



SGS QUALIFOR

FOREST MANAGEMENT STANDARD FOR PLANTATIONS IN BRAZIL

2011

This checklist presents the SGS Qualifor standard for forest certification against the FSC Principles and Criteria. This standard forms the basis for:

- Development of a regional standard
- Scoping assessment
- Certification assessment
- Surveillance assessment
- Information to stakeholders on the assessment criteria used by SGS Qualifor

PHYSICAL ADDRESS		International	Local
		SGS QUALIFOR 58 Melville Street Booyens 2091 South Africa	SGS ICS Certificadora Ltda (Brasil) Av. das Nações Unidas, 11.633 CEP 04578-000 – São Paulo / SP Brasil
CONTACT	Person:	Gerrit Marais	Luciana Bernardini e Paula Azambuja
	Telephone:	+27 (0)11 681 2500	+55 11 5501 4827
	Email :	forestry@sgs.com	Paula.Azambuja@sgs.com
	Web address:	WWW.SGS.COM/FORESTRY	

ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

The objective of local adaptation of the SGS Qualifor standard is to:

- i. identify any aspects of the standard that may be in conflict with legal requirements in the area in which the standard is to be used, and if such a conflict is identified shall evaluate it for the purposes of certification in discussion with the involved or affected parties. Conflict only occurs where a legal obligation *prevents the implementation of* some aspect of the generic standard. It is not considered a conflict if the requirements of the generic standard exceed the minimum requirements for legal compliance;
- ii. identify any aspects of its generic standard, which specify performance thresholds lower than the minimum legal requirement in the country concerned. If any such differences are identified the relevant thresholds shall be modified to ensure that they meet or exceed the minimum national requirements.
- iii. add specific indicators (with appropriate means of verification if required) and/or cross-references to the identified documentation to evaluate compliance with key requirements of the national and local forest laws, administrative requirements and multi-lateral environmental agreements related to the FSC Principles 1 - 10.
- iv. take account of the national context with regards to forest management;
- v. take account of national environmental, social and economic perspectives;
- vi. ensure that the standard is applicable and practical in the country concerned;
- vii. ensure that the standard is applicable and practical to the size and intensity of management of the Forest Management Unit concerned;
- viii. address specific issues that are of general concern to any stakeholder group in the country concerned.

SGS QUALIFOR is not required to seek or develop a consensus with regard to the modification of our generic standard. SGS Qualifor will however make meaningful accommodation of stakeholder concerns and will be guided in this by:

- i. our knowledge of the indicators and means of verification that have been included in other, FSC-accredited, regional, national or sub-national standards, with regard to the issues raised;
- ii. advice provided in writing by the FSC National Initiative in the country concerned as to the likelihood that a proposed modification would have the support of the majority of the members of each chamber of an FSC working group active in that country;
- iii. advice provided in writing by an FSC Regional Office covering the country concerned, as to the likelihood that a proposed modification would have the support for the majority of FSC members of each chamber in the region.
- iv. the scale and intensity of forest management.

SGS QUALIFOR should be able to demonstrate that the requirements of the locally adapted generic standard are broadly in line with the requirements of other FSC-accredited national standards applicable to similar forest types in the region, and with any guidance received from an FSC National Initiative in the country concerned.

SGS Qualifor is not required to make further changes to the locally adapted standard used for an evaluation during the period of validity of the certificate except as necessary to bring it into compliance with any FSC Policies, Standards, Guidance or Advice Notes subsequently approved by FSC.

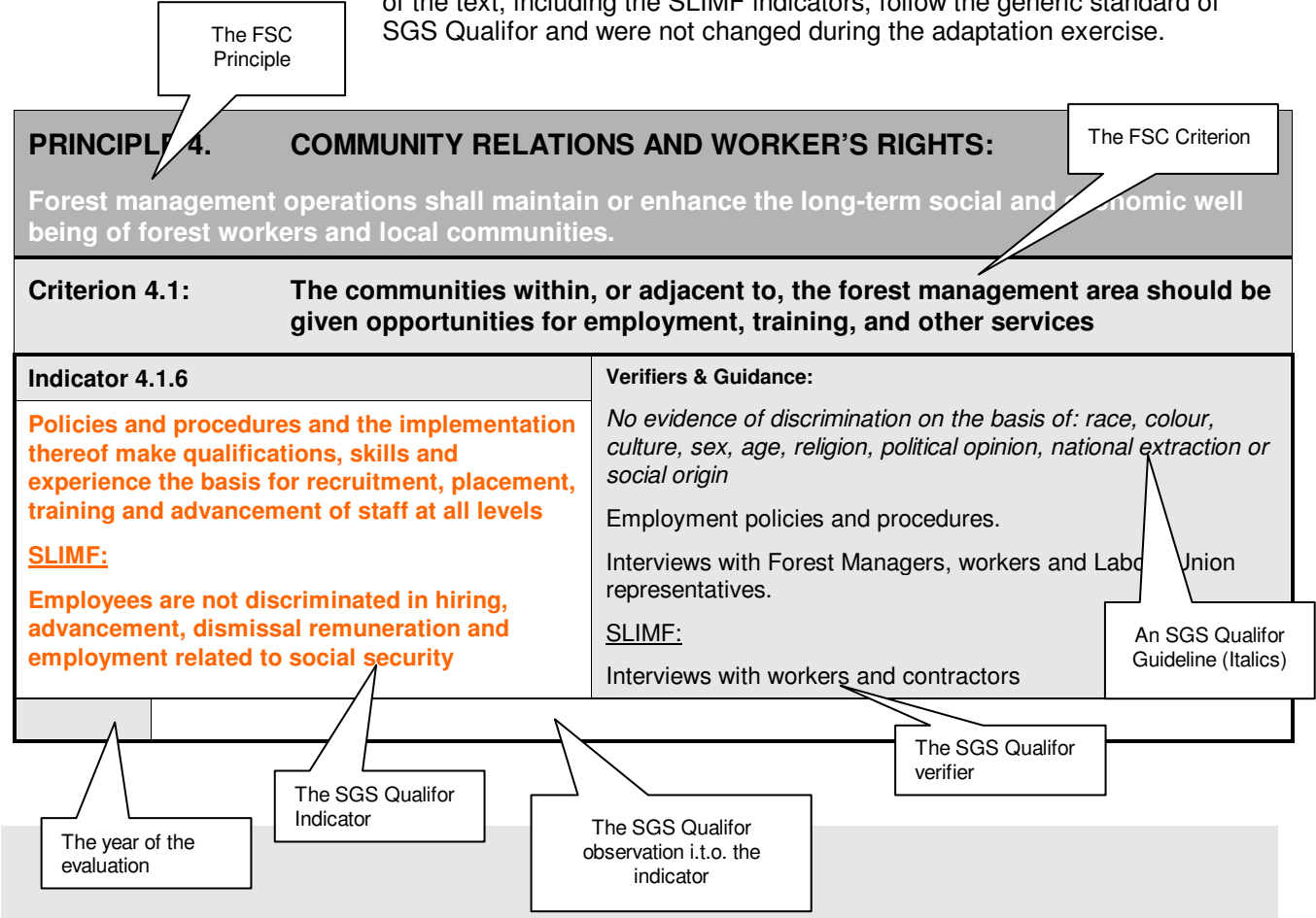
LAYOUT OF THE STANDARD:

The standard follows the FSC Principles and Criteria of Forest Stewardship (January, 2000). The Standard is divided into 10 sections, each corresponding to one of the FSC principles with the criteria listed underneath each principle. Refer to the diagramme on the next page for further clarification.

Each page of the standard is divided into 3 columns. The standard also serves as the checklist that is used during an assessment and for every criterion the following is provided:

The Qualifor Requirement: Indicator	This outlines the norm or indicators that Qualifor requires for compliance with the specific FSC criterion. A potential source of information or evidence that allows an auditor to evaluate compliance with an indicator. Some indicators make a distinction between the requirements for “normal” forests and SLIMF operations (Small and Low Intensity Managed Forests).
Verifiers	Verifiers are examples of what the SGS assessor will look for to ascertain if the specific norm or indicator has been met. This list is not exhaustive and the assessor may use other means of verifying the relevant indicator.
Guidance	Guidance is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator.

Note: Only the text in **RED** indicates the local adaptation/insertion. The rest of the text, including the SLIMF indicators, follow the generic standard of SGS Qualifor and were not changed during the adaptation exercise.



THE STANDARD

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

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

Indicator 1.1.1	Verifiers & Guidance:
There is no evidence of significant non-compliance with all national and local laws and administrative requirements	<p>Interviews with and information supplied by regulatory authorities, other stakeholders and Forest Managers.</p> <p>Control of required legal documentation. policies, operational procedures and standards demonstrate compliance with requirements.</p> <p>Verification of legal documents and records; field notes.</p> <p>Verify, among other items:</p> <ul style="list-style-type: none"> - The existence of approval for legal reserve areas, as established in the Forest Code. - Licensing for the forest enterprise, authorization for activities in legal reserve and permanent protection areas, operating permit for the fuel station at the forest management unit (FMU), lightning protection specification (if applicable), pesticide registration and listing, agronomists' prescriptions, water withdrawal permits, dam and bridge construction on water resources; chainsaw permit, Environmental Control and Inspection Tax (TCFA); Certificate of Enrollment in the National Register of Seeds and Seedling (RENASEM) etc. <p><u>SLIME:</u></p> <p>The forest manager knows what the legislation requires.</p> <p>Field observation and documentation available show that legislation is being complied with in-field.</p> <p><i>A legal non-compliance will be considered "significant" if:</i></p> <ol style="list-style-type: none"> <i>i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or</i> <i>ii. it is an intentional or a blatant/self-evident disregard for the law.</i> <p><i>A legal non-compliance will not be considered "significant" if the deviation is short-term, unintentional and without significant damage to the environment.</i></p>
Indicator 1.1.2	Verifiers & Guidance:
Forest managers shall demonstrate awareness and compliance with relevant codes of practice, operational guidelines and other accepted norms or agreements.	<p>Interviews with Forest Managers and field observations.</p> <p>List of applicable laws, regulations and national guidelines.</p>
Indicator 1.1.3	Verifiers & Guidance:

<p>Providing evidence of steps taken and steps to be conducted with execution times, in case of administrative or legal pending items related to forest, environmental, labor and tax legislation.</p>	<p>Review of documentation; stakeholder consultation with governmental agencies</p>
<p>Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid</p>	
<p>Indicator 1.2.1</p>	<p>Verifiers & Guidance:</p>
<p>There is evidence that required payments have been made.</p>	<p>Invoices, tax returns, receipts. Interviews with and information supplied by regulatory authorities and other stakeholders. No evidence of non-payment</p>
<p>Indicator 1.2.2</p>	<p>Verifiers & Guidance:</p>
<p>Provision has been made to meet the costs of future fees</p>	<p>Specific provisions in financial planning and long-term budgets. <u>SLIMF:</u> Forest manager can explain how future costs will be provided for.</p>
<p>Indicator 1.2.3</p>	<p>Verifiers & Guidance:</p>
<p>Existence and provision of evidence of exemption, reduction or legally approved and proven agreements</p>	<p>Review of documentation; stakeholder consultation with governmental agencies.</p>
<p>Criterion 1.3 In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.</p>	
<p>Indicator 1.3.1</p>	<p>Verifiers & Guidance:</p>
<p>There is awareness and implementation of the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such</p> <p><u>SLIMF:</u></p> <p>There is awareness of any local species that are covered by the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such</p>	<p>Interviews with Forest Managers Operational documentation Required licenses are in place</p>
<p>Indicator 1.3.2</p>	<p>Verifiers & Guidance:</p>
<p>Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Labour Organisation (ILO) conventions that apply to their operations. ILO 87 and 98 are minimum requirements for certification.</p> <p><u>SLIMF:</u></p>	<p>Interviews with Forest Managers, workers, contractors, labour unions and regulatory authorities. Review of policies, procedures and personnel records. <u>SLIMF:</u> Forest Managers are aware of the requirements and there are no objective evidence of non-compliance.</p>

Forest Managers are aware of and have implemented controls to ensure continuing compliance with national legislation relating to labour matters		
Indicator 1.3.3	Verifiers & Guidance:	
(Not applicable to SLIMF)	Interviews with Forest Managers, regulatory authorities and other stakeholders.	
Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with ITTA.	Review of policies, procedures and records	
Indicator 1.3.4	Verifiers & Guidance:	
(Not applicable to SLIMF)	Interviews with Forest Managers, regulatory authorities and other stakeholders.	
Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Biodiversity Convention.	Review of policies, procedures and records.	
Criterion 1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties		
Indicator 1.4.1	Verifiers & Guidance:	
Any identified conflicts are brought to the attention of SGS and involved or affected parties.	<i>SGS will assess the conflict and advise on resolution thereof, where such were possible.</i>	
	Interviews with Forest Managers and other stakeholders.	
Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities		
Indicator 1.5.1	Verifiers & Guidance:	
Forest Managers have taken reasonable measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.	Field observations show no damage from unauthorised or illegal activities	
	Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc	
	Copies of reports made to the authorities of problem activities	
	Boundaries are known to the manager and local communities and are easily identified in the field.	
	Boundaries are marked in areas where there is a high risk of encroachment.	
	Verifying the type of surveillance that exists in the FMU; in case of armed guards, check in detail all applicable legal requirements as well as the training and understanding of the company's policies by the guards.	
Indicator 1.5.2	Verifiers & Guidance:	
There are adequate personnel and surveillance resources to control such activities	Field observations provide no evidence of ongoing illegal activities.	
	Interviews with neighbours to identify possible actions referring	

	<p>to control of illegal activities.</p> <p>Registration of guard and monitor training.</p> <p>Observation of the structure available in the field.</p>
Indicator 1.5.3	Verifiers & Guidance:
<p>The community's access to non-predatory management and collection of forest products, whether derived from wood or not, is allowed and regulated in the places where such access already existed for legal or historical reasons, by means of a formal permission granted by those in charge of the forest management, and respecting property rights.</p>	<p>Interviews with the persons in charge and stakeholders;</p> <p>Checking of documents (internal procedures, communication with stakeholders, signs, agreements between the parties, etc.)</p>
Criterion 1.6	Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria
Indicator 1.6.1	Verifiers & Guidance:
<p>There is a publicly available policy endorsed by the owner/most senior management explicitly stating long term commitment to forest management practices consistent with the FSC Principles and Criteria</p> <p><u>SLIMF:</u></p> <p>The forest manager has plans to manage the forest in the long term in a way that is compatible with the FSC Principles and Criteria</p>	<p>Written policy with appropriate statement is available</p> <p><u>SLIMF:</u></p> <p>The management plan</p> <p>Plans (written or informal) for investment, training, and sharing of income or other benefits</p> <p>Past management has been compatible with the P&C</p>
Indicator 1.6.2	Verifiers & Guidance:
<p>(Not applicable to SLIMF)</p> <p>The policy is communicated throughout the organisation (including to contractors) and to external stakeholders</p>	<p>Interviews with Forest Managers, workers and stakeholders.</p> <p>Evidence of distribution of policy to stakeholders (for example: records of correspondence issued, publications in the media, records of disclosure meetings etc).</p>
Indicator 1.6.3	Verifiers & Guidance:
<p>Where the owner/manager has some responsibility for forest lands not covered by the certificate, then there is a clear long term commitment to managing all forests in the spirit of the FSC P&C</p>	<p><i>The applicant for certification must make a full disclosure of all forest areas over which the applicant has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. The disclosure shall be documented in the main assessment report. You must record full details of ownership, forest name, type, area and location for each such forest. This information must be made available to stakeholders as part of the consultation process.</i></p> <p><i>When the evaluation does not include all the forest areas in which the applicant is involved, the applicant must explain the reasons for this, and the reasons must be documented in the main assessment report.</i></p> <p>Evidence of such other forest lands.</p> <p>Policies</p>

