



**GENERAL STANDARD AND CHECKLIST FOR THE  
ASSESSMENT OF**

**FOREST OR PLANTATION MANAGEMENT**

To demonstrate the adherence to the  
Principles and Criteria of

**F S C – Forest Stewardship Council**

FOREST:

\_\_\_\_\_

LOCATION:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

TYPE OF ASSESSMENT:

Certification

Surveillance

Renewal

Extension

Inspector responsible for the control: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Guide:  
 The checklist is organised and designed to carry out the evaluation of the respect of FSC Principles and Criteria (1999). It is divided into 10 sections, each corresponding to one of the FSC **Principles**, written in bold at the top of any section. Every Principle (written in bold) is divided into a number of **Criteria**. To each criterion are connected specific **requirements** that ICILA intends be respected by the Forest Management.

The checklist is divided into **3 columns**. **The first one** includes the requirements concerning the related FSC criterion. One or more requirements are defined for every Criterion. **The second column** includes the *Verifiers*: the objective evidences that will be used to verify the respect of the requirement. Such *Verifiers* may be documents, maps, procedures or interviews with personnel or forest manager, or observations about the forest (Objective evidence: information, registrations, qualitative/quantitative statements on verifiable facts). The *verifiers* indicated in the checklist are just indicative; the auditor may look for other objective evidences to verify the respect of the requirement.

**The third column** is used by the inspector to report and evaluate if any single requirement has been met (**C**: norm has been met, **⚡**: norm has not fully been met/is uncertain **NC**: norm has not been met and **NA**: the norm is not applicable) and the **scoring** related to each Principle or Criterion FSC.

Blank pages in back of every page of the checklist should be used for:

- In case of pre-audit, allow the auditors to record as many information as possible on local reality, including the comments of the stakeholders or of the forest manager, for the development of the local standard, if necessary;
- To allow the auditors to record the comments or the objective evidences evaluated during the evaluation of the certification.

The general condition of respect of each Principle and Criterion is evidenced by a score, assigned by the audit team at the end of the audit, considering the evidences collected, the professional judgement of the auditors taking into consideration if any requirement regarding the Principle or Criterion has been met.

The aim of the scoring system is to allow an objective weight of the findings and give the forest managers an indicator of the improvement of the management of the forest.

The scores are to be interpreted as follow:

**1 score**: the Principle or Criterion in its whole has not been adequately met and there are not adequate guarantees that there could be a good forest management, as regards the Principle or Criterion; or that significant risks may arise if immediate corrective action is not taken.

**2 scores**: the Principle or Criterion has been basically met, but there are some elements that should be improved to ensure a good forest management.

**3 scores**: the Principle or Criterion is sufficiently met, some elements could be better focalised in order to achieve high performances.

**4 scores**: the forest (according to size and features) is well managed under the considered Principle or Criterion.

**5 scores**: excellent performance as regards the Principle or Criterion, high level or very particular activities that go far beyond what is requested by the norm.

Before the audit, ICILA defines the Criteria or the requirements of the standard to be considered **significant** in connection to the Principle to which they refer. This significance can be modified, with motivated reasons, by the audit team during the audit. A criterion or a requirement significant means that this point, in the specific environmental and social context, is particularly important towards the related Principle, therefore, if not respected, can lead to a Primary Non Conformity. The Criteria or requirements significant are highlighted with the ⊗ symbol in the last column of the checklist.

The scores are connected with the weight of the findings as follow:

| Score:     | Non Conformity   |
|------------|--|
| 1 point    | NCP if assigned to a FSC Principle<br>NCP if assigned to a FSC Criterion considered significant<br>NCS if assigned to a FSC Criterion not considered significant |
| 2 points   | NCS, O   |
| 3 points   | O  |
| 4,5 points | -  |

In case is scored 1 to a FSC Principle or to a significant FSC Criterion or requirement, the certification is not awarded until the reasons that lead to such scores aren't removed and a better scored could be assigned.

