluated every 10-15 years to ensure that any new HCV values are detected and that previously identified HCVs are being maintained and/or enhanced in the long-term.			

PRINCIPLE # 10: PLANTATIONS

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

Applicability Note: Plantations, are defined as tree-dominated areas substantially lacking in natural forest attributes (e.g. structure and species composition native to the area) that usually require human intervention in order to be maintained. A "planted forest" is not necessarily a "plantation" since it may be part of a management regime that maintains most natural forest attributes indigenous to the area. The following practices contribute to a management regime being considered plantation forestry and the land managed being classified as a plantation:

- *Cultivation of exotic species;*
- *Use of even-aged silviculture for forest types that do not regenerate naturally through stand-replacing events;*

- *Use of even-aged silviculture with rotations so short as to preclude the development of mid-successional stand characteristics;*
- *Use of even-aged regeneration units that lack retention, and are uncharacteristic of the natural disturbance regimes referred to in 6.3.a.4;*
- *Systematic use of, and reliance on, chemical herbicides, pesticides, and fertilizers;*
- *Through planting or thinning practices, a single species is maintained on sites normally occupied by multiple-species forests.*

C10.1. The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.1.1. FMP for plantations shall include silvicultural and socioeconomic objectives, as well as for conservation and restoration of natural forests.			
10.1.2. FME shall demonstrate evidence of implementation of the objectives identified in 10.1.1 and their associated policies in forest management activities and/or administrative actions.			

C10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.

Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.2.1. The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.			
10.2.2. The FME shall design plantations to include stands with a			

diversity of age classes and rotation periods.			
10.2.3. The FME identifies and conserves all areas of natural vegetation within the FMU.			
10.2.4. The FME protects, maintains, and enhances natural vegetation and wildlife corridors in accordance to Criterion 6.3.			
10.2.5. Buffer zones of natural vegetation are maintained or established along watercourses in accordance to C6.5.			
10.2.6 Even-aged harvests lacking within-stand retention are limited to forty acres, unless a larger opening can be justified by credible scientific analysis.			
10.2.7 Before an area is harvested, regeneration in previously harvested adjacent areas reaches a mean height of at least ten feet or achieves canopy closure along at least 50% of its perimeter.			
C10.3. Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.3.1. FME shall employ a variety of species, provenances, and/or clones to achieve optimal economic, ecological and social stability.			
10.3.2. The FME shall introduce diversity to established and new plantations in accordance			

<p>to indicators 10.2.2 and 10.3.1, and through practices such as: cut blocks of different size and shape, and maintenance of volunteer (naturally established) seedlings and other structural components within plantation stands.</p>			
<p>C10.4. The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</p>			
<p>Indicators</p>	<p>Verifiers, Examples, and Notes</p>	<p>Evaluation Team Notes</p>	<p>Conformance (C, NC or NA)</p>
<p>10.4.1. Exotic tree species are planted only after an assessment of native species is conducted, in which it is demonstrated that native species cannot achieve comparable performance levels.</p>			
<p>10.4.2. Periodic monitoring is conducted of the adaptability of exotic stands, as indicated by measured levels of mortality, disease and insect outbreaks; the results of monitoring are summarized and made available to the SCS auditor(s).</p>			
<p>10.4.3. Selection of plantation species and provenances is based on documented trials that demonstrate their suitability to the plantation sites and management objectives.</p>			

10.4.4. Information about the source of seed or planting stock is presented in the FMP or another suitable document.			
C10.5. A proportion of the overall forest management area, appropriate to the scale of the plantation, shall be managed so as to restore the site to a natural forest cover.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.5.1. Representative samples of existing natural ecosystems are protected or restored in their natural state, consistent with C6.4.			
C10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.6.1. Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.			
10.6.2. FME shall implement BMPs established in C6.5 to minimize impacts to soil and water resources.			
10.6.3. Where degradation and/or other negative impacts to soil and water resources have occurred on the FMU, the FME shall implement measures to mitigate such impacts.			
10.6.4 Fertilizer is applied only when the following conditions are met: 1. Soil classification or foliar analysis indicates one or more nutrients			

<p>would be the limiting factor for tree growth.</p> <p>2. Records are on file for prescriptions and applications.</p> <p>3. Data and/or scientific literature suggest that the response to fertilization is economically justified.</p> <p>4. There is no runoff or leaching of fertilizer into low-nutrient systems, such as pitcher plant bogs.</p>			
<p>C10.7. Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
<p>10.7.1. If chemical fertilizers and pesticides are used, an integrated pest management plan shall exist that identifies pests, determines acceptable injury or action thresholds, chemical use, if applicable, and alternative methods of addressing pests.</p>			
<p>10.7.2. Measures shall be taken in the forest to prevent outbreaks of pests, disease, and invasive plant introductions.</p>			
<p>10.7.3. FME shall implement a strategy to minimize the use of chemical pesticides and fertilizers over time and space.</p>			
<p>10.7.4. FME shall implement a program to</p>			

prevent and control fire on plantations within the FMU.			
C10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in Principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.8.1. Monitoring of the impacts of plantations, both on and off-site, shall be conducted in the same manner as the monitoring of natural forests, in accordance with Principles 4, 6, and 8.			
C10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.			
Indicators	Verifiers, Examples, and Notes	Evaluation Team Notes	Conformance (C, NC or NA)
10.9.1. Records are of sufficient detail to enable the SCS auditor(s) to determine if conversion of natural forests to plantations has occurred since November, 1994.			
10.9.2. Areas converted from natural forest to plantation since November 1994 are not certified, except where the FME provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion.			