	Interviews with Forest Managers.
Indicator 1.6.4	Verifiers & Guidance:
Management of forest areas identified under 1.6.4 complies with the latest FSC Partial Certification Policy	Interviews with Forest Managers, policies, procedures and field observations.
PRINCIPLE 2. TENURE AND RIGHTS RESPONSIBILITIES:	
Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.	
Criterion 2.1	Clear, long-term tenure and forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated
Indicator 2.1.1	Verifiers & Guidance:
There is documentation showing the owner/manager's legal rights to manage the land and/or utilise forest resources	Documentation with appropriate legal status. Maps clearly indicating the boundaries of the FMU.
Indicator 2.1.2	Verifiers & Guidance:
The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.	Policies and management plans make clear reference to management objectives that support this indicator.
Indicator 2.1.3	Verifiers & Guidance:
Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS Qualifor standard or the objectives of the management plan.	Provisions in agreement for tenure. FMU management plans. FMU long term strategies.
Criterion 2.2	Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.
Indicator 2.2.1	Verifiers & Guidance:
All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped	Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives.
Indicator 2.2.2	Verifiers & Guidance:
Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.	Forest management plans Field observations
Indicator 2.2.3	Verifiers & Guidance:

<p style="color: orange; margin: 0;">Where communities have delegated control of their legal or customary tenure or use rights, or part thereof, this can be confirmed by documented agreements and/or interviews with representatives of the local communities</p>	<p>Written agreements.</p> <p>Free and informed consent communicated by representatives of local communities.</p> <p>Clear evidence of payment for tenure or use rights.</p>
<p>Indicator 2.2.4</p> <p style="color: orange; margin: 0;">Allocation, by local communities, of duly recognized legal or customary tenure or use rights to other parties is documented, with evidence of free and informed consent</p>	<p>Verifiers & Guidance:</p> <p>Interviews with local communities.</p> <p>Written agreements.</p> <p>Free and informed consent communicated by representatives of local communities.</p>
<p>Indicator 2.2.5</p> <p style="color: orange; margin: 0;">The forest is accessible to local rights holders to the extent that the forest's ecological function is not jeopardised.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with local communities.</p> <p>Inspection of areas/resources where access and/or use has taken place.</p>
<p>Criterion 2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified</p>	
<p>Indicator 2.3.1</p> <p style="color: orange; margin: 0;">Appropriate documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist</p> <p style="color: orange; margin: 0;"><u>SLIMF:</u></p> <p style="color: orange; margin: 0;">There are no major unresolved disputes relating to tenure and use rights in the forest. Disputes or grievances are being resolved using locally accepted mechanisms and institutions.</p> <p style="color: orange; margin: 0;">Measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided.</p>	<p>Verifiers & Guidance:</p> <p>Documented procedures.</p> <p>Interviews with Forest Managers and consultation with representatives of local communities.</p> <p><i>Documented procedures are available that allow for a process that could generally be regarded as open and acceptable to all parties with an objective of achieving agreement and consent through fair consultation. Procedures should allow for impartial facilitation and resolution.</i></p> <p>SLIMF:</p> <p>Interviews with Forest Manager and local community groups</p>
<p>Indicator 2.3.2</p> <p style="color: orange; margin: 0;">The Forest Manager shall maintain a record of disputes and the status of their resolution, including evidence related to the dispute and documentation of steps taken to resolve the dispute.</p>	<p>Verifiers & Guidance:</p> <p>Documented records of disputes</p>
<p>Indicator 2.3.3</p> <p style="color: orange; margin: 0;">Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify an operation from being certified.</p>	<p>Verifiers & Guidance:</p> <p><i>Magnitude of a dispute may be assessed by considering the scale at a landscape level associated with the opinion of a majority of community representatives and/or the time period over which the dispute has been in place</i></p> <p>Interviews with Forest Managers and consultation with</p>

	representatives of local communities. Complete record of a history of disputes.
Indicator 2.3.4	Verifiers & Guidance:
(Not applicable to SLIMF) Dispute resolution procedures shall make provision for the requirement that where the future tenure or use rights of communities may be compromised, forest operations that are, or may be the direct cause of the dispute, will not be initiated or will be suspended until the dispute had been resolved.	Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.
PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:	
The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.	
Criterion 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.	
Indicator 3.1.1	Verifiers & Guidance:
Indigenous people who have customary or legal title to land and resources are identified and their entitlements recognised in management plans and the areas concerned demarcated on maps	Management plans and maps. Consultation with representatives of indigenous peoples. Consultation with FUNAI
Indicator 3.1.2	Verifiers & Guidance:
Rights identified in terms of Indicator 3.1.1 are respected.	Consultation with representatives of indigenous peoples.
Indicator 3.1.3	Verifiers & Guidance:
There is documented evidence that free and informed consent has been given by affected communities to allow forest management activities that may affect their use rights of the FMU.	<i>Affected communities should have the financial, technical and logistical capacity to enable "free and informed consent"</i> Consultation with representatives of indigenous peoples. No evidence of disputes. Evidence that agreed payments for use right and/or resources are being made.
Indicator 3.1.4	Verifiers & Guidance:
There is information on identification, location and population of all indigenous and/or traditional communities that live in the forest management area or neighboring areas and/or that are claiming customary rights over the area being certified.	Verifying documents and maps or sketches with the information described in the indicator. Formal declaration from FUNAI regarding the area. Interviews with stakeholders. Checking the legislation on traditional populations (and which groups are formally recognized as such).

Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples	
Indicator 3.2.1	Verifiers & Guidance:
<p>Any impacts of forest management on indigenous communities' resources or tenure rights are identified and recorded</p> <p>SLIME:</p> <p>Any impacts of forest management on indigenous communities' resources or tenure rights are identified and known by the Forest Manager</p>	<p>Records or impact assessments.</p> <p>Consultation with representatives of indigenous peoples</p>
Indicator 3.2.2	Verifiers & Guidance:
<p>Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights.</p> <p>If the forest management operation occurs in an area adjacent to the indigenous and/or traditional area, impacting them, the communities will be called to discuss these impacts of the management on their lands and the person in charge of the forest management unit will take the necessary measures for preventing, controlling and mitigating to ensure that the forest management activity will not damage the community.</p>	<p>Records of meetings.</p> <p>Consultation with indigenous peoples</p> <p>Records review</p>
Indicator 3.2.3	Verifiers & Guidance:
<p>Forest Management will not proceed without clear evidence of the free and informed consent of the indigenous peoples claiming such land, territory or customary rights, accepting impacts identified in terms of Indicator 3.2.1. Where disputes arise post facto, operations affecting these rights will be suspended until such dispute had been resolved</p>	<p>Consultation with representatives of indigenous peoples.</p> <p>Records of dispute resolution</p>
Indicator 3.2.4	Verifiers & Guidance:
<p>Actions are taken to prevent or mitigate adverse impacts.</p> <p>The permanence, installation and conduct of persons working in the forest management activities are performed in such a way to minimize the interference in the life of indigenous communities or traditional communities.</p>	<p>Field inspections and records of corrective actions</p>
Indicator 3.2.5	Verifiers & Guidance:
<p>Workers working on forest management activity show updated health and vaccination certificates and those having infectious or contagious diseases do not establish contact with those communities.</p>	<p>Checking records, interviews with workers and those responsible for the healthcare area.</p>

Criterion 3.3	Sites of special cultural, ecological, economic or religious significance to indigenous peoples [and other sections of the community] shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.
Indicator 3.3.1	Verifiers & Guidance:
Sites of special cultural, historical, ecological, economic or religious significance are identified, described and mapped in co-operation with affected or interested stakeholders.	Interviews with Forest Managers and consultation with stakeholders.
SLIMF:	Records and maps.
Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.	Refer also to Indicator 7.1.1
Indicator 3.3.2	Verifiers & Guidance:
Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested stakeholders	Management plans and documents.
SLIMF:	Consultation with stakeholders
Clear management objectives have been identified.	SLIMF: Interviews with the Forest Manager and field observations
Indicator 3.3.3	Verifiers & Guidance:
Such areas are identified in working plans and demarcated in the field where this is considered appropriate	Operational plans and maps and field observation
Indicator 3.3.4	Verifiers & Guidance:
All operators and contractors can identify such sites in the field and measures are in place to prevent any form of damage or disturbance, other than such agreed with stakeholders.	Interviews with operators and field observations.
	Consultation with stakeholders
Indicator 3.3.5	Verifiers & Guidance:
Rights of access to these areas is permitted	Consultation with stakeholders
	Observation on the sites (to find access restrictions).
	Interviews with guards.
Criterion 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.
Indicator 3.4.1	Verifiers & Guidance:

<p>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations , which is being, or may be, utilised commercially by the forest organisation, is documented</p> <p><u>SLIMF:</u></p> <p>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations , which is being, or may be, utilised commercially by the forest organisation, have been identified</p>	<p>Documented records.</p> <p>Consultation with indigenous peoples.</p> <p><u>SLIMF:</u></p> <p>Interviews with Forest Manager and indigenous peoples/local communities</p>
<p>Indicator 3.4.2</p> <p>Indigenous peoples shall be fully informed of the intent and nature of the use of their traditional knowledge by the assessed organisation. Such use will not proceed until indigenous peoples have agreed with free consent</p>	<p>Verifiers & Guidance:</p> <p>Records of meetings with representatives of indigenous peoples.</p> <p>Consultation with representatives of indigenous peoples.</p> <p>Agreements.</p>
<p>Indicator 3.4.3</p> <p>If such traditional knowledge is used for profit by the assessed organisation (or any other organisation under an agreement with the assessed organisation) compensation is formally agreed before such knowledge is used</p>	<p>Verifiers & Guidance:</p> <p>Agreements.</p> <p>Consultation with representatives of indigenous peoples</p>
<p>Indicator 3.4.4</p> <p>All agreed compensation is paid</p>	<p>Verifiers & Guidance:</p> <p>Financial records</p> <p><u>SLIMF:</u></p> <p>Interviews with indigenous peoples/local communities</p>
<p>PRINCIPLE 4. COMMUNITY RELATIONS AND WORKER'S RIGHTS:</p> <p>Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.</p>	
<p>Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services</p>	
<p>Indicator 4.1.1</p> <p>People in local communities are given opportunities in employment, training and contracting</p> <p><u>SLIMF:</u></p> <p>Local workers and contractors should be used wherever possible</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers.</p> <p>Consultation with representatives of local communities and labour unions.</p> <p>Training strategies.</p> <p>Job advertisements in local publications</p>
<p>Indicator 4.1.2</p> <p>In large scale organisations, contracts are awarded through a transparent process on the basis of clear criteria; justification for final</p>	<p>Verifiers & Guidance:</p> <p>Interviews with contractors.</p> <p>Policies and procedures of the assessed organisation.</p>

selections is documented	Documentation on contracting of services.
<p>Indicator 4.1.3</p> <p>In large scale organisations training and/or other appropriate forms of assistance to local people and workers to meet the organisation's long-term staffing requirements are developed and supported.</p>	<p>Verifiers & Guidance:</p> <p>Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit.</p> <p>Long-term training plans.</p> <p>Interviews with Forest Managers and workers.</p>
<p>Indicator 4.1.4</p> <p>(Not applicable to SLIMF)</p> <p>Support is provided for local infrastructure and facilities at a level appropriate to the scale of the forest resources</p>	<p>Verifiers & Guidance:</p> <p>Service provision and support for local infrastructure, facilities should, as a minimum, be consistent with meeting management plan objectives over the long term (e.g. provision of basic health, education and training facilities where these do not exist) as well as avoiding or mitigating any negative social impacts of the operations.</p> <p>Consultation with representatives of local communities</p> <p>Provision of training; schooling; medical; facilities; housing; accommodation</p>
<p>Indicator 4.1.5</p> <p>Where practicable, communities are given controlled access to forest and non-forest products on the FMU</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local communities.</p> <p>Evidence of controlled harvesting activities</p>
<p>Indicator 4.1.6</p> <p>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</p> <p>SLIMF:</p> <p>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Verifiers & Guidance:</p> <p>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</p> <p>Employment policies and procedures.</p> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p>SLIMF:</p> <p>Interviews with workers and contractors</p>
<p>Indicator 4.1.7</p> <p>All employees, contractors and sub-contractors must be paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region</p>	<p>Verifiers & Guidance:</p> <p>Benefits may include social security payments, pension, accommodation, food, etc.</p> <p>Records of payment</p> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p><i>Attention to: third parties' workers and "payment per production" made "off the record". Check whether social charges are being calculated based on the payment made.</i></p>
<p>Indicator 4.1.8</p>	<p>Verifiers & Guidance:</p>

<p>No workers should be engaged in debt bondage or other forms of forced labour</p>	<p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p>Check for signs of the practice of unfair discounting of purchases from salaries.</p>
<p>Indicator 4.1.9</p> <p>Persons under 15 years are not employed in any forestry work</p>	<p>Verifiers & Guidance:</p> <p><i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3. There may be other higher minimum ages established by the country's legislation and in this case the legal requirement must be adhered to.</i></p> <p><i>The Brazilian legislation forbids work by those under 16, except in the condition of apprentice, from the age of 14. However, considering indicator 4.1.9., those under 15, even in the condition of apprentices, may not carry out forest activities.</i></p> <p><i>Checking workers' records.</i></p> <p>Interviews with Forest Managers, workers and Labour Union representatives</p> <p>Observations in the work place.</p>
<p>Indicator 4.1.10</p> <p>Persons under 18 years should not be employed at night or to carry out heavy work or hazardous operations, e.g. pesticide application, harvesting. Legal requirements related to work of teenagers shall be met.</p>	<p>Verifiers & Guidance:</p> <p><i>Where children and young persons are to be removed from employment in order to comply with this requirement, criterion 4.4 on social impact assessment and mitigation will apply. Organisations are expected to carry out a social impact assessment of the displacement of children from the workplace and effectively mitigate that impact e.g. provide suitable alternative sources of family income and ensure the children have access to adequate education facilities.</i></p>
<p>Indicator 4.1.11</p> <p>The person in charge of the forest management unit makes a continued effort to minimize the differences between full employees and contracted workers and avoid precarious working conditions.</p>	<p>Verifiers & Guidance:</p> <p>Records of monitoring of contractors;</p> <p>Review of documents and records;</p> <p>Interviews with companies contracted managers and their workers.</p>
<p>Criterion 4.2 Forest management <u>should</u> meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families</p>	
<p>Indicator 4.2.1</p> <p>Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families and comply with such.</p> <p>For large scale organisations a written safety and health policy and management system are in place</p>	<p>Verifiers & Guidance:</p> <p><i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i></p> <p><i>In the case of Brazil, if labor regulatory standards in silviculture activity are more demanding than the code of practices of the ILO, they must be followed.</i></p> <p>Interviews with Forest Managers, workers and union representatives.</p> <p>Guidelines/regulations are readily available.</p> <p>Labour directives and inspection reports.</p>