**NCP** (primary non-compliance): The absence or the failure to implement or to maintain of one or more major element of the forest management; or a collection of minor failures which, considering the importance and consequences on the forest management performances, allow to consider one or more Forest Stewardship Principles NOT respected.

ICILA has to verify the correction of a NCP **prior to the issue of the certificate**. In case of surveillance or Re-Audit, the correction of an NCP has to verify within (generally) one month. If the NCP is not verified as correct, the certification will be withdrawn.

**NCS** (secondary non-compliance) formal non-compliance, lack of minor order not prejudging the respect of the Forest Stewardship Principle and Criteria The closing of the NCS will be verified during the successive audit.

**O** (observation) Recommendation to give particular attention to a specific issue. A specific corrective action plan is not requested to be submitted to ICILA

The weight of the findings done by the audit team at the end of the audit is not definitive; the certification decision is taken by ICILA considering the Certification Report, the eventual comments of the forest managers, the "peer review" of the Certification Report carried out by independent experts.

| N°   | Requirements and Regional Guide  | Verifiers  | Evaluation |
|--|--|--|------------|
| <b>FSC Principle 1</b><br><b>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 FCS PRINCIPLES AND CRITERIA.</b> |  |  |            |
| <b>FSC Criterion 1.1</b><br><b>Forest management shall respect all national and local laws and administrative requirements.</b>  |  |  |            |
| 1.1.1  | <b>The Forestry Managers<sup>1</sup> keep an updated record of the national and local legislation of rules and agreements, and any other prerequisite, also regarding taxes that is applicable to the forest management.</b><br><br>Regional Guidance: note local authorities for monitoring<br>Regional Guidance: attach the record of laws and taxes requirements<br><sup>1</sup> “Forest Managers” means the legal entity having the right to manage the forest (see 2.1.3).                          | - Updated record of law requirements and taxes.  |            |
| 1.1.2  | <b>Is there a procedure to update and verify if the above mentioned record is exhaustive for the regular monitoring of the respect of the reported requirements?</b>   | - updating procedure and control of its application.   |            |
| 1.1.3  | <b>Is it available an updated legible copy of the law and of any other requirement to be respected?</b>  | - Monitoring of the availability of law requirements with the concerned parties.   |            |
| <b>FSC Criterion 1.2</b><br><b>All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</b>   |  |  |            |
| 1.2.1  | <b>Is there evidence of no respect of the law or of unpaid taxes and fees, related to the forestry management?</b><br><br>Regional Guidance: note local authorities for monitoring   | - Consultation with local authorities in charge for the control and the concerned parties.<br>- Documents and procedures demonstrating the respect of legislation.<br>- No evidence, during the audit, of no respect of norms and laws.<br>- Receipts and evidence of all payments regularly done. |            |
| 1.2.2  | <b>Are there pending or historical legal proceedings against forestry managers, concerning activities related to the forest?</b>   | - Consultation with local authorities in charge for the control and with the concerned parties.<br>- Documents of Forest Managers regarding legal proceedings.   |            |
| <b>FSC Criterion 1.3</b><br><b>In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTO, and Convention on Biological Diversity, shall be respected.</b>                                      |  |  |            |
| 1.3.1  | <b>Are CITES requirements respected and appropriate tools implemented in order to ensure their continuous respect?</b><br><br>Regional guidance: note local species included in CITES list<br>Regional Guidance: note national laws that include CITES Conventions   | - the species included in the CITES list present in the forest are protected (see attachment A)<br>- possible export permits are available<br>- Procedures of control of the requirements of CITES conventions   |            |
| 1.3.2  | <b>Are provisions of ILO 29, 87, 97, 98, 100, 105, 111, 131, 138, 141, 142, 143, 155, 169, 182 Conventions and the ILO Recommendation 135 and the “Code of practice on safety and health in forestry work (1998)” respected and appropriate tools are implemented in order to ensure their continuous respect?</b><br>The text of these documents are available form ICILA on request.<br><br>Regional Guidance: note local laws of endorsement of ILO Conventions, Recommendation and Code of Practices | - Procedures of application of the requirements of ILO conventions<br>- Consultation with trade unions and workers’ Representatives<br>- availability and knowledge from forest managers of ILO conventions or related local laws (in order to have confidence of their continual respect)         |            |