Annex 1- Pertinent Laws and Regulations

Federal Laws and Policies

- Endangered Species Act.
- Migratory Bird Treaty Act.
- Lacey Act (concerning trade in illegally taken fish, wildlife, or plants).
- Federal Plant Pest Act and the Plant Quarantine Act.
- Coordinated Framework for the Regulation of Biotechnology, Office of Science & Technology, 19986.
- Federal Water Pollution Control Act/Clean Water Act..
- Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA)/Federal Environmental Pesticide Control Act (FEPCA).
- Resource Conservation & Recovery Act (RCRA), in relation to hazardous chemicals.
- Comprehensive Environmental Response, Compensation and Liability Act (CERCLA, commonly known as "Superfund").
- Clean Air Act.
- National Historic Preservation Act, including in relation to American Indian sites.
- Occupational Safety & Health Act.
- Federal policy on income taxes, capital gains taxes, inheritance taxes, reforestation tax credits, and other relevant taxes.
- Federal business practices law.
- Hawai'i Endangered Species law (Haw. Rev. Stat. §195D et seq.).

Annex 2- International Agreements

International treaties and agreements to which the U.S. is a signatory or a party:

- Convention on Nature Protection and Wild Life Preservation in the Western Hemisphere (Washington, 1940).
- Convention on Wetlands of International Importance Especially as Waterfowl Habitat (RAMSAR) (2 Feb 1971).
- Convention for the Protection of the World Cultural and Natural Heritage (16 Nov 1972)
- Convention concerning the Protection of the World Cultural and Natural Heritage (Paris, 1972).
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (Washington, 1973).
- International Plant Protection Convention (1979 Revised Text) (Rome, 1979).
- Convention on the Conservation of Migratory Species of Wild Animals (23 Jun 1979).
- Amendment to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (Art.XI) (Bonn, 1979);
- Convention on Environmental Impact Assessment in a Transboundary Context (Espoo, 1991);
- Convention for the Conservation of Anadromous Stocks (Moscow, 1992);
- Agenda 21, United Nations Convention on Environment & Development (UNCED), Rio de Janeiro, 1992.
- Forest Principles, UNCED, 1992.
- Convention on Biological Diversity (5 Jun 1992)
- Framework Convention on Climate Change, UNCED, 1992.
- International Tropical Timber Agreement (Geneva, 1994)
- Withdrawn, Kyoto Protocol to the United Nations Framework Convention on Climate Change (Kyoto, 1997)

Annex 3- Endangered Species

The listing of federally endangered species within the State of Hawaii is maintained by the U.S. Fish and Wildlife Service. The federal list of endangered animals and plants can be found through the FWS website, <http://endangered.fws.gov/wildlife.html>, or by directly visiting:

http://ecos.fws.gov/tess_public/servlet/gov.doi.tess_public.servlets.UsaLists?state=HI. In addition, Hawai'i State law protects endangered plants and animals under HRS 195-D. The state law is more restrictive regarding take of listed plants than the US law. In cases where state law provides greater protections, the federal law rises to meet the State standard. The State endangered law can be found through the "Bill Status and Documents" link on the State government website at:

<http://www.capitol.hawaii.gov/>. The State list of endangered plant species may be found at <http://www.state.hi.us/dlnr/dofaw/pubs/TEplant.html>.

Annex 4- Glossary

Words in the P&C are used as defined in most standard English language dictionaries. The precise meaning and local interpretation of certain phrases (such as local communities) should be decided in the local context by forest managers and certifiers. In this document, the words below are understood as follows:

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

Biological diversity values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components.

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

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

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

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

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

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

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

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

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

Forest management enterprise (FME): Organization or operation responsible for forest management; synonymous with forest management/ manager.

Forest management plan (FMP): the full suite of documentation used to guide and implement management activities on the FMU.

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

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

Indigenous lands and territories: The total environment of the lands, air, water, sea, sea-ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used.

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

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

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

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

Local laws: Includes all legal norms given by organisms of government whose jurisdiction is less than the

national level, such as departmental, municipal and customary norms.

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

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

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

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

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

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

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

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

Restoration : The act of modifying a habitat or ecosystem to introduce or reintroduce components and characteristics appropriate to the site both ecologically and historically.

Seral stage: a temporary community of vegetation, defined by the dominant species, which indicates the successional phase of the ecosystem

Short rotation coppice systems -harvest systems, which are typically perpetuated long-term, and in which only a few characteristics of an indigenous ecosystem remain.

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

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

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

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

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