	Company OHS records
Indicator 4.2.2	Verifiers & Guidance:
<p>Forest Managers have systematically assessed the risk associated with all tasks and equipment and prescribed appropriate safe procedures, the use of personal protective equipment (PPE), emergency procedures and where appropriate, key responsibilities.</p> <p>In large scale organisations, compliance with this requirement shall be supported by documentation</p> <p>SLIMF:</p> <p>All work done in the forest must comply with health and safety laws and regulations</p>	<p>Interviews with Forest Managers, workers and union representatives.</p> <p>Documented risk assessments.</p> <p>Check: Environmental Risk Prevention Program (PPRA) and Occupational Health and Medical Control Program (PCMSO)</p> <p>SLIMF:</p> <p>Equipment is available to workers</p> <p>Interviews with Forest Managers and workers</p> <p>Field observations</p>
Indicator 4.2.3	Verifiers & Guidance:
<p>All workers have had relevant training in safe working practice and where required, hold the necessary skills certificates.</p>	<p>Interviews with Forest Managers and workers.</p> <p>Training schedules and records</p> <p>Copies of skills certificates (especially for machinery and chainsaw operators, pesticide applicators, dangerous product cargo drivers, etc.)</p>
Indicator 4.2.4	Verifiers & Guidance:
<p>Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.</p> <p>In the case of Brazil, compliance is required with current H&S regulatory standards applied to forest activity.</p>	<p>Interviews with Forest Managers and workers</p>
Indicator 4.2.5	Verifiers & Guidance:
<p>All necessary tools, machines, substances and equipment, including appropriate PPE, are available at the worksite and are in safe and serviceable condition</p>	<p>Interviews with Forest Managers and workers.</p> <p>Field observations.</p> <p>Equipment maintenance records.</p> <p>PPE must have the approval certificate (CA code).</p>
Indicator 4.2.6	Verifiers & Guidance:
<p>Managers take measures to ensure that workers use the PPE that is provided</p>	<p>Interviews with Forest Managers and workers.</p> <p>Field observations</p> <p>PPE delivery records</p> <p>Training</p> <p>Safety inspection records</p>

Indicator 4.2.7	Verifiers & Guidance:
<p>Health and safety records (including risk evaluations, accident records) are maintained and up-to-date</p> <p><u>SLIMF:</u></p> <p>Basic record is kept of health and safety related incidents</p>	<p>Records of accidents, incidents, instructions to supervisors and workers</p> <p><u>SLIMF:</u></p> <p>Records</p> <p>Interviews with Forest Manager and workers</p>
Indicator 4.2.8	Verifiers & Guidance:
<p>All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.</p>	<p>Interviews with Forest Managers and workers</p> <p>Interviews with family members, if applicable (only in case of families of workers who live inside the FMU).</p> <p>Checking FMU facilities (medical facilities inside the FMU, if applicable; first-aid kits, emergency care).</p> <p>Healthcare plans.</p>
Indicator 4.2.9	Verifiers & Guidance:
<p>Where located and provided on the FMU worker accommodation and nutrition comply, as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.</p> <p>If national H&S standards (NRs) are more demanding than the ILO code, they must be followed.</p>	<p>Interviews with Managers and workers</p> <p>Inspection of facilities (lodging, mass halls, rustic field shelters).</p> <p>Checking drinking water availability.</p> <p>Attention: the ILO code states that when meals are not provided workers must receive nutrition instruction to be able to properly prepare their own food (page 43, item 230).</p>
Indicator 4.2.10	Verifiers & Guidance:
<p>There is evidence of a programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect forest workers or their families.</p> <p>For large scale organisations there is contribution towards or provision of a prevention and control programme for any illnesses and diseases endemic to the area that affect forest workers or their families</p> <p><u>SLIMF:</u></p> <p>There is evidence of a basic programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect workers or their families</p>	<p>Interviews with Forest Managers and workers.</p> <p>Interviews with social NGOs.</p> <p>Records of support.</p> <p>Health statistics for the region.</p> <p><u>SLIMF:</u></p> <p>Interviews with forest manager and workers</p>
Indicator 4.2.11	Verifiers & Guidance:
<p>The transportation of workers is done in appropriate vehicles and in adequate conditions ensuring transportation quality and safety in accordance with current legislation or specific</p>	<p>Interviews with laborers and with the personnel in charge.</p> <p>Records of periodic inspection of vehicles.</p> <p>Field checking (vehicle conditions, vehicle and driver documentation, authorization by the responsible transit authority). Attention: equipment and</p>

<p>agreements between the parties.</p>	<p>chemicals may not be transported inside the vehicle with the passengers. Checking whether vehicle type is in conformance with provisions of collective labor agreements.</p>
<p>Indicator 4.2.12</p> <p>A woman's work during pregnancy and nursing periods is accompanied by measures for preventing risks and dangers inherent to the performed production activity.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with the personnel in charge and with men and women workers. Records: maternity leaves and other leaves of absence; women hiring and firing records. Field checking for women's working conditions. Checking monitoring procedures and routines covering specific issues of women's work.</p>
<p>Criterion 4.3 The rights of the workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</p>	
<p>Indicator 4.3.1</p> <p>Workers are free to organise and or join a trade union of their choice without fear of intimidation or reprisal. This will at a minimum comply with the requirements of the ILO Convention No. 87: Convention concerning Freedom of Association and Protection of the Right to Organise</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives. Record checking</p>
<p>Indicator 4.3.2</p> <p>Workers are free to organise and bargain collectively. This will at a minimum comply with the requirements of International Labour Organisation convention 98, Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives Checking the bargaining history Checking agreements between the parties</p>
<p>Indicator 4.3.3</p> <p>There is an effective mechanism in place to provide information to, and enable the participation of workers in decision-making where this directly affects their working terms and conditions</p> <p><u>SLIMF:</u></p> <p>Workers or their representatives are accepted as participants in decision making</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives. Records of communication; meetings notes. Mechanisms for dialogue and resolution of grievances between workers and the responsible for the forest management unit.</p>
<p>Criterion 4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</p>	
<p>Indicator 4.4.1</p> <p>In conjunction with the local stakeholders affected and in accordance with the scale and intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are</p>	<p>Verifiers & Guidance:</p> <p><i>New operations will normally be subjected to formal impact assessments and these assessments must include the social environment. For ongoing operations it will be necessary to maintain communication with stakeholders and thus ensure the Forest Manager is aware of any current and/or potential</i></p>

<p>evaluated.</p> <p>For <u>large scale organisations</u>, these impacts shall be documented</p> <p><u>SLIMF (Small Forests):</u></p> <p>Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</p> <p>The forest manager must try to avoid negative impacts of operations.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>The forest manager proactively seeks assistance from external organizations to carry out an assessment of social impacts and/or social impact monitoring and uses the results to plan future management.</p>	<p><i>impacts. Management plans must provide mitigatory measures to address such impacts, e.g. problems with dust or noise caused by operations are known and planning is adjusted to reduce or negate such</i></p> <p>Interviews with Forest Managers and local communities.</p> <p>Documents showing the methodology, results and recommendations of social impact assessments.</p> <p><u>SLIMF (Small Forests):</u></p> <p>Discussions with neighbours and forest manager</p> <p>Copies of newspaper advertisements, letters, posters and signs used to inform people of operations.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Copies of Social Impact Assessment reports</p> <p>Evidence of changes in management following results of an Social Impact Assessment <u>or</u> monitoring of social impacts.</p>
Indicator 4.4.2	Verifiers & Guidance:
<p>(Not applicable to SLIMF)</p> <p>Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</p>	<p>Interviews with Forest Managers and local communities.</p> <p>Management plans</p>
Indicator 4.4.3	Verifiers & Guidance:
<p>An up-to-date list of stakeholders is maintained</p>	<p>Records</p> <p>Consultation with stakeholders</p>
Indicator 4.4.4	Verifiers & Guidance:
<p>(Not applicable to SLIMF)</p> <p>There is adequate and ongoing consultation with stakeholders (local people, workers and relevant organisations); in particular, stakeholders are aware that forest management plans and monitoring results are available for inspection, if high impact operations are planned, and that the FMU is being evaluated/monitored for certification</p>	<p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
Indicator 4.4.5	Verifiers & Guidance:
<p>Issues raised by stakeholders are treated constructively and objectively</p>	<p>Records of communications; procedures of communication and replies to stakeholders, analysis of demands by company (mechanism and procedure) /Consultation with stakeholders and interviews with Forest Managers</p>
Indicator 4.4.6	Verifiers & Guidance:
<p>In <u>large scale operations</u>, communications with stakeholders on issues that require action and follow-up should be documented</p>	<p>Documentation of communication; procedures of communication and replies to stakeholders, analysis of demands by company (mechanism and procedure)</p>
Indicator 4.4.7	Verifiers & Guidance:

<p>Existence of preventive actions to minimize dismissal impact on workers and local community, in case of substantial changes in the number of workers of the forest management unit.</p>	<p>Personnel records. Interviews with the personnel in charge and stakeholders. Studies and action plans for cases of changes in the number of employees (identification of positive and negative impacts, number of dismissed employees, other work opportunities to be generated, income alternatives, etc.)</p>
<p>Indicator 4.4.8</p> <p>Initiatives in the social area are included in the planning and in the operations of forest management activities.</p> <p>Existence of information and clear opportunity for participation of local communities directly affected by forest management operations and considering their perspectives regarding issues directly affecting their quality of living.</p>	<p>Verifiers & Guidance:</p> <p>Records Interviews with personnel in charge and with stakeholders.</p>
<p>Criterion 4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage</p>	
<p>Indicator 4.5.1</p> <p>Every effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent</p>	<p>Verifiers & Guidance:</p> <p>Records Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.5.2</p> <p>(Not applicable to SLIMF)</p> <p>Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for <u>large scale operations</u>.</p>	<p>Verifiers & Guidance:</p> <p>Records and resolution systems. Documented procedure for handling disputes and compensations. Consultation with stakeholders and interviews with Forest Managers</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>Criterion 5.1 Forest management should strive towards 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>Indicator 5.1.1</p> <p>Optimal use is made of the potential annual yield of forest products</p>	<p>Verifiers & Guidance:</p> <p>Annual plan of operations, budgets and financial statements. Yield estimates</p>
<p>Indicator 5.1.2</p>	<p>Verifiers & Guidance:</p>

<p>Current and future budgets include specific provision for environmental and social, as well as all operational costs</p> <p><u>SLIMF</u></p> <p>The Forest Manager is aiming to be in an economically viable situation which permits long term forest management</p>	<p><i>Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, payments for environmental services rendered and subsidies.</i></p> <p>Financial planning records and statements.</p> <p>Interviews with Forest Managers</p>
<p>Indicator 5.1.3</p>	<p>Verifiers & Guidance:</p>
<p>Where necessary, investments are made to maintain the ecological productivity of the forest</p>	<p>Interviews with Forest Managers and environmental NGOs.</p> <p>Plans and maps.</p> <p>Observation of ecosystems.</p>
<p>Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	
<p>Indicator 5.2.1</p>	<p>Verifiers & Guidance:</p>
<p>(Not applicable to SLIMF)</p> <p>The owner/manager should promote the development of markets for and sustainable harvesting of common, lesser known plantation-grown or natural forest species and non-timber forest products</p>	<p>Interviews with Forest Managers and consultation with local communities.</p>
<p>Indicator 5.2.2</p>	<p>Verifiers & Guidance:</p>
<p>Local processing and markets are provided access to forest products available from the FMU, unless there is a justifiable reason for not doing so</p> <p><u>SLIMF</u></p> <p>Local processing is used where it is viable.</p>	<p>Interviews with Forest Managers and consultation with local communities.</p> <p>Evidence of opportunities to support local processing and markets.</p> <p><u>SLIMF:</u></p> <p>Details of sales of timber and information about local processing options.</p>
<p>Criterion 5.3 Forest management <u>should</u> minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	
<p>Indicator 5.3.1</p>	<p>Verifiers & Guidance:</p>
<p>Strategic and tactical/operational harvest planning and harvest operations should be carried out in accordance with national best practice guidelines (where these do not exist or are inadequate, for tropical high forest the FAO Model Code of Forest Harvesting Practice will apply)</p> <p><u>SLIMF:</u></p> <p>Wood waste and damage to the remaining forest during harvesting and on site processing are minimised.</p>	<p>Harvest plans</p> <p>Forest Managers' knowledge of local BOPs</p> <p><u>SLIMF:</u></p> <p>Field inspections</p> <p>Harvest records and sales volumes</p>
<p>Indicator 5.3.2</p>	<p>Verifiers & Guidance:</p>

Harvesting techniques are designed to avoid log breakage, timber degrade and damage to the forest stand	Interviews with Forest Managers, supervisors and workers. Observation of harvesting operations
Indicator 5.3.3 Waste generated through harvesting operations, is minimised whilst leaving adequate organic material on the forest floor for soil conservation	Verifiers & Guidance: <i>When timber products are removed from the stand sufficient material in the form of tops, branches and solid wood should remain behind to assist the natural nutrient cycle.</i> Observation of harvesting and on-site processing operations. Checking of recently harvested areas.
Indicator 5.3.4 Harvested and processed wood and/or products processed on-site are transported from the forest before any deterioration occurs	Verifiers & Guidance: Observation of harvesting operations. Records of timber deliveries Observation of recently harvested areas
Criterion 5.4 Forest management <u>should</u> strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.	
Indicator 5.4.1 The forest should be managed for more than one product, considering both timber and non-timber forest products. Local initiatives involving the use, processing and/or marketing of forest products are encouraged. <u>SLIMF (Small Forests):</u> Not applicable <u>SLIMF (Low Intensity Forests):</u> Forest management should aim to avoid dependence on a single forest product. Local initiatives involving the use, processing and or marketing of forest products are encouraged.	Verifiers & Guidance: Interviews with Forest Managers. Forest management planning <u>SLIMF (Low Intensity Forests):</u> Sales records. Discussions with local communities and the forest manager
Indicator 5.4.2 The utilisation of non-timber forest products by local community enterprises is encouraged	Verifiers & Guidance: Interviews with Forest Managers and consultation with local communities. Evidence of NTFP sales or licenses or permits issued.
Indicator 5.4.3 Evidence of use of goods and services of local suppliers	Verifiers & Guidance: Interviews with the personnel in charge and with stakeholders. List of main suppliers of goods and services.

Criterion 5.5 Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	
Indicator 5.5.1	Verifiers & Guidance:
Forest managers are aware of the range of forest services and resources	Interviews with Forest Managers
Indicator 5.5.2	Verifiers & Guidance:
Forest management practices minimise negative impacts on services and other forest resources	Interviews with Forest Managers
Indicator 5.5.3	Verifiers & Guidance:
<p>Forest management practices maintain and where appropriate, enhance the value of forest services and resources:</p> <ul style="list-style-type: none"> ▪ Monitoring evidence that services and resources are maintained ▪ Practices to enhance services and resources are evident. 	Interviews with Forest Managers
Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.	
Indicator 5.6.1	Verifiers & Guidance:
<p>Data on forest growth, regeneration and volumes harvested and thinned are reported regularly and analysed in comparison with predicted volumes and growth data (data accuracy is appropriate to scale and intensity of management)</p> <p><u>SLIMF (Small Forests):</u></p> <p>Harvest levels are sustainable over the long term (a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely.</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Harvest limits are established at sustainable levels, based on conservative estimates of tree growth and yield rates. The harvest limits are stated in the management plan.</p>	<p>Evidence of enumerations, yield calculations and harvesting planning</p> <p><u>SLIMF:</u></p> <p>Management plan</p> <p>Field observations of harvesting sites compared to areas planned for harvesting.</p> <p>Maps of tree location</p> <p>Harvest and sales records and plans over the relevant time span.</p> <p>Data on likely or actual growth rates of species harvested.</p>
Indicator 5.6.2	Verifiers & Guidance:
Sustainable harvest and thinning intensities and frequencies have been calculated for the FMU based on the most up-to-date available information and do not exceed calculated replenishment rates over the long term.	<p>Timber resource planning</p> <p>Use of inventory data.</p> <p>Harvest area Vs. planted area.</p>
Indicator 5.6.3	Verifiers & Guidance:

<p style="color: orange; margin: 0;">Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</p>	<p>Management plans</p> <p>Data on non-timber product inventories.</p> <p>Technical recommendations.</p> <p>Production records.</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.