| N°  | Requirements and Regional Guide  | Verifiers   | Evaluation |
|---|--|---|------------|
| 1.3.3   | <p><b>Are provisions of ITTO (International Tropical Timber Organisation) respected and appropriate tools implemented in order to ensure their continuous respect?</b></p> <p>Regional Guidance: is the country or the region signatory to ITTO? Note laws that include ITTO requirements.</p>   | <ul style="list-style-type: none"> <li>- Procedures or documentation of application of ITTO requirements.</li> <li>- availability and knowledge from forest managers of ITTO requirements or related local laws (in order to have confidence of their continual respect)</li> </ul>   |            |
| 1.3.4   | <p><b>Are the requirements of the Convention on Biological Diversity respected and appropriate tools implemented in order to ensure their continuous respect?</b></p> <p>Regional Guidance: note at regional level all the implications of the Convention on Biodiversity<br/>Regional Guidance: note laws that include the Convention on Biodiversity</p>         | <ul style="list-style-type: none"> <li>- Procedures or documentation of the application of the requirements of the Convention on Biodiversity</li> <li>- availability and knowledge from forest managers of the Convention on Biological Diversity requirements or related local laws (in order to have confidence of their continual respect)</li> </ul> |            |
| <p>Criterion 1.4<br/><b>Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purpose of certification, on a case by case basis, by the certifiers and the involved or affected parties.</b></p> |  |   |            |
| 1.4.1   | <p><b>Are there conflicts between laws/ local regulations and the present standard?</b></p>  | <ul style="list-style-type: none"> <li>- Consultation with the Forest Managers</li> <li>- Consultation with concerned parties.</li> </ul> <p>Any possible dispute will be evaluated by ICILA in cooperation with the auditors and the concerned parties.</p>  |            |
| <p>Criterion 1.5<br/><b>Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities.</b></p>  |  |   |            |
| 1.5.1   | <p><b>Is the forest protected from illegal harvesting activities, illegal new settlements, road construction, or other activities not approved by forestry managers, public authorities or local communities with use rights on the forest?</b></p> <p>Regional Guidance: note the local authorities</p>   | <ul style="list-style-type: none"> <li>- documented systems of prevention of illegal activities (e.g. systems of active surveillance);</li> <li>- no evidence of illegal activities under way.</li> <li>- consultation with local authorities and/or NGO's</li> </ul>   |            |
| <p>Criterion 1.6<br/><b>Forest Managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</b></p>  |  |   |            |
| 1.5.2   | <p><b>Has Forest Manager subscribed a public document in which he/she ensures a long term commitment to fully respect the law, codes, regulations, agreements, etc. concerning the forest management, taking into account local communities living and working there as well as any other administrative requirement, FSC Principle and Criteria included.</b></p> | <ul style="list-style-type: none"> <li>- Presence of a public Policy subscribed by the Direction.</li> <li>- evidence of the comprehension on the part of the Forest Managers of the contents and norms of the Principles and Criteria of the FSC.</li> </ul>   |            |
| <p><b>FSC Principle 2 TENURE AND USE RIGHTS AND RESPONSIBILITIES<br/>LONG-TERM TENURE AND USE RIGHTS TO THE LAND AND FOREST RESOURCES SHALL BE CLEARLY DEFINED, DOCUMENTED AND LEGALLY ESTABLISHED.</b></p>                                   |  |   |            |
| <p>Criterion 2.1<br/><b>Clear evidence of long- term use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.</b></p>   |  |   |            |
| 2.1.1   | <p><b>Are the name and legal status of the entity in charge for the forest management and/or that has the ownership or the use rights on the forest and/or requesting the certification clearly stated? (these entities maybe separated or coincident).</b></p>  | <ul style="list-style-type: none"> <li>- Documentation on the legal status of the entities involved in the management and ownership of the forest.</li> </ul>   |            |
| 2.1.2   | <p><b>Does a legal map clearly report the boundaries of the forest area?<br/>Are these boundaries physically visible in the forest too?</b></p>  | <ul style="list-style-type: none"> <li>- Map of the borders of the forest (to be attached)</li> <li>- physical indication of the borders on site</li> </ul>   |            |