Criterion 6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations 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.

<p>Indicator 6.1.1</p> <p style="color: orange;">(Not applicable to SLIMF)</p> <p style="color: orange;">The owner/manager has systematically identified and assessed the potential environmental impacts of all activities (including on-site processing facilities) carried out in the forest; the impacts of forest plans have been considered at the landscape level, taking account of the interaction with adjoining land and other nearby habitats. For large scale organisations, the results of these impact assessments shall be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>For all operations or activities carried out on the FMU, there should be an evaluation of the possibility of the following potentially negative impacts being caused: soil erosion and compaction; changes to soil productivity; changes to invasive exotic, native or naturalised flora or fauna species abundance, diversity or distribution. Habitat fragmentation, pesticide, lubricant, nutrient or fertiliser pollution (by runoff, spray drift or spillage) and sedimentation of watercourses or water bodies; changes to water flow and drainage regimes of watercourses, water bodies, visual changes to prominent landscapes. Working Instruction 01 regarding on-site processing plants must be used as reference.</i></p> <p>Interviews with Forest Managers, environmental NGOs and government conservation agencies.</p> <p>Documents and records of environmental impact assessments.</p>
---	--

<p>Indicator 6.1.2</p> <p style="color: orange;">Site-specific assessments of the potential environmental impacts of all forest operations are carried out prior to commencement of site disturbing operations, in a manner appropriate to the scale of the operations and the sensitivity of the site. Where such activities are considered “significant”, these site-specific assessments are documented. “Significant” activities shall include, but not be restricted to:</p> <ul style="list-style-type: none"> <li style="color: orange;">▪ The building of new roads or substantial rerouting of existing roads; <li style="color: orange;">▪ Any form of flow restriction in streams and rivers; <li style="color: orange;">▪ Aforestation; <li style="color: orange;">▪ Change in genus in the reforestation of more than 100 ha during the same planting season within an operational/management unit, where an FMU comprises more than one; 	<p>Verifiers & Guidance:</p> <p><i>A “significant activity is an activity that has the potential to cause environmental impacts that are:</i></p> <ul style="list-style-type: none"> <i>▪ Permanent or long term; or</i> <i>▪ Affects a wide environment</i> <p><i>An EIA is the formal procedure that is followed to collect, organise, analyse, interpret and communicate data that are relevant to making a decision. The procedure can however be followed as an informal assessment for a project such as the planning of a harvesting operation. The purpose of an EIA is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</i></p> <p><i>Principles that a formal EIA should comply with are:</i></p> <p>Informed Decision Making: <i>Decision-making should be based on reliable information.</i></p> <p>Accountability: <i>Responsibilities must be clearly defined.</i></p>
---	--

<ul style="list-style-type: none"> ▪ Recreational activities and associated infrastructure ▪ Communication masts and associated infrastructure ▪ Power lines ▪ Water lines ▪ Change of natural vegetation to commercial or any other use. ▪ Erection of new fences ▪ Use of natural areas and products for commercial gain or any other purpose ▪ New waste disposal sites; ▪ Implementation of new/modified activities/products that may have significant impacts on the environment. <p><u>SLIMF (Small Forests):</u></p> <p>Before starting any operation, the possible negative environmental impacts are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Before starting any operation, the possible negative environmental impacts at the site and landscape levels are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p>	<p><i>Environment in the Broadest Sense:</i> <i>The environment includes all aspects (i.e. physical, social, political, economic, visual).</i></p> <p><i>Open Consultation:</i> <i>Consultation with all interested and affected parties must be done in a transparent manner.</i></p> <p><i>Specialist Input:</i> <i>Specialists in the particular field must support impact assessments.</i></p> <p><i>Alternatives:</i> <i>Consider all possible alternatives in terms of location and activities.</i></p> <p><i>Mitigatory Measures:</i> <i>Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</i></p> <p><i>Consider all Stages:</i> <i>The assessment should consider all stages of the development, from the planning phase through to closure.</i></p> <p>Interviews with Forest Managers also testing their basic knowledge of EIAs.</p> <p>Records of assessments and decisions.</p> <p>Environmental management plans.</p> <p><u>SLIMF:</u></p> <p>Manager’s knowledge of the site and impacts of operations</p> <p>Field observations</p> <p>Management plan</p> <p>Documented environmental statement or assessment where legally required</p>
<p>Indicator 6.1.3</p> <p>All potential environmental impacts identified during assessments are considered during operations and planning and ensure that adverse impacts are avoided or mitigated</p>	<p>Verifiers & Guidance:</p> <p>See also requirements 6.5.1 and 6.5.2.</p> <p>Interviews with Forest Managers, supervisors and workers also testing their knowledge of minimum requirements.</p> <p>Field observations and operational plans. For <u>large scale operations</u>, these provisions and controls will be documented in plans.</p>
<p>Indicator 6.1.4</p> <p>Timely corrective actions are considered and implemented to address both past and potential non-conformances.</p>	<p>Verifiers & Guidance:</p> <p><u>Corrective Actions:</u></p> <p><i>The first <u>objective</u> is, whenever there is a non-conformance:</i></p> <ul style="list-style-type: none"> ▪ <i>action is taken to correct any damage to the environment that may have occurred (corrective action); and</i> ▪ <i>measures are instituted to prevent the non-conformance from recurring (preventive action).</i> <p><i>The <u>second objective</u> is to ensure that preventative action is taken where there is obvious potential for an activity to develop into a non-conformance with subsequent environmental impact(s).</i></p> <p><i>The <u>third objective</u> is to ensure that CARs are reviewed periodically to identify persistent problem areas and to ensure that such problem areas are appropriately addressed, in either a corrective or a preventative manner.</i></p> <p>Interviews with managers.</p>

	Comparison of quality of ongoing operations and associated record of past CARs.
Indicator 6.1.5	Verifiers & Guidance:
Corrective action requests (CARs) are recorded and closed out appropriately	<u>Records of CARs</u>
<u>SLIMF:</u>	<u>SLIMF:</u>
Timeous corrective actions are taken	Interviews with the forest Manager and workers and field observations
Indicator 6.1.6	Verifiers & Guidance:
Non-native plant (non-tree) and animal species are introduced and/or native species re-introduced only if consultation with acknowledged experts and regulatory authorities establishes that they are non-invasive and will bring environmental benefits; local stakeholders are consulted prior to any introduction; all introductions are closely monitored	Interviews with Forest Managers, environmental NGOs and government agencies.
	Research briefs.
	Licences and permits.
Criterion 6.2	Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.
Indicator 6.2.1	Verifiers & Guidance:
Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented	<i>Where survey data are incomplete, it should be assumed that relevant species ARE present.</i>
<u>SLIMF (Small Forests):</u>	Interviews with Forest Managers, local experts and government agencies.
Where known, rare, threatened and endangered species and their habitats are protected.	Refer also to 7.1.7
<u>SLIMF (Low Intensity Forests):</u>	<u>SLIMF (Small Forests):</u>
Where known, rare, threatened and endangered species and their habitats are mapped and protected.	Manager's knowledge of rare, threatened and endangered species in the area.
	Records from other sources of species found on the site.
	Field observations of nesting and feeding areas of rare, threatened and endangered species.
	<u>SLIMF (Low Intensity Forests):</u>
	Manager's and workers' knowledge of rare, threatened and endangered species in the area.
	Reports of training for forest workers on protection issues.
	Field observations of nesting and feeding areas of rare, threatened and endangered species.
	Reports of the conservation status of the FMU from other sources.
Indicator 6.2.2	Verifiers & Guidance:
Where appropriate, there is co-operation with acknowledged experts, conservation organisations and regulatory authorities in identifying	Records and maps.
	Interviews with Forest Managers, local experts and government

<p>conservation zones and protection areas for rare, threatened and endangered species present; these habitats are demarcated on maps, and, where necessary, on the ground</p> <p><u>SLIMF:</u></p> <p>Other features which are important for conservation are identified and protected.</p>	<p>agencies.</p> <p>Field observation at identified locations.</p> <p><u>SLIMF:</u></p> <p>Maps showing conservation features</p> <p>Field observations and interviews with forest manager</p>
<p>Indicator 6.2.3</p> <p>Rare, threatened and endangered species are protected during operations</p>	<p>Verifiers & Guidance:</p> <p>Operational plans.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observation.</p>
<p>Indicator 6.2.4</p> <p>(Not applicable to SLIMF)</p> <p>Conservation zones and protection areas, representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</p> <p>Landscape scale conservation considerations are evident in field activities, staff/contractor actions and/or in coordination with adjoining landowners, conservation organizations or government conservation agencies.</p>	<p>Verifiers & Guidance:</p> <p><i>Areas to be kept as conservation zones must meet at least the legal requirements for maintenance of legal reserves and permanent protection areas.</i></p> <p>Plans, maps and records of performed work.</p> <p>Interviews with Forest Managers, local specialists and governmental agencies.</p> <p>Field observations: conservation stage of mapped areas, connectivity between forest fragments.</p>
<p>Indicator 6.2.5</p> <p>Conservation management and protection activities are demarcated on maps, implemented and their impact monitored.</p> <p>For <u>large scale organisations</u> these will be also be documented in plans.</p> <p><u>SLIMF:</u></p> <p>Conservation management and protection activities have been determined and are demarcated on maps</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps, including annual plan of operations.</p> <p>Field observations</p>
<p>Indicator 6.2.6</p> <p>Authorised hunting, fishing, grazing and collecting activities are managed to ensure they do not exceed sustainable levels and inappropriate activities are prevented</p>	<p>Verifiers & Guidance:</p> <p>Policies and procedures.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observations and records of collection.</p>

Criterion 6.3	Ecological functions and values shall be maintained intact, enhanced, or restored, including:
	<ul style="list-style-type: none"> ▪ Forest regeneration and succession. ▪ Genetic, species and ecosystem diversity. ▪ Natural cycles that affect the productivity of the forest ecosystem.
Indicator 6.3.1	Verifiers & Guidance:
<p>The status of the FMU with regard to:</p> <ul style="list-style-type: none"> ▪ regeneration and succession ▪ genetic, species and ecosystem diversity ▪ natural cycles <p>is known or estimated.</p>	<p><i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i></p> <ul style="list-style-type: none"> ▪ <i>Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</i> ▪ <i>Impacts of past management e.g. logging, collection of NTFPs, soil erosion</i> ▪ <i>Distribution and status of plant communities;</i> ▪ <i>Conservation status of native floral and faunal assemblages, species and their habitats;</i> ▪ <i>Spread of invasive species</i> ▪ <i>Ongoing soil erosion</i> ▪ <i>Water quality</i> <p>Records and maps Interviews with Forest Managers and local experts.</p>
Indicator 6.3.2	Verifiers & Guidance:
<p>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</p>	<p>Interviews with Forest Managers and local experts Field verification</p>
Indicator 6.3.3	Verifiers & Guidance:
<p>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained and where appropriate, there is a programme for restoration of degraded sites</p>	<p><i>Enhancement, maintenance and restoration activities should be prepared to provide for the restoration of degraded natural areas, weed infestation, erosion, borrow pits, waste sites, quarries, etc.</i></p> <p>Interviews with Forest Managers, local experts. Plans and maps and field observations.</p>
Indicator 6.3.4	Verifiers & Guidance:
<p>In natural and semi-natural forest, natural regeneration is preferred where adequate for the meeting of management objectives; where artificial regeneration is planned, environmental impact has been assessed (refer Criterion 6.1)</p>	<p>Plans and maps Interviews with Forest Managers, local experts</p>

Criterion 6.4		Representative samples of existing ecosystems within landscapes shall be protected in their natural state and recorded on maps, appropriate to the scale of operations and the uniqueness of the resource.
Indicator 6.4.1	Verifiers & Guidance:	
For the protection and recording of representative samples of existing ecosystems in the landscape, refer to Criterion 6.2.	Verify studies for characterization of vegetation in the FMU Check maps and verify on-site.	
Areas for conservation or areas of high conservation value, legal reserve and permanent preservation areas represent ecosystems naturally occurring in the region.		
Indicator 6.4.2	Verifiers & Guidance:	
Existence of a fire prevention and control plan (which includes protection of remnant native vegetation areas).	Checking of fire prevention and control plans. Checking of fire records and analysis of occurrences in native vegetation areas. Checking structure implemented in the field for the prevention plan.	
Criterion 6.5		Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.
Indicator 6.5.1	Verifiers & Guidance:	
All environmentally sensitive forest operations are identified (see 6.1) and written guidelines defining acceptable practice are available to forest managers and supervisors; operational guidelines must meet or exceed national or regional best practice requirements	<i>Forest operations include: site preparation, fire belt management, planting, weed control, stand management, harvesting and extraction, road surfacing material extraction and excavation site closure, road network design, road design, construction, maintenance and closure.</i>	
<u>SLIMF:</u>	Records, plans and maps. Interviews with Forest Managers and field observations.	
All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.	<u>SLIMF:</u> Interviews with Forest Managers and field observations Maps showing new roads and locations of new and ongoing operations	
Indicator 6.5.2	Verifiers & Guidance:	
Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning	<i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i> Operational plans, interviews with staff and field observations.	
Indicator 6.5.3	Verifiers & Guidance:	
Buffer zones are maintained along watercourses and around water bodies. These buffer zones are demarcated on maps and comply with specifications made in national and regional best	<i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i> <i>In the case of this topic, see applicable legislation on permanent</i>	

<p>practice guidelines</p> <p><u>SLIMF:</u></p> <p>Buffer zones are maintained along watercourses and around water bodies and comply with national and regional best practice guidelines</p>	<p><i>preservation areas.</i></p> <p>Operational plans, interviews with staff and field observations.</p>
<p>Indicator 6.5.4</p> <p>Operators are aware of and able to implement adequate emergency procedures for clean up following accidental oil and chemical spillages</p>	<p>Verifiers & Guidance:</p> <p>Operational plans, interviews with staff and field observations.</p> <p>No evidence of significant spillages.</p>
<p>Criterion 6.6 Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</p>	
<p>Indicator 6.6.1</p> <p>There is an up-to-date list of all pesticides used in the organisation that documents trade name, and active ingredient. Where not provided by the product label, authorised applications, application methods and rates will also be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i></p> <p>Records of chemicals in use.</p> <p>Receipts and invoices.</p> <p>Procedures for the safe and appropriate use of chemicals</p> <p>Agronomic prescriptions and product purchase invoices</p>
<p>Indicator 6.6.2</p> <p>Prohibited pesticides are not used except where:</p> <ul style="list-style-type: none"> ▪ a derogation of policy has been obtained from the FSC Secretariat; or ▪ a temporary exemption has been authorised in terms of FSC-POL-30-001 and its associated documents. 	<p>Verifiers & Guidance:</p> <p><i>Refer SGS Qualifor Work Instruction 16 for:</i></p> <p><i>Refer SGS Qualifor Work Instruction 16 for:</i></p> <ul style="list-style-type: none"> ▫ <i>Current list of prohibited pesticides;</i> ▫ <i>Derogations;</i> ▫ <i>Temporary derogations; and</i> ▫ <i>Use of prohibited chemicals for emergency situations.</i> <p>Chemical records</p>
<p>Indicator 6.6.3</p> <p>Where chemicals are used on an ongoing basis the owner/manager must prepare and implement a strategy that will have at least the following components:</p> <ul style="list-style-type: none"> ▪ reduction of use is stated as a long-term objective; ▪ a range of methods for pesticide control providing justification for chemical-use as an option; ▪ procedures that promote the optimal use of chemicals 	<p>Verifiers & Guidance:</p> <p><i>Usage, and reduction targets should be expressed on a per hectare basis and sub-divided according to operations and catchment/drainage basin; targets should be quantitative</i></p> <p><i>Some organisations may be allowed to increase use of certain chemical pesticides in the short or medium term, where the use of these pesticides is justified on social or environmental grounds, see 6.6.</i></p> <p>This requirement applies to nurseries located on the certified FMU.</p>