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| 2.1.3   | <b>Are responsibilities clearly assigned within the legal entity in charge for the forest management?</b>   | <ul style="list-style-type: none"> <li>- Working organization chart.</li> <li>- Procedures.</li> </ul>   |            |
| 2.1.4   | <b>Are legal ownership/tenure and the use rights clearly recorded?</b><br><b>a) Are responsibilities clearly recorded among manager, owner and others possibly involved?</b><br><b>b) Have use rights the same or longer duration with respect to the Management Plan?</b>  | <ul style="list-style-type: none"> <li>- Documentation vouching for legal ownership or the right of management of the forest.</li> <li>- documentation vouching for the responsibilities assignment among the parties (e.g. contracts o rent/lease documents).</li> </ul>  |            |
| <b>Criterion 2.2</b><br><b>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.</b> |   |  |            |
| 2.2.1   | <b>Are legal or customary rights to forestry resources of local communities clearly defined and mapped by Forest Managers?</b><br><br>Regional Guidance: note local communities that have customary tenure or use rights<br>Regional Guidance: for use rights of local people is also understood aesthetic, religious, spiritual or recreational right of local communities that not necessarily depend on forestry resources. In this case forest is considered as a part of local culture or local economy. | <ul style="list-style-type: none"> <li>- Discussion with the concerned parties and with the Forest Managers.</li> <li>- List of local communities/villages; list and references of the representatives of local communities (address, etc.).</li> <li>- Maps</li> <li>- Documentation vouching for the rights of local populations (rights of access/passage, of common use of the land, of collection, etc.)</li> </ul> |            |
| 2.2.2   | <b>Do formal and written agreements exist between Forest Managers and local people/communities (written in a language both parties understand) where rights and duties of both are clearly defined, including legal or traditional rights of local communities?</b><br><br>Regional Guidance: identify local laws and codes concerning the rights of local communities.   | <ul style="list-style-type: none"> <li>- agreements and/or contracts</li> <li>- evidence in the planning of the forest management that the rights of local communities are respected</li> <li>- consultation with the concerned parties and communication from representatives of local communities to the audit team of their free and informed consent of the agreements whit the Forest Managers</li> </ul>           |            |
| 2.2.3   | <b>May local peoples/communities exercise control over the forest management so that their rights and forestry resources be protected and ensured?</b>  | <ul style="list-style-type: none"> <li>- consultation of GVI with the concerned parties</li> <li>- no significant disputes between the Forest Managers and the local communities</li> <li>- evidence of the payment of indemnities of the used resources</li> <li>- indication of the protected areas or under a particular management system on main maps</li> </ul>  |            |
| 2.2.4   | <b>Do procedures of consultation of the local communities exist and are applied (when necessary) in order to assure to the local communities a control on the forest management so that their rights and forestry resources be protected and ensured?</b>   | <ul style="list-style-type: none"> <li>- presence of formal consultation committees between the Forest Managers and the local communities/populations and their effective working (periodical meetings, records of the meetings, etc.).</li> <li>- evidence that local communities representatives have the authority to exercise such role.</li> </ul>  |            |
| 2.2.5   | <b>Are reasonable efforts carried out to provide those communities with no legal or customary rights on the forest the access to forestry resources according to forestry management objectives and the rights of the other local communities?</b><br><br>Regional Guidance: note ordinary uses of forestry resources on the part of communities not having legal or acquired rights on forestry resources.   | <ul style="list-style-type: none"> <li>- documentation,</li> <li>- consultation with the concerned parties.</li> </ul>   |            |

| N°   | Requirements and Regional Guide   | Verifiers   | Evaluation |
|--|---|---|------------|
| <b>Criterion 2.3</b><br><b>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.</b>   |   |   |            |
| 2.3.1  | <b>Do appropriate procedures or mechanisms exist for settlement of disputes between forest managers and local communities concerning use and legal rights or others freely agreed between parts?</b><br><br>Regional Guidance: note local law.  | <ul style="list-style-type: none"> <li>- Consultation with the concerned parties</li> <li>- procedures or legislation</li> <li>- agreements, contracts</li> </ul>   |            |
| 2.3.2  | <b>Do these procedures include a rule that in case of a dispute or disagreement regarding the rights of local communities irreversible forestry operations which prejudice the future of such rights (i.e. construction, interruption of roads, demolition of buildings) are halted until the dispute is settled?</b>   | <ul style="list-style-type: none"> <li>- procedures are documented and available in case of disputes</li> </ul>   |            |
| 2.3.3  | <b>Is there evidence of relevant past and/or present disputes concerning the rights of local people on the forest?</b><br><br>Regional Guidance: note any known dispute concerning the rights of local people on the forest, including those between different communities.   | <ul style="list-style-type: none"> <li>- consultation with local communities</li> <li>- documentation of the application of the procedure to settle disputes (see previous 2.3.2)</li> </ul>  |            |
| 2.3.4  | <b>Every reasonable effort is made to resolve conflicts through consultation aiming at achieving agreement or consent?</b><br><br>Ref. ILO Convention 169   | <ul style="list-style-type: none"> <li>- Interviews with representatives of local communities, and workers and their labour organizations or unions.</li> <li>- Records of fora for participation (round tables, committees, hearings etc.)</li> <li>- evidences of application of the procedure of dispute resolution</li> </ul> |            |
| <b>Principle 3 INDIGENOUS PEOPLE'S RIGHTS</b><br><b>THE LEGAL AND CUSTOMARY RIGHTS OF INDIGENOUS PEOPLE TO OWN; USE AND MANAGE THEIR LANDS; TERRITORIES; AND RESOURCES SHALL BE RECOGNISED AND RESPECTED.</b><br>Principle 3 is a special case of the previous Principle 2 and all the requirements of Principle 2 will be applied also in this Principle with the obligation for the Forest Managers working in or near Indigenous People's lands to pay particular attention to this issue (see attachment 3 for the definition of Indigenous People, as reported by United Nations) |   |   |            |
| <b>Criterion 3.1</b><br><b>Indigenous people shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</b>   |   |   |            |
| 3.1.1  | <b>Are all indigenous and migratory communities, living in the vicinity of the forest area to be certified, clearly identified by Forest Managers (ethnic/cultural origin? Localization? Number of people? Community representatives?)</b><br>Regional Guidance: note all communities of Indigenous People, their traditional habits included.<br>Regional Guidance: note local law about Indigenous People (rights and duties, localization,...) | <ul style="list-style-type: none"> <li>- documentation, updated list of Indigenous Populations</li> <li>- no evidence of Communities of Indigenous Populations included in the list</li> </ul>  |            |
| 3.1.2  | <b>The communities concerned have identified themselves as indigenous or tribal?</b><br><br>Ref. ILO Convention 169 Article 1   |   |            |
| 3.1.3  | <b>Are all the areas in which Indigenous Populations have (or may reasonably claim) rights (of propriety, management) clearly identified and mapped?</b>  | <ul style="list-style-type: none"> <li>- maps</li> <li>- consultation with the representatives of the communities of Indigenous People</li> <li>- see also point 2.2.1</li> </ul>   |            |