<p>(timing, follow-up, equipment, etc)</p> <ul style="list-style-type: none"> ▪ clear measurable targets for long term chemical use; with reduction as the objective; <p>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</p> <p>SLIMF:</p> <p>Record is kept of the amount of chemicals used on the FMU and there is indication that alternative methods are being considered leading to a reduction in use of the long term</p>	<p>Documented long term strategy</p> <p>Chemical use records (also check traceability of the data provided, i.e., whether they are consistent with products receiving and shipments).</p> <p>Ongoing researches and studies aiming reduction in the use of pesticides.</p> <p>Documented strategy for reduction, establishing deadlines and targets.</p>
Indicator 6.6.4	Verifiers & Guidance:
<p>(Not applicable to SLIMF)</p> <p>Where pesticides are the preferred method of control for environmental or social reasons, the consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts</p>	<p><i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i></p> <p>Interviews with Forest Managers and local experts.</p> <p>Documented justification.</p>
Indicator 6.6.5	Verifiers & Guidance:
<p>All transport, storage, handling, application and emergency procedures for clean up following accidental spillages of chemical pesticides comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'.</p> <p>The Brazilian legislation on pesticides, including determination of storage sites and packaging disposal must be considered (Important: In cases where the Brazilian legislation is stricter than ILO published guidelines, the legislation must be followed).</p>	<p>Procedures and records.</p> <p>Interviews with staff</p> <p>Checking of warehouse facilities</p> <p>Chemical Product Safety Information Sheet</p> <p>Emergency Sheet for Transportation and emergency envelope</p> <p>Registration and listing of pesticide warehouses</p> <p>Employee training records</p> <p>Environmental license for laundries for clothes used in pesticide application (if applicable)</p>
Indicator 6.6.6	Verifiers & Guidance:
<p>Information on pesticide use is passed on to all those potentially affected, so as to alert them about possible negative impacts on people, hydric resources, fauna, native reserves, plantations and animals of agricultural producers neighboring the forest management unit.</p>	<p>Checking of records and documents</p> <p>Interviews with those in charge and with neighbors</p>
Criterion 6.7	Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed in an environmentally appropriate manner at off-site locations.
Indicator 6.7.1	Verifiers & Guidance:
<p>The owner/manager should ensure that non-organic wastes (e.g. oil, tyres, containers, etc.),</p>	<p>Field observations and interviews with staff</p>

including those generated by contractors working on the FMU are recycled where recycling is possible	
<p>Indicator 6.7.2</p> <p>The owner/manager should ensure that waste that cannot be re-cycled, including that generated by contractors working on the FMU, is disposed of in environmentally appropriate ways.</p>	<p>Verifiers & Guidance:</p> <p><i>Waste includes:</i></p> <ul style="list-style-type: none"> ▪ Surplus chemicals ▪ Chemical containers ▪ Plastic waste ▪ Fuels and lubricants ▪ Worn vehicle tyres ▪ Used vehicle batteries ▪ Waste produced from processing operations ▪ Domestic <p>Evidence that waste has been disposed off in an acceptable manner. If not disposed of inside the FMU the person in charge must have information on the place of final disposal.</p> <p>If applicable, check environmental licence/registration of companies responsible for final disposal of dangerous wastes, fuels and lubricants.</p> <p>Check existence of waste management procedures and records.</p>
<p>Indicator 6.7.3</p> <p>The owner/manager should ensure that the handling and disposal of chemicals and chemical containers, including that generated by contractors working on the FMU, should comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'</p> <p>Whenever the Brazilian legislation is stricter than ILO published guidelines, the legislation must be followed.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with staff</p> <p>Waste management procedures/plan.</p> <p>Pesticide packaging may not be reused; used motor oil must be destined to authorized organizations.</p> <p><i>Contaminated or toxic wastes must have a proper disposal in accordance with the legislation.</i></p>
<p>Indicator 6.7.4</p> <p>On-site facilities for easy collection of waste are provided</p>	<p>Verifiers & Guidance:</p> <p>Presence of waste receptacles or other</p> <p>Interviews with workers</p>
<p>Criterion 6.8 Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</p>	
<p>Indicator 6.8.1</p> <p>The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers.</p> <p>Policies and procedures.</p>

excessive cost		
<hr/>		
Indicator 6.8.2	Verifiers & Guidance:	
Any use of biological control agents must be supported by documented justification which details: alternative methods of pest or disease control considered, ecological impact assessment, relevant organisations and regulatory authorities consulted	Documentation	
<hr/>		
Indicator 6.8.3	Verifiers & Guidance:	
All activities where biological control agents are used are documented and monitored	Documentation <i>In plantations, DIPEL and insects (Hemiptera) are commonly used to control caterpillars; in the case of Pinus, nematodes are used to control the wood wasp; check in all cases how side effects of these controls are being monitored.</i>	
<hr/>		
Indicator 6.8.4	Verifiers & Guidance:	
No genetically modified organisms are used in management, production or research programmes within the FMU.	Interviews with staff. Records of biological material sources and supplies	
<hr/>		
Criterion 6.9	The use of exotic species shall be controlled and actively monitored to avoid adverse ecological impacts	
Indicator 6.9.1	Verifiers & Guidance:	
Exotic species are assessed for adverse ecological impacts and such impacts avoided	Records of scientific studies. Interviews with Forest Managers	
<hr/>		
Indicator 6.9.2	Verifiers & Guidance:	
Unwanted regeneration is monitored, and if necessary controlled	Monitoring records Field checking, also in areas adjacent to the forest management unit. <i>In the case of Pinus, invasion is common in open areas and grasslands.</i>	
<hr/>		
Criterion 6.10	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. 	
Indicator 6.10.1	Verifiers & Guidance:	
Forest conversion, if any, is limited to small areas (and its extent is acceptable to conservation organisations, regulatory authorities) and/or is of	<i>Clear felling and replanting of a natural or semi-natural forest with a mixture native species in the absence of satisfactory natural regeneration is not considered forest conversion to</i>	

<p>negligible environmental impact</p>	<p><i>plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i></p> <p><i>The clearance of isolated single trees or pockets of natural vegetation less than 0.001 ha to consolidate plantation blocks or for essential infrastructure development is only permitted where acknowledged experts and regulatory authorities have been consulted and find it acceptable.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans and maps.</p> <p>Field observations.</p> <p><i>Satellite images and land use declarations to INCRA, together with other information, may be used as evidence to check when the conversion occurred.</i></p>
<p>Indicator 6.10.2</p> <p>Conversion and aforestation do not occur in conservation zones, protection areas (see 6.2) or areas retained as representative of existing ecosystems (see 6.2)</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans and maps.</p> <p>Field observations.</p>
<p>Indicator 6.10.3</p> <p>Conservation benefits of conversion to non-forest land use or aforestation or compensatory conservation activities planned have been identified and assessed in cooperation with acknowledged experts; in the case of compensatory conservation activities, their extent is acceptable to conservation organisations, regulatory authorities</p>	<p>Verifiers & Guidance:</p> <p><i>Conversion may, for example, have a net conservation benefit where an area is converted back to its original natural or semi-natural habitat type such as open wetland or grassland.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p>
<p>Indicator 6.10.4</p> <p>Conservation benefits are substantial, additional, secure, and long term</p>	<p>Verifiers & Guidance:</p> <p>Scientific evidence and interviews with Forest Managers and local experts</p>

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.	
Criterion 7.1	The management plan and supporting documents shall provide:
	<ul style="list-style-type: none"> 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) rationale for rate of annual harvest and species selection; d) provisions for monitoring of forest growth and dynamics; e) environmental safeguards based on environmental assessments; f) plans for the identification and protection of rare, threatened and endangered species; g) maps describing the forest resource base including protected areas, planned management activities and land ownership; h) description and justification of harvesting techniques and equipment to be used.
Indicator 7.1.1	Verifiers & Guidance:
<p>There is a management plan (or overview linking different planning documents)</p> <p><u>SLIMF:</u></p> <p>Management plans may consist of brief notes and a map</p>	<p>Management plan</p> <p><u>SLIMF:</u></p> <p>Checking the plan exists and contains all the information required.</p> <p>Field checks that the plan has been implemented in the past and is currently still followed.</p>
Indicator 7.1.2	Verifiers & Guidance:
<p>Management objectives are clearly described</p> <p><u>SLIMF:</u></p> <p>An outline is provided of objectives and how these will be achieved</p>	<p>Management plan</p>
Indicator 7.1.3	Verifiers & Guidance:
<p>Forest resources, attributes of any high conservation value forest, environmental limitations, special characteristics of the forest, land use and ownership status, socio-economic conditions, and adjacent lands are described</p> <p><u>SLIMF:</u></p> <p>The forest is broadly described</p>	<p>Management plan</p>
Indicator 7.1.4	Verifiers & Guidance:
<p>Rate of harvest, species selection, management prescriptions (for production and conservation</p>	<p>Management plan</p> <p><u>SLIMF:</u></p>

<p>zones) and operational techniques are documented and justified</p> <p><u>SLIMF:</u></p> <p>Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided</p>	<p>Harvest limits are established at sustainable limits and are based on conservative estimates of tree growth and yield.</p> <p>Silvicultural prescriptions take into account factors such as DBH, seed trees for each species, etc.</p>
<p>Indicator 7.1.5</p> <p>Provisions for monitoring forest growth and dynamics are described</p> <p><u>SLIMF:</u></p> <p>The plans include provisions for monitoring forest regrowth</p>	<p>Verifiers & Guidance:</p> <p>Management plan</p>
<p>Indicator 7.1.6</p> <p>Refer Criterion 6.1 for description of environmental safeguards</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.7</p> <p>Refer 6.2 for conservation planning and provision for RTE species.</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.8</p> <p>The pest management strategy is documented and describes and justifies objectives, control methods and precautions.</p> <p>Refer also Criterion 6.6 for chemical use in pest management</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 7.1.9</p> <p>Any control of wild animals is based on a written strategy, which describes and justifies objectives, cull targets, control methods and precautions; control is carried out in consultation with all relevant stakeholders.</p> <p><u>SLIMF:</u></p> <p>Refer Criterion 6.2</p>	<p>Verifiers & Guidance:</p> <p>Written strategy and communication with interested and affected parties.</p> <p>Interviews with Forest Managers and consultation with local stakeholders, experts and government agencies.</p>
<p>Indicator 7.1.10</p> <p>There are appropriate maps (at a scale appropriate for planning and supervision activities) showing the forest resource base including protected areas, watercourses, roads and other features important for forest management. Maps should be prepared prior to commencement of harvesting and road construction</p> <p><u>SLIMF:</u></p>	<p>Verifiers & Guidance:</p> <p>Maps and associated records</p>

<p>There are appropriate maps showing the forest resource base including protected areas, watercourses, roads and ownership.</p>	
<p>Indicator 7.1.11</p>	
<p>Harvesting techniques and equipment are described and justified</p> <p><u>SLIMF:</u></p> <p>The plan describes harvesting methods and silviculture to ensure responsible management</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p> <p>Confirmation by field observations</p>
<p>Indicator 7.1.12</p>	
<p>For <u>large scale operations</u>, planning includes short (operational/annual), medium (tactical/3-5 yearly) and long (strategic, rotation/harvesting cycle) term plans covering all operations and these shall be documented.</p> <p>For <u>small-scale operations</u> a long-term plan covering harvesting operations will be documented. The requirement for documented planning in small-scale operations will be decided by the scale, duration and intensity of the operation.</p> <p><u>SLIMF:</u></p> <p>Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
<p>Indicator 7.1.13</p>	
<p>Plans are being implemented and any deviation from prescription or rate of progress is adequately justified; overall objectives will still be achieved and the ecological integrity of the forest maintained</p> <p><u>SLIMF:</u></p> <p>Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p> <p>Field verification (compare operating plan with ongoing or recently performed operations)</p>
<p>Criterion 7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic considerations.</p>	
<p>Indicator 7.2.1</p>	
<p>In <u>large scale organisations</u>, staff members with responsibility for the overall compilation and updating of the management plan are identified</p>	<p>Verifiers & Guidance:</p> <p>Company procedures</p>
<p>Indicator 7.2.2</p>	
<p>(Not applicable to SLIMF)</p>	<p>Verifiers & Guidance:</p> <p>Publications</p>

<p>New scientific and technical developments in production forestry and biodiversity conservation are available at the FMU or Forest Managers have access to this information</p>	<p>Interviews with Forest Managers Records of partnerships and agreements with research institutions.</p>
<p>Indicator 7.2.3</p> <p>There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of policies, procedures and plans.</p> <p><u>SLIMF:</u></p> <p>There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of plans.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, scientific evidence. Evidence of revised planning</p>
<p>Indicator 7.2.4</p> <p>There is evidence that changing environmental, social and economic considerations have been included in the revision of the management plan</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, scientific evidence. Evidence of revised planning</p>
<p>Indicator 7.2.5</p> <p>In <u>large scale operations</u> a timetable for the periodic revision of the management plan is documented and adhered to</p>	<p>Verifiers & Guidance:</p> <p>Management revision timetable and status of current management plan</p>
<p>Criterion 7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan</p>	
<p>Indicator 7.3.1</p> <p>Forest workers at all levels of skill and responsibility are appropriately educated and trained in the tasks they are assigned to and company policy and procedures.</p> <p><u>SLIMF:</u></p> <p>Forest workers at all levels of skill and responsibility are appropriately trained in the tasks they are assigned to.</p>	<p>Verifiers & Guidance:</p> <p>Training records Interviews with workers and management Field observations</p>
<p>Indicator 7.3.2</p> <p>(Not applicable to SLIMF)</p> <p>Managers and supervisors (including those employed by contractors) have received adequate education, training or experience to ensure that they are able to plan and organize forestry operations in accordance with organisations' plans, policies and procedures</p>	<p>Verifiers & Guidance:</p> <p>Training records Interviews with staff</p>
<p>Indicator 7.3.3</p>	<p>Verifiers & Guidance:</p>