| N°   | Requirements and Regional Guide  | Verifiers  | Evaluation |
|--|--|--|------------|
| 3.1.4  | <b>Communities have clear, credible and officially recognised evidence, endorsed by the communities themselves, of collective ownership and control of the lands they customarily own or otherwise occupy or use?</b><br><br>Ref: ILO Convention 169 Article 14-17.  | <ul style="list-style-type: none"> <li>- Interviews with local community representatives and indigenous peoples</li> <li>- Maps demonstrating extent of titled lands or recognised territories</li> </ul>  |            |
| 3.1.5  | <b>The indigenous peoples are consulted through appropriate procedures and in particular through their representative institutions</b><br>See also point 2.2.3<br><br>Ref: ILO Convention 169 Article 6  | <ul style="list-style-type: none"> <li>- Interviews with local community representatives and indigenous peoples</li> <li>- existence of procedures</li> <li>- application of procedures</li> </ul>   |            |
| 3.1.6  | <b>Is a list of prescriptions and constraints for the forest management due to Indigenous People's rights available? (may they be considered already included in article 1.1.1?)</b>   | <ul style="list-style-type: none"> <li>- list of prescriptions and constraints</li> <li>- consultation with local communities for non-written indigenous people rights</li> </ul>  |            |
| 3.1.7  | <b>The operations (harvesting, logging, road construction or use of waterways, construction or demolition of buildings,...) realised in the areas identified in the previous points, are communicated to the concerned indigenous communities, giving them details about the social impacts expected (see also 4.4.1) and about eventual benefit-sharing arrangements?</b> | <ul style="list-style-type: none"> <li>- consultation with the representatives of the communities of Indigenous People</li> <li>- evidence of the full, free and informed consent expressed by Indigenous People or their representatives</li> <li>- evidence of contracts or written agreements</li> <li>- no relevant disputes</li> <li>- evidence of the agreed indemnities payment for the use of forest resources.</li> </ul> |            |
| 3.1.8  | <b>Free and informed consent for forest management operations, if delegated by the indigenous peoples through their representative institutions, is freely expressed without coercion or duress?</b><br><br>Ref: ILO Convention 169 Article 7  | <ul style="list-style-type: none"> <li>- records of discussions between forest managers and representative institutions</li> <li>- benefit sharing plans or other signed agreements</li> </ul>   |            |
| <b>Criterion 3.2<br/>Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of Indigenous People.</b> |  |  |            |
| 3.2.1  | <b>Have forest managers disposed documented procedures to prevent any potential threat, direct or indirect, to the resources or rights of Indigenous People, due to forestry management activities on or near their territory? (e.g. damage to water resources and fauna)</b><br>Regional Guidance: identify and note any possible threats as above described.             | <ul style="list-style-type: none"> <li>- procedures</li> <li>- consultation with the representatives of the communities of Indigenous People</li> <li>- evidence of no threat to the resources or rights of local people</li> </ul>  |            |
| 3.2.2  | <b>Do these procedures include also critical activities assigned by Forest Managers to third parties (e.g. in case of logging activities carried out by third parties along the borders of the Indigenous Peoples territory the border should be demarcated under the supervision of Local Communities)?</b>   | <ul style="list-style-type: none"> <li>- consultation with the representatives of the communities of Indigenous People</li> <li>- monitoring/control in the field of the application of the procedures</li> <li>- procedures</li> <li>- contracts with third parties</li> </ul>  |            |
| 3.2.3  | <b>Has an appropriate procedure been prepared to record any possible voluntary or accidental, direct or indirect damage to the forest resources of the Indigenous People as well as to indemnify them adequately for the possible loss?</b>  | <ul style="list-style-type: none"> <li>- evidence of possible indemnity to Indigenous People</li> <li>- evidence of adequate indemnity, accepted by the Indigenous People</li> </ul>   |            |
| 3.2.4  | <b>Cultural and traditional values are respected?</b>  | <ul style="list-style-type: none"> <li>- Interviews with representatives of local communities, and workers and their labour organizations or unions</li> </ul>   |            |