<p>All activities are supervised and monitored sufficiently to ensure that plans, policies, procedures and contract specifications (for contractors) are adequately implemented</p>	<p>Operational procedures Interviews with staff.</p>
<p>Indicator 7.3.4 Evidence of formal or informal training exists in the field</p>	<p>Verifiers & Guidance: Interviews with workers and field observations</p>
<p>Indicator 7.3.5 In large scale organisations a formal long-term training plan should be available</p>	<p>Verifiers & Guidance: Strategic training plan</p>
<p>Criterion 7.4 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above.</p>	
<p>Indicator 7.4.1 There are publicly available statements that provide an up-to-date summary of the primary management plan elements listed in 7.1 at company level <u>SLIMF:</u> The management plan, or a summary of it (which includes the information required by Indicators 7.1.2 to 7.1.11 is available for the public to see on request.</p>	<p>Verifiers & Guidance: Public Summary of Management Plan (verify the media for publication or disclosure, language, style, coverage regarding criteria 7.1) <u>SLIMF:</u> Management Plan is available</p>
<p>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.</p>	
<p>Criterion 8.1 The scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment <u>should</u> determine the frequency and intensity of monitoring. Monitoring procedures <u>should</u> be consistent and replicable over time to allow comparison of results and assessments of change.</p>	
<p>Indicator 8.1.1 All activities that require monitoring are identified. For large scale organisations these shall be documented in a monitoring programme.</p>	<p>Verifiers & Guidance: Interviews with Management and environmental specialists/stakeholders Monitoring programme</p>
<p>Indicator 8.1.2 The frequency, intensity and expense of monitoring are defined and is appropriate to the scale and intensity of the forest management operations and the sensitivity of the receiving environment <u>SLIMF:</u></p>	<p>Verifiers & Guidance: Monitoring programmes <u>SLIMF:</u> Manager's field notes Manager's description of how monitoring is done.</p>

<p>Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.</p>		
<p>Indicator 8.1.3</p> <p>(Not applicable to SLIMF)</p> <p>Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.</p>		<p>Verifiers & Guidance:</p> <p>Monitoring procedures</p> <p>Interviews with Forest Managers and local experts</p>
<p>Indicator 8.1.4</p> <p>Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties.</p>		<p>Verifiers & Guidance:</p> <p>Monitoring records, reports and archival system.</p> <p>Internal audit records</p> <p>CAR records</p>
<p>Indicator 8.1.5</p> <p>Corrective actions identified through the monitoring process are appropriately implemented and closed out.</p>		<p>Verifiers & Guidance :</p> <p>Corrective action documentation</p>
<p>Criterion 8.2 Forest management <u>should</u> include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ul style="list-style-type: none"> ▪ yield of all forest products harvested; ▪ growth rates, regeneration and condition of the forest; ▪ composition and observed changes in the flora and fauna; ▪ environmental and social impacts of harvesting and other operations; ▪ costs, productivity, and efficiency of forest management. 		
<p>Indicator 8.2.1</p> <p>Yields of all forest products harvested are recorded</p>		<p>Verifiers & Guidance:</p> <p>Harvesting records</p>
<p>Indicator 8.2.2</p> <p>A timber resource inventory is conducted, appropriate to the scale and intensity of forest management</p> <p><u>SLIMF:</u></p> <p>The manager knows what information they need in order to judge progress towards their objectives. The information is collected and recorded.</p> <p>In all cases this will include:</p> <ul style="list-style-type: none"> ▪ Amount of products harvested ▪ Effects of operations as identified under C6.1 ▪ Changes in features identified under C6.2 ▪ At least annual monitoring of high conservation 		<p>Verifiers & Guidance:</p> <p><i>Data are collected on growth rates, regeneration, and yield of all forest products harvested as well as the condition of the forest (data accuracy is appropriate to scale and intensity of management)</i></p> <p>Documented inventory (methodology, procedures, records, results).</p> <p><u>SLIMF:</u></p> <p>Discussions with forest manager.</p> <p>Evidence of the manager’s knowledge of the forest and proactive approach to field observation and field notes</p> <p>Review of manager’s field notes, observations or reports on HCVs.</p> <p>Available maps and reports from other sources</p>

values identified under C 9.1	
<ul style="list-style-type: none"> Invasive exotic species 	
Indicator 8.2.3	Verifiers & Guidance:
Where non-timber products are used, a resource inventory is conducted, appropriate to the scale and intensity of forest management	Documented Inventory
SLIMF:	SLIMF:
The sustainable harvest levels of non-timber forest products is known	Interviews with the Forest Manager and field observations
Indicator 8.2.4	Verifiers & Guidance:
(Not applicable to SLIMF)	Data
Data are collected on the composition and observed changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species	SLIMF:
	Interviews with Forest Managers
Indicator 8.2.5	Verifiers & Guidance:
Indicators of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected	Data
SLIMF:	Interviews with Forest Managers and consultation with local communities
The forest manager is aware of the social impacts of operations and mitigate these where they are negative	
Indicator 8.2.6	Verifiers & Guidance:
Data are collected on any wild mammals culled	Data <i>(usually not applicable; in Brazil this has little application except in states where hunting is authorized to control the population of mammals or exotic animals).</i>
Indicator 8.2.7	Verifiers & Guidance:
Post-harvest monitoring is carried out to assess waste and damage to the site.	Interviews with Forest Managers and supervisors.
For <u>large scale operations</u> this monitoring shall be documented.	Field observations
	Post-harvest monitoring record
Indicator 8.2.8	Verifiers & Guidance:
The owner/manager records and analyses data on the costs, productivity and efficiency of forest management activities; the results of such analyses are incorporated into plans	Data and records
Indicator 8.2.9	Verifiers & Guidance:
Contractors' performance is monitored, including	Interviews with Forest Managers and contractors.

<p>compliance with contract specifications.</p> <p>In <u>large scale organisations</u>, formal auditing of contractors shall be carried out on a regular basis and records thereof maintained</p>	<p>Audit documents</p> <p>Documents of audits in contractors (filled checklists, periodicity, records, and actions in cases of non-conformities).</p>
<p>Indicator 8.2.10</p> <p>Waste disposal sites within the FMU are regularly checked</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and field observations</p>
<p>Criterion 8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the “chain of custody.”</p>	
<p>Indicator 8.3.1</p> <p>There is a procedure for identifying all products (timber and non-timber) leaving the forest so that the recipient can easily determine the forest of origin.</p> <p>For <u>large scale organisations</u> this procedure shall be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>The scope of a joint FM/CoC certificate covers harvesting and transportation of roundwood to the first point of sale, unloading or processing. On site processing e.g. charcoal burning, use of a mobile saw-bench, or purchase and harvesting of standing timber by a third party (e.g. sawmill, harvesting contractor, timber merchant) must be covered by a separate chain of custody certificate if the products are to be sold as certified.</i></p> <p><i>The local processing by the organization itself can be included in the scope of the FM/COC certificate. See related Qualifor work instructions and procedures.</i></p> <p>Interview with Forest Managers</p> <p>Procedures.</p>
<p>Indicator 8.3.2</p> <p>Documentation of origin and destination of all certified forest products is available for products held at landing areas, stacking areas and processing sites on the FMU</p>	<p>Verifiers & Guidance:</p> <p>Delivery notes, receipts and stock records</p>
<p>Indicator 8.3.3</p> <p>Sales invoices and other documentation related to sales of certified material include the chain of custody certificate number, in the correct format (SGS-FM/CoC-XXXX)</p>	<p>Verifiers & Guidance:</p> <p>Sales invoices</p>
<p>Indicator 8.3.4</p> <p>Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders</p>	<p>Verifiers & Guidance:</p> <p>Sales records, invoices</p>
<p>Indicator 8.3.5</p> <p>Use of the FSC trademark is in accordance with policy and has been approved by SGS Qualifor</p>	<p>Verifiers & Guidance:</p> <p>Samples of trademark use</p>

Criterion 8.4		The results of monitoring shall be incorporated into the implementation and revision of the management plan.
Indicator 8.4.1	Verifiers & Guidance:	
The results of research and monitoring programmes are regularly analysed and incorporated into planning on a regular basis	Interviews with local experts and Forest Managers. Forest planning documents	
SLIMF:		
Refer Indicators 7.2.3 and 7.2.4		
Indicator 8.4.2	Verifiers & Guidance:	
There is evidence that monitoring results are used to improve forest management	Interviews with local experts and Forest Managers	
SLIMF:		
Refer Indicators 7.2.3 and 7.2.4		
Criterion 8.5		
While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.		
Indicator 8.5.1	Verifiers & Guidance:	
Results and/or summaries of monitoring programmes (including those listed in Criterion 8.2) are available to the public within the accepted norms of commercial confidentiality. SLIMF:	Public summary	
Refer Indicator 7.4.1		
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.		
Criterion 9.1		
Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management		
Indicator 9.1.1	Verifiers & Guidance:	
The FMU has been adequately assessed (in consultation with conservation organisations, regulatory authorities and other local and national stakeholders) and any HCVFs and their biological and/or socio-economic or cultural attributes have been identified	<i>This requirement must be applied to all forests undergoing assessment. HCVFs possess one or more the following attributes:</i>	
SLIMF:	<ul style="list-style-type: none"> ▪ Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values and/or large landscape level forests where viable populations of most/all naturally occurring species exist in natural patterns of distribution and abundance; ▪ Rare, threatened or endangered ecosystems; ▪ Forests that provide basic ecological services in critical situations (e.g. water quality or flow, protection against erosion or natural disasters such as cyclones or hurricanes, pollinators); ▪ Forests fundamental to meeting basic economic or bio- 	
The FMU has been adequately assessed (in consultation with conservation organisations and regulatory authorities) and any HCVFs and their biological and/or socio-economic or cultural attributes have been identified		

	<p><i>physiological needs of local communities or critical to local community cultural identity.</i></p> <p>Interviews with Forest Managers and local experts.</p> <p>Evidence of assessments.</p> <p><i>For some regions of Brazil there are published studies on priority conservation areas. Take such studies into account.</i></p>
Indicator 9.1.2	Verifiers & Guidance:
For large scale organisations the assessment procedure should be documented and records of consultation maintained	Documented procedures and records
Criterion 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.	
Indicator 9.2.1	Verifiers & Guidance:
<p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations, regulatory authorities and other local and national stakeholders</p> <p>SLIMF:</p> <p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations and regulatory authorities.</p>	<p>Management plans and maps</p> <p>Consultation with stakeholders and/or government agencies or evidence of input by these agents</p>
Indicator 9.2.2	Verifiers & Guidance:
When an HCVF has been identified for its socio-economic or cultural attributes, there should be joint analysis and decision-making with the stakeholders directly affected; all efforts should be made to establish co-management agreements with these stakeholders	<p>Interviews with Forest Managers, local experts and communities.</p> <p>Affected communities/persons are listed on the stakeholder list (refer Criterion 4.4).</p>
Criterion 9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.	
Indicator 9.3.1	Verifiers & Guidance:
All biological and/or social attributes of any HCVF identified are described in the management plan	Management plan
Indicator 9.3.2	Verifiers & Guidance:
The plan describes the specific measures to be taken to enhance the identified attributes (see also Criterion 7.1)	Management plan

Indicator 9.3.3	Verifiers & Guidance:
All measures are described in the public summary of the plan	Management plan
Indicator 9.3.4	Verifiers & Guidance:
When an HCVF has been identified for biological values, management should: <ul style="list-style-type: none"> maintain natural patterns of distribution and abundance of species, maintain natural evolutionary and ecological processes (biotic and abiotic, including disturbance), avoid fragmentation, and set aside core areas for strict protection 	Management plans and maps. Interviews with Forest Managers and local experts. Field observations.
Indicator 9.3.5	Verifiers & Guidance:
Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)	Management plans and maps. Interviews with Forest Managers and local experts
Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.	
Indicator 9.4.1	Verifiers & Guidance:
Monitoring indicators and frequency are defined in consultation with acknowledged experts, local and national stakeholders to monitor effectiveness of each measure described in the plan <u>SLIMF:</u> Refer Indicator 8.2.2	Interviews with Forest Managers and local experts
Indicator 9.4.2	Verifiers & Guidance:
Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management <u>SLIMF:</u> Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management	Records of monitoring
Indicator 9.4.3	Verifiers & Guidance:
Managers are aware of research developments which might contribute to management of HCVFs	Scientific evidence. Interviews with Forest Managers and local experts
Indicator 9.4.4	Verifiers & Guidance:
Managers are actively monitoring research developments which might contribute to management of HCVFs	Scientific evidence. Interviews with Forest Managers and local experts

<p>SLIME:</p> <p>Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs</p>	
<p>PRINCIPLE 10. PLANTATIONS:</p> <p>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.</p>	
<p>Criterion 10.1 The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.</p>	
<p>Indicator 10.1.1</p> <p>The management plan of the plantation explicitly states the management objectives for the plantation itself, as well as for natural forest conversion and restoration (see also Criterion 7.1)</p>	<p>Verifiers & Guidance:</p> <p>“Natural forest” can be also be interpreted as natural vegetation.</p> <p>Forest Management Plan</p> <p>Interviews with Forest Managers and local experts.</p>
<p>Indicator 10.1.2</p> <p>The achievement of the objectives can be clearly demonstrated</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local experts.</p> <p>Field observations</p>
<p>Criterion 10.2 The design and layout of plantations <u>should</u> 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 within the natural landscape.</p>	
<p>Indicator 10.2.1</p> <p>Natural vegetation areas within the FMU are identified and demarcated on maps and such areas within the landscape are known and considered during planning</p>	<p>Verifiers & Guidance:</p> <p>Maps and field confirmation</p>
<p>Indicator 10.2.2</p> <p>For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2</p>	<p>Verifiers & Guidance:</p> <p>Plan checking; field inspection of actions that favor the connection of natural ecosystem fragments</p>
<p>Indicator 10.2.3</p> <p>Buffer zones are maintained along watercourses and around water bodies; these buffer zones are demarcated on maps and comply with specifications made in national and regional best practice guidelines. Refer indicator 6.5.3.</p>	<p>Verifiers & Guidance:</p> <p>In the case of permanent preservation areas, width of protection strips must follow at least the legal requirements for each water course or water body.</p>

Indicator 10.2.4	Verifiers & Guidance:
The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.	Maps and field observations
Criterion 10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity <u>may</u> include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.	
Indicator 10.3.1	Verifiers & Guidance:
Plantation planning and reestablishment make provision for diversity in species and/or provenances and/or clones to achieve optimal economic, ecological and social stability; restructuring of even-aged and/or stands low in diversity is carried out where necessary	Forest plans and maps Field observations Forest data base information (ages and genetic material planted) Where applicable, checking in plant nurseries whether the material required for plantation diversity is being produced as planned.
Indicator 10.3.2	Verifiers & Guidance:
Maximum clear-cut size is defined. Documented justification should be provided where there are potential adverse environmental or socio-economic impacts	Policies and procedures.
<u>SLIMF:</u>	<u>SLIMF:</u>
Maximum clear-cut size is defined and justified.	Interviews with Forest Managers and field observations
Criterion 10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.	
Indicator 10.4.1	Verifiers & Guidance:
Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives	Scientific evidence and interviews with local experts
<u>SLIMF:</u>	Field testing records
The species chosen for plantations are suited to the site and matched to the objectives.	Description of the genetic material improvement and introduction program
	<u>SLIMF:</u>
	Discussions with manager about plantation objectives
	Plans for future planting
Indicator 10.4.2	Verifiers & Guidance:
Exotic species are used only where they outperform native species in meeting management objectives	Scientific evidence and interviews with local experts
	Results

Indicator 10.4.3	Verifiers & Guidance:
Information is available on seed sources and these can be traced to the stand data	Plant records Seed/Seedling purchase certificates
Criterion 10.5	A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.
Indicator 10.5.1	Verifiers & Guidance:
There is sufficient evidence that an appropriate proportion of the overall forest management area is managed so as to restore the site to a natural forest cover. Refer Criterion 6.2	Legal reserve approval documents or adjustment plans. Maps indicating location of legal reserve and permanent protection areas. Field observations.
<u>SLIMF:</u> Improvements to the ecological value of the plantation are made where conservation features exist. For any situation: the legal reserve percentage must be respected, as established in the Brazilian forest code. In case of regularization, the restoration plan must be presented and be compatible with the certificate validity period (5 years).	<u>SLIMF:</u> Field observations of conservation features Plans for future improvements
Criterion 10.6	Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns
Indicator 10.6.1	Verifiers & Guidance:
There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species;	Interviews with Forest Managers and local experts. Documented site information. Evidence that site information is being used in planning of operations.
<u>Small growers</u> and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the managed area.	
Indicator 10.6.2	Verifiers & Guidance:
Where soils are degraded from previous activities, there are plans to restore them	Soil degradation through erosion, oil and chemical spills, etc. Interviews with Forest Managers and field observations. Review of plans for recovery of degraded areas (including PPAs, gravel sites inactive roads, etc.)

<p>Indicator 10.6.3</p> <p>Major water resources within the forest area are identified</p>	<p>Verifiers & Guidance:</p> <p>Maps and interviews with Forest Managers</p>
<p>Indicator 10.6.4</p> <p>For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5</p>	<p>Verifiers & Guidance:</p>
<p>Criterion 10.7 Measures shall be taken to prevent and minimise 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 fertilisers. Plantation management <u>should</u> make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>	
<p>Indicator 10.7.1</p> <p>The principle forest pests and diseases are identified.</p> <p>For <u>large scale organisations</u> these shall be documented.</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 10.7.2</p> <p>There is a documented pest and invasive plant management strategy.</p> <p>(For chemical use, refer to criterion 6.6)</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 10.7.3</p> <p>Effective control and remedial action is taken in the event of a pest, disease or invasive plant problem.</p> <p>For <u>large scale organisations</u> these actions shall be documented.</p>	<p>Verifiers & Guidance:</p> <p>Interview with Forest Managers and staff.</p> <p>Documentation</p>
<p>Indicator 10.7.4</p> <p>Where appropriate, adequate measures are taken to protect the forest from fire.</p> <p>For <u>large scale organisations</u> there is regular monitoring of fire readiness that test all procedures</p>	<p>Verifiers & Guidance:</p> <p><i>These measure will include documented* procedures for fire suppression that include definition of responsibilities and reporting lines.</i></p> <p>Interviews with staff and records of training.</p> <p>Fire readiness and control procedures.</p>

Criterion 10.8	Appropriate to the scale and diversity of the operation, monitoring of plantations, shall include regular assessment of potential on-site and off-site 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 <u>should</u> 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.
Indicator 10.8.1	Verifiers & Guidance:
For potential on-site impacts, see Criteria 6.1 and 6.5	
Indicator 10.8.2	Verifiers & Guidance:
(Not applicable to SLIMF)	<i>Off-site impacts may include:</i>
Potential biophysical off-site impacts shall be monitored on a regular basis. Evidence of consultation with affected parties in terms of these impacts should be available	<ul style="list-style-type: none"> ▪ Spread of exotic plantation species. ▪ Unwanted natural regeneration of native plantation species ▪ Effects on water resources ▪ Effects on soil fertility ▪ Impacts on the aesthetics of the landscape
	Interviews with Forest Managers and local communities and/or experts.
	Evidence of consultation.
	Field records and observations
Indicator 10.8.3	Verifiers & Guidance:
For exotic or invasive species issues, see Criteria 6.9 and 10.7	
Indicator 10.8.4	Verifiers & Guidance:
For social impacts, see Criteria 2.1, 2.2, 4.2 and 4.4.	
Criterion 10.9	Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.
Indicator 10.9.1	Verifiers & Guidance:
The plantation does not occupy land converted from natural forest since November 1994	<i>Clear felling and replanting of a natural or semi-natural forest with a mixture of native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i>
	<i>Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence.</i>
	Interviews with Forest Managers and Government Agencies.

	<p>Plantations plans and maps.</p> <p>Existence of land specification (real estate notary documents with 20-year possession certificates) of the forest management unit.</p> <p>Aerial pictures, satellite images, plans and projects of implantation.</p> <p>Field observations.</p>
<p>Indicator 10.9.2</p> <p>If the plantation was converted since November 1994, there is adequate evidence that the current manager/owner was not responsible</p>	<p>Verifiers & Guidance:</p> <p>Legal evidence of ownership or use-right</p> <p>(e.g.: check whether on the conversion date the area was under responsibility of the forest manager).</p>



APPENDIX A

REGULATIONS AND STANDARDS APPLICABLE IN BRAZIL

NATIONAL LEGISLATION (THIS SECTION IS IN PORTUGUESE)

This appendix lists the key laws and requirements applicable for forest management, for information purposes. It is not conclusive and has not the objective to cover all Brazilian laws. It should not be used as the only source of reference.

ADA – Ato Declaratório Ambiental

Instrução Normativa	76	31/10/2005	Dispõe sobre Ato Declaratório Ambiental - ADA e sua utilização para fins de isenção do Imposto Territorial Rural - ITR
---------------------	----	------------	--

Agrotóxicos

Resolução Conama	334	4/3/2003	Condiciona a localização, construção, instalação, modificação e operação de posto e central de recebimento de embalagens vazias de agrotóxicos e afins ao prévio licenciamento do órgão ambiental competente
------------------	-----	----------	--

Decreto	4	1/4/2002	Regulamenta a Lei nº 7.802, de 11 de julho de 1989, que dispõe sobre a pesquisa, a experimentação, a produção, a embalagem e rotulagem, o transporte, o armazenamento, a comercialização, a propaganda comercial, a utilização, a importação, a exportação, o destino final dos resíduos e embalagens, o registro, a classificação, o controle, a inspeção e a fiscalização de agrotóxicos, seus componentes e afins, e dá outras providências.
---------	---	----------	---

Lei	8	7/11/1989	Dispõe sobre a pesquisa, a experimentação, a produção, a embalagem e rotulagem, o transporte, o armazenamento, a comercialização, a propaganda comercial, a utilização, a importação, a exportação, o destino final dos resíduos e embalagens, o registro, a classificação, o controle, a inspeção e a fiscalização de agrotóxicos, seus componentes e afins, e dá outras providências.
-----	---	-----------	---

Água

Resolução Conama	274	29/11/2000	Estabelece categorias para águas doces, salobras e salinas destinadas à balneabilidade (recreação de contato primário) terão sua condição avaliada nas categorias própria e imprópria.
Resolução ANA	425	24/8/2004	Estabelece critérios para medição de volume de água captada em corpos de água de domínio da União.
Resolução	54	28/11/2005	Estabelece modalidades, diretrizes e critérios gerais para a prática de reuso direto não potável de água, e dá outras providências.
Decreto	5440	5/4/2005	Estabelece definições e procedimentos sobre o controle de qualidade da água de sistemas de abastecimento e institui mecanismos e instrumentos para divulgação de informação ao consumidor sobre a qualidade da água para consumo humano.

Água - poluição/dragagem

Resolução Conama	344	25/3/2004	Estabelece as diretrizes gerais e os procedimentos mínimos para a avaliação ambiental do material a ser dragado e disposto em águas jurisdicionais brasileiras
------------------	-----	-----------	--

Água - Recursos Hídricos

Resolução ANA	135	7/1/2002	Os pedidos de outorga de direito e de outorga preventiva de uso de recursos hídricos encaminhados à ANA observarão os requisitos e a tramitação previstos nesta Resolução.
Resolução Conama	357	17/3/2005	Dispõe sobre a classificação dos corpos de água e diretrizes ambientais para o seu enquadramento, bem como estabelece as condições e padrões de lançamento de efluentes, e dá outras providências.
Resolução ANA	707	21/12/2004	Dispões sobre procedimentos de natureza técnica e administrativa a serem observados no exame de pedidos de outorga

Ar – Veículos

Portaria Minter	100	14/7/1980	Estabelece padrões de emissão de fumaça preta dos veículos movidos a diesel
Resolução CONTRAN	510	15/12/1977	Dispõe sobre a circulação e fiscalização de veículos automotores diesel. Escala de Ringelmann.

Portaria Ibama	85	17/10/1996	Dispõe sobre o Programa Interno de Autofiscalização da Correta Manutenção da Frota.
----------------	----	------------	---

Áreas de Preservação

Resolução CONAMA	369	29/3/2006	Dispõe sobre os casos excepcionais, de utilidade pública, interesse social ou baixo impacto ambiental, que possibilitam a intervenção ou supressão de vegetação em Área de Preservação Permanente - APP.
------------------	-----	-----------	--

ART - "Anotação de Responsabilidade Técnica"

Resolução CONFEA	425	18/12/1998	Regulamenta a Lei 6.496/77 sobre a "Anotação de Responsabilidade Técnica" (ART)
------------------	-----	------------	---

Lei	6	12/7/1977	Sujeita a execução de obras ou de serviços profissionais referentes à Engenharia, à Arquitetura e à Agronomia à "Anotação de Responsabilidade Técnica" (ART), efetuada no Conselho Regional de Engenharia, Arquitetura e Agronomia (CREA).
-----	---	-----------	--

Cadastro Técnico Federal

Instrução Normativa IBAMA	96	30/3/2006	As pessoas físicas e jurídicas desta Instrução Normativa são obrigadas ao registro no Cadastro Técnico Federal de Instrumentos de Defesa Ambiental.
---------------------------	----	-----------	---

Instrução Normativa IBAMA	10	17/8/2001	Dispõe sobre o registro no cadastro técnico federal de atividades potencialmente poluidoras ou utilizadoras de recursos ambientais, e sobre a apresentação do relatório anual de atividades
---------------------------	----	-----------	---

CAT - Comunicação de Acidente do Trabalho

Portaria	5817	10/6/1999	Altera o formulário "Comunicação de Acidente do Trabalho - CAT". INSS. Revoga a Portaria nº 5.051, de 26 de fevereiro de 1999.
----------	------	-----------	--

Ordem de serviço	621	5/5/1999	Manual de Instrução para preenchimento da Comunicação de Acidente do Trabalho - CAT.
------------------	-----	----------	--

Lei	8213	24/7/1991	Dispõe sobre os Planos de Benefícios da Previdência Social e dá outras providências.
-----	------	-----------	--

Combustível

NR's	20	6/8/1978	Dispõe sobre as condições de armazenagem dos líquidos combustíveis e inflamáveis
Resolução Conama		12/4/2002	Dá nova redação a dispositivos da Resolução CONAMA nº 273, de 29 de novembro de 2000, que dispõe sobre prevenção e controle da poluição em postos de combustíveis e serviços.

CLT

Decreto-Lei	5	5/1/1943	Aprova a Consolidação das Leis do Trabalho.
Constituição da República Federativa do Brasil		1/1/1988	CONSTITUIÇÃO DA REPÚBLICA FEDERATIVA DO BRASIL DE 1988.

Crime ambiental

Lei	10	2/12/1998	Dispõe sobre as sanções penais e administrativas derivadas de condutas e atividades lesivas ao meio ambiente, e dá outras providências (Lei de Crimes Ambientais).
-----	----	-----------	--

Dano ambiental

Resolução	CONAMA 11/88	14/12/1988	Determina que as Unidades de Conservação contendo ecossistemas florestais, mesmo quando atingidas pela ação do fogo, devem sempre continuar a serem mantidas, com vistas à sua recuperação natural através dos processos da sucessão ecológica.
-----------	-----------------	------------	---

Desmatamento

Portaria Ibama	16	4/10/2006	Trata de suspender, pelo prazo de 30 dias, os efeitos de todas as autorizações de desmatamento para uso alternativo do solo e de Autorizações de Plano de Manejo Florestal Sustentável - PMFS, bem como o fornecimento de autorizações para Transporte de Produtos Florestais - ATPF. Uso do Solo. Meio Ambiente. Recurso Natural. Comercialização. Transporte. Produto Florestal. Recurso Florestal. Plano de Manejo. Desmatamento.
----------------	----	-----------	--

EIA/RIMA

Resolução Conama	1	23/01/1986	Dispõe sobre a elaboração do Estudo de Impacto Ambiental - EIA e respectivo Relatório de Impacto Ambiental - RIMA
------------------	---	------------	---

Fauna

Instrução Normativa IBAMA	141	19/12/2006	Regulamenta o controle e o manejo ambiental da fauna sinantrópica nociva. Revoga-se a Instrução Normativa nº 109 de 3 de agosto de 2006 e as disposições em contrário.
---------------------------	-----	------------	--

Instrução Normativa IBAMA	146	1/10/2007	Considerando a necessidade de estabelecer critérios e padronizar os procedimentos relativos à fauna no âmbito do licenciamento ambiental de empreendimentos e atividades que causam impactos sobre a fauna silvestre
Decreto	2464 5	7/10/1934	Estabelece medidas de proteção aos animais.
Instrução Normativa MMA	3	27/5/2003	Dispõe sobre as Espécies da Fauna Brasileira Ameaçadas de Extinção que especifica.
Decreto	58	23/3/1966	Promulga a Convenção para a proteção da flora, fauna e das belezas cênicas dos países da América
Lei	5	1/3/1967	"Dispõe sobre a proteção à fauna. Proíbe a destruição, caça e apanha de animais silvestres". Institui a Lei de Crimes Ambientais.

Flora

Resolução Conama	5	5/4/1994	Define vegetação primária e secundária nos estágios inicial, médio e avançado de regeneração da Mata Atlântica, a fim de orientar os procedimentos de licenciamento de atividades florestais.
Resolução Conama	10	10/1/1993	Estabelece os parâmetros básicos para análise dos estágios de sucessão da Mata Atlântica.
Portaria Ibama	117	17/8/1998	Versa sobre a coleta, o transporte e o armazenamento de produtos florestais, sem destinação comercial, para fim religioso ou de pesquisa, dada a necessidade de se regulamentar a exploração de produtos florestais para os fins acima citados.
Portaria Normativa IBAMA	149	30/12/1992	Dispõe sobre o registro no IBAMA dos comerciantes e proprietários de moto-serras
Portaria Ibama	152	11/10/1998	Dispõe sobre os procedimentos referentes ao ADA - Ato Declaratório Ambiental.
Decreto	1	19/10/1994	Dispõe sobre a reposição florestal obrigatória
Portaria Ibama	218	5/4/1989	Normaliza os procedimentos quanto às autorizações de derrubada e exploração florestal envolvendo área de Mata Atlântica

Portaria Ibama		4/3/1992	"Reconhece como Lista Oficial de Espécies da Flora Brasileira Ameaçadas de Extinção a relação que apresenta."
Lei	5	15/9/1965	" Institui o Código Florestal"
Portaria MMA	506	20/12/2002	"Prioriza a criação de Unidades de Conservação nas áreas que define
Instrução Normativa MMA	6	15/12/2006	Dispõe sobre a reposição florestal e o consumo de matéria-prima florestal, e dá outras providências
Decreto	750/93	2/10/1993	Dispõe sobre o corte, a exploração e a supressão de vegetação primária ou nos estágios avançado e médio de regeneração de Mata Atlântica, e dá outras providências.
Portaria Ibama	83	15/12/1996	Regulamenta a exportação de produtos florestais
Resolução Conama	09/96	24/10/1996	Trata da definição de corredores de remanescentes da Mata Atlântica.
Flora – incêndios			
Decreto	3	7/8/1998	Estabelece Normas de precaução ao emprego do fogo em práticas agropastoris e florestais.
Portaria Ibama	94-N	7/9/1998	Dispõe sobre a queima controlada condicionada à obtenção prévia da Autorização para Queima Controlada
Flora – Mata Atlântica			
Resolução Conama	12	5/4/1994	Aprovar o Glossário de Termos Técnicos, elaborado pela Câmara Técnica Temporária para Assuntos de Mata Atlântica
Resolução Conama	3	18/4/1996	"Define 'Vegetação remanescente de Mata Atlântica' expressa no art. 4º do Decreto Nº 750, de 10.02.93."
Resolução Conama	9	24/10/1996	"Define a expressão 'Corredor entre Remanescentes'."
Lei	11428	22/12/2006	Dispõe sobre a utilização e proteção da vegetação nativa do Bioma Mata Atlântica, e dá outras providências.
Resolução Conama	249	2/1/1999	Considerando que o bioma Mata Atlântica tem sido amplamente discutido pela sociedade brasileira, devido a suas dimensões e diversidade biológica;
Decreto	750	2/10/1993	Dispõe sobre o corte, a exploração e a supressão de vegetação primária ou nos estágios avançado e médio de regeneração de Mata Atlântica, e dá outras providências.

Flora - preservação permanente

Resolução Conama	303	20/3/2002	Dispõe sobre parâmetros, definições e limites de Áreas de Preservação Permanente
Resolução Conama	302	20/3/2002	Dispõe sobre as Áreas de Preservação Permanente situadas ao redor de reservatórios artificiais/Institui para os reservatórios artificiais destinados à geração de energia e abastecimento público a obrigação de apresentar o Plano Ambiental de Conservação e Uso do Entorno

Flora- RPPN

Portaria Ibama	828	6/1/1990	Estabelecer a outorga do Título de Reconhecimento às áreas que obtiverem o reconhecimento e o registro, em caráter perpétuo, como Reserva Particular do Patrimônio Natural, através da Portaria do Presidente do IBAMA, nos termos do Decreto n.º 98.914, de 31.05.90, normas e legislação pertinentes.
----------------	-----	----------	---

Indígenas

Lei	6.001/73		Estatuto de Índio.
Convenções - OIT	107	6/5/1957	Convenção sobre a Proteção a Integração das Populações Indígenas e outras Populações Tribais e Semitribais de Países Independentes.
Convenções - OIT	169	6/7/1989	CONVENÇÃO N° 169 DA OIT SOBRE POVOS INDÍGENAS E TRIBAIS

INSS

Lei	8213	24/7/1991	Dispõe sobre os Planos de Benefícios da Previdência Social e dá outras providências.
Instrução Normativa	100	18/12/2003	Dispõe sobre normas gerais de tributação previdenciária e de arrecadação das contribuições sociais administradas pelo INSS, sobre os procedimentos e atribuições da fiscalização do INSS e dá outras providências.
Instrução Normativa	11	20/9/2006	Considerando a necessidade de estabelecer rotinas para agilizar e uniformizar a análise dos processos de reconhecimento, manutenção e revisão de direitos dos beneficiários da Previdência Social, para a melhor aplicação das normas jurídicas pertinentes, com observância dos princípios estabelecidos no art. 37 da Constituição Federal,

ITR

Lei	9393	19/12/1996	Dispõe sobre o Imposto sobre a Propriedade Territorial Rural - ITR, sobre o pagamento da dívida representada por Títulos da Dívida Agrária e dá outras providências.
-----	------	------------	--

Licenciamento

Resolução Conama	6	24/1/1986	Aprova os modelos de publicação de licenciamento em quaisquer de suas modalidades, sua renovação e a respectiva concessão e aprova os novos modelos para publicação.
Resolução Conama	9	12/3/1987	Dispõe sobre a realização de Audiências Públicas.
Resolução Conama	13	12/6/1990	Obriga o licenciamento dos empreendimentos localizados nos entornos de Unidades de Conservação
Resolução Conama	237	19/12/1997	Dispõe sobre o Licenciamento Ambiental/ Estabelece prazos de validade das Licenças Ambientais
Resolução Conama	273	29/11/2000	Obriga ao prévio licenciamento do órgão ambiental competente, a instalação e operação, de instalações de abastecimento de combustíveis
Resolução Conama	281	1/12/2001	Dispõe sobre a publicação das licenças ambientais

Mudas e Sementes

Lei	11	8/5/2003	Dispõe sobre o Sistema Nacional de Sementes e Mudas
Decreto	5153	23/7/2004	Aprova o Regulamento da Lei 10.711/03, que dispõe sobre o Sistema Nacional de Sementes e Mudas - SNSM
Instrução Normativa	24	16/12/2005	Trata de aprovar as normas para produção, comercialização e utilização de mudas.
Instrução Normativa	9	6/2/2005	Dispõe sobre aprovação das Normas para Produção, Comercialização. e Utilização. de Sementes.

Óleo

Resolução Conama	362	23/6/2005	Todo óleo lubrificante usado ou contaminado deverá ser recolhido, coletado e ter destinação final, de modo que não afete negativamente o meio ambiente e propicie a máxima recuperação dos constituintes nele contidos, na forma prevista nesta Resolução.
------------------	-----	-----------	--

Portaria	1	29/7/1999	Considerando a necessidade de estabelecer diretrizes para o recolhimento, coleta e destinação de óleo lubrificante usado ou contaminado;
Portaria ANP	125	30/7/1999	“Regulamenta a atividade de recolhimento, coleta e destinação final do óleo lubrificante usado ou contaminado.”
Portaria ANP	127	30/7/1999	Regulamenta a atividade de coleta de óleo lubrificante usado ou contaminado.

Patrimônio arqueológico

Portaria IPHAN	230	17/12/2002	Dispõe sobre o licenciamento ambiental dos empreendimentos potencialmente capazes de afetar o patrimônio arqueológico/Condiciona a obtenção das licenças ao atendimento dos procedimentos.
----------------	-----	------------	--

PCMSO

NR	7	6/8/1978	Estabelece a obrigatoriedade de elaboração e implementação, por parte de todos os empregadores e instituições que admitam trabalhadores como empregados, do Programa de Controle Médico de Saúde Ocupacional - PCMSO, com o objetivo de promoção e preservação da saúde do conjunto dos seus trabalhadores.
----	---	----------	---

PPRA

NR	9	6/8/1978	Estabelece a obrigatoriedade da elaboração e implementação por parte de todos os empregadores e instituições que admitam trabalhadores como empregados, do Programa de Prevenção de Riscos Ambientais - PPRA, visando a preservação da saúde e da integridade dos trabalhadores, através de antecipação, reconhecimento, avaliação e conseqüente controle da ocorrência de riscos ambientais existentes ou que venham a existir no ambiente de trabalho, tendo em consideração a proteção do meio ambiente e dos recursos naturais.
----	---	----------	---

Recursos Hídricos

Instrução Normativa MMA	4	21/6/2000	Estabelece procedimentos para a emissão de outorga de direito de uso de recursos hídricos em corpos d'água federais.
Postaria	124	208/1980	Proíbe a instalação de depósitos de substâncias poluidoras sem dispositivos de contenção.
Resolução CNRH	16	5/8/2001	Estabelece condições e procedimentos para concessão de outorga de direito de uso de recursos hídricos federais.
Decreto	25	7/10/1934	Decreta o Código de Águas
Resolução	48	21/3/2005	Estabelece critérios gerais para cobrança pelo uso dos recursos hídricos.
Portaria MS	518	25/2/2004	"Estabelece procedimentos e responsabilidades relativos aos controles e vigilância da qualidade da água para consumo humano e seu padrão de potabilidade, e dá outras providências."
Lei	9	1/8/1997	Institui a Política Nacional de Recursos Hídricos, cria o Sistema Nacional de Gerenciamento de Recursos Hídricos, regulamenta o inciso XIX do art. 21 da Constituição Federal, e altera o art. 1º da Lei nº 8.001 de 13 de março de 1990, que modificou a Lei nº 7.990, de 28 de dezembro de 1989.

Resíduos

Portaria Minter	53	3/1/1979	Estabelece normas para disposição de resíduo sólidos
Resolução Conama	257	30/6/1999	Dispõe sobre o uso de pilhas e baterias que contenham em suas composições chumbo, cádmio, mercúrio e seus compostos, necessárias ao funcionamento de quaisquer tipos de aparelhos, veículos ou sistemas, móveis ou fixos, bem como os produtos eletro-eletrônicos que as contenham integradas em sua estrutura de forma não substituível, e dá outras providências.

Resolução Conama	258	26/8/1999	Dispõe sobre a destinação final dos pneus inservíveis/ Proíbe a queima do resíduo a céu aberto e sua disposição final em aterros sanitários, mar, rios , lagos e terrenos baldios ou alagadiços
------------------	-----	-----------	---

Segurança

NR	31	3/3/2005	NORMA REGULAMENTADORA DE SEGURANÇA E SAÚDE NO TRABALHO NA AGRICULTURA, PECUÁRIA SILVICULTURA, EXPLORAÇÃO FLORESTAL E AQUICULTURA
----	----	----------	--

Trabalhista

Instrução Normativa	1	24/3/1994	
Convenções	100	29/6/1951	CONVENÇÃO OIT (100)
Lei	10097	19/12/2000	Altera dispositivos da Consolidação das Leis do Trabalho - CLT, aprovada pelo Decreto-lei nº 5.452, de 1º de maio de 1943.
Convenções - OIT	105	25/6/1957	CONVENÇÃO OIT RELATIVA A ABOLIÇÃO DO TRABALHO FORÇADO
Lei	10820	17/12/2003	Dispõe sobre a autorização para desconto de prestações em folha de pagamento, e dá outras providências.
Convenções - OIT	111	25/6/1958	Convenção OIT SOBRE A DISCRIMINAÇÃO EM MATÉRIA DE EMPREGO E PROFISSÃO
Convenções - OIT	118	28/6/1962	OIT Convenio sobre la igualdad de trato (seguridad social),
Convenções - OIT	132	29/9/1981	OIT - Férias Remuneradas
Convenções – OIT	154	19/6/1981	OIT - CONVENÇÃO SOBRE O INCENTIVO À NEGOCIAÇÃO COLETIVA
Convenções – OIT	160	25/6/1985	OIT-Convenção Sobre Estatísticas do Trabalho
Convenções - OIT	168	6/1/1988	OIT - Convenção Relativa à Promoção do Emprego e à Proteção contra o Desemprego

Convenções – OIT	26	25/4/1957	Métodos de Fixação de Salários Mínimos
Portaria SIT/DSST	3	3/1/2002	Baixa instruções sobre a execução do Programa de Alimentação do Trabalhador - PAT
Instrução Normativa	64	25/4/2006	Dispõe sobre a fiscalização do trabalho em empresas que operam com turnos ininterruptos de revezamento.
Lei	7783	28/6/1989	Dispõe sobre o exercício do direito de greve, define as atividades essenciais, regula o atendimento das necessidades inadiáveis da comunidade, e dá outras providências.
Lei	8036	5/11/1990	Dispõe sobre o Fundo de Garantia do Tempo de Serviço, e dá outras providências.
Lei	8352	28/12/1991	Dispõe sobre as disponibilidades financeiras do Fundo de Amparo ao Trabalhador (FAT) e dá outras providências.
Convenções - OIT	95	7/1/1949	OIT - RELATIVA À PROTECÇÃO DO SALÁRIO
Convenções - OIT	99	28/6/1951	OIT - C99 Convenio sobre los métodos para la fijación de salarios mínimos (agricultura),

Transporte de produtos florestais

Resolução CONTRAN	196	8/2/2006	Fixa requisitos técnicos de segurança para o transporte de toras e de madeira bruta por veículo rodoviário.
Resolução CONTRAN	196	25/7/2006	Fixa requisitos técnicos de segurança para o transporte de toras e de madeira bruta por veículo rodoviário
Deliberação	56	13/2/2007	Altera a Resolução nº 196, de 25 de julho de 2006, do CONTRAN, que fixa requisitos técnicos de segurança para o transporte de toras e de madeira bruta por veículo rodoviário de carga.

Unidades de conservação

Resolução Conama	2	18/4/1996	Dispõe sobre a criação de Unidade de Conservação como condicionante do licenciamento de empreendimento de relevante impacto ambiental
Resolução Conama	10	14/12/1988	"Dispõe sobre o zoneamento ecológico-econômico das Áreas de Proteção Ambiental."

Decreto	2	6/5/1996	Dispõe sobre o reconhecimento das Reservas Particulares do Patrimônio Natural.
Decreto	4	22/8/2002	Regulamenta, parcialmente, a Lei 9.985/00, que dispõe sobre a criação das Unidades de Conservação, planos de manejo, formas de fixação das medidas compensatórias e autorização para a exploração de produtos, sub-produtos ou serviços delas inerentes
Decreto	5746	4/5/2006	Regulamenta o Art. 21 da Lei nº 9985, de 18 de julho de 2000, que dispõe sobre o Sistema Nacional de Unidade de Conservação da Natureza
Lei	7	27/4/1981	Dispõe sobre a criação de Estações Ecológicas, Áreas de Proteção Ambiental e dá outras providências.
Lei	10	18/7/2000	Dispõe sobre o Sistema Nacional de Unidades de Conservação da Natureza - SNUC

INTERNATIONAL AGREEMENTS PERTINENT TO FORESTRY

1.	<p>Convention on Biological Diversity: Decreto 2.519/98 – Promulga a Convenção sobre Diversidade Biológica.</p>
2.	<p>Convention on the International Trade in Endangered Species (CITES): Decreto 76.623/75 CITES – Promulga a Convenção Internacional do Comércio da Fauna e Flora em Perigo de Extinção.</p>
3.	<p>International Labour Organisation (ILO): Convenção nº 87 - Liberdade sindical e proteção do direito de sindicalização (1948) Convenção nº 98 - Direito de sindicalização e de negociação coletiva (1949) Convenção nº 29 - Trabalho forçado (1930) Convenção nº 100 - Igualdade de remuneração (1951) Convenção nº 105 - Abolição do trabalho forçado (1957) Convenção nº 111 - Discriminação (emprego e ocupação, 1958) Convenção nº 138 - Idade Mínima (1973) Convenção nº 182 - Trabalho Infantil (1999)</p>
4.	<p>ITTA: Decreto 2.707/98 ITTA – Promulga o Acordo Internacional Sobre Madeiras Tropicais</p>
5.	<p>Kyoto Protocol: Decreto 5.445/05 - Promulga a Convenção das Nações Unidas sobre Mudança do Clima (Protocolo de Quioto)</p>

LOCAL STANDARDS AND BEST OPERATING PRACTICES

1.	<p>Draft dos padrões nacionais do FSC para manejo de plantações no Brasil – versão 09, Outubro de 2004 (versão suspensa pelo FSC Brasil em janeiro de 2007).</p>
----	--

APPENDIX B

LIST OF RARE THREATENED AND ENDANGERED SPECIES LISTED FOR BRAZIL

FAUNA

<http://www.mma.gov.br/port/sbf/fauna/index.cfm>

FLORA

Portaria no 37-N, de 3 de abril de 1992

<http://www.ibama.gov.br/flora/>

End of Standard