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|---|--|---|------------|
| 3.2.5   | <p><b>Traditional access for subsistence uses and traditional activities is granted, and is granted the rights of local communities to natural resources pertaining to their land are respected and communities participate in the use, management and conservation of the resources?</b></p> <p>Note: it is assumed that traditional uses are on a scale that does not threaten the integrity of the resources or the management objective.</p> <p>ILO Convention 169</p> | - Interviews with representatives of indigenous and traditional peoples   |            |
| <p><b>Criterion 3.3</b><br/> <b>Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognised and protected by Forest managers.</b></p>  |  |   |            |
| 3.3.1   | <p><b>Are there appropriate procedures to identify, record and map sites of archeological, religious, historical or cultural interest prior to the commencement of forest management activities?</b><br/> <b>Are such procedures implemented also in the case the above mentioned activities are assigned to third parties?</b></p> <p>Regional Guidance: note any site of archeological, historical, religious, cultural interest in the area.</p>                        | <ul style="list-style-type: none"> <li>- procedures</li> <li>- maps and registrations documents or historical documents</li> <li>- interviews with the personnel to control the extension of such procedures</li> </ul>   |            |
| 3.3.2   | <p><b>Are there appropriate procedures for the protection and management of the identified sites?</b></p>  | <ul style="list-style-type: none"> <li>- procedures</li> <li>- evidence of no unsuitable intervention in sensitive areas</li> </ul>   |            |
| 3.3.3   | <p><b>Do these procedures foresee a full and informed involvement of Indigenous People in the identification and safeguard plans of such sites?</b></p> <p>Regional Guidance: note local laws for the management of such sites and for the communication of their presence to local public authorities.</p>  | - consultation with the representatives of the communities of Indigenous People   |            |
| <p><b>Criterion 3.4</b><br/> <b>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 operation commence.</b></p> |  |   |            |
| 3.4.1   | <p><b>Have Forest Managers taken note of any traditional knowledge of Indigenous People about forest management, silvicultural techniques or the use of particular species?</b></p> <p>Regional Guidance: note any application related to traditional knowledge on the use of local species or particular silvicultural systems.</p>   | - registrations   |            |
| 3.4.2   | <p><b>Are Indigenous People informed and adequately repaid, according to previous agreements, regarding the application of such knowledge and the economic benefits of such applications to the forest management enterprise?</b></p>  | <ul style="list-style-type: none"> <li>- registrations</li> <li>- consultation with the representatives of the communities of Indigenous People</li> <li>- economic agreement between the Forest Managers and Indigenous People</li> <li>- evidence of payment</li> </ul> |            |

| N°  | Requirements and Regional Guide   | Verifiers   | Evaluation |
|---|---|---|------------|
| <b>Principle 4 COMMUNITY RELATIONS AND WORKER'S RIGHTS<br/>FOREST MANAGEMENT OPERATIONS SHALL MAINTAIN OR ENHANCE THE LONG-TERM SOCIAL AND ECONOMIC WELL-BEING OF FOREST WORKERS AND LOCAL COMMUNITIES.</b>   |   |   |            |
| <b>Criterion 4.1<br/>The communities within, or adjacent to the forest management area should be given opportunities for employment, training and other services.</b><br><br>Safe working conditions evaluation highly vary from region to region. In less developed regions it will be much more emphasised that the workers be provided at least with basic needs/services for a safe and healthy work (drinking water, health, etc.); in other regions it will be more important to pay attention not to discriminate workers. In any case it is desirable that forest enterprises put themselves at a higher level, if possible, with respect to the minimum law requirements or to average of local similar enterprises. |   |   |            |
| 4.1.1   | <b>Are all reasonable efforts made not to discriminate against local workers and companies and possibly favour their employment?</b>  | <ul style="list-style-type: none"> <li>- employment strategies</li> <li>- evidence of local people employment</li> <li>- consultation with local communities</li> <li>- consultation with labour unions and workers</li> </ul>  |            |
| 4.1.2   | <b>Are all reasonable efforts made to ensure that local communities have access to basic services? (e.g. education, health, drinking water,...)</b><br><br>Regional Guidance: assess living conditions of local people and their primary needs.   | <ul style="list-style-type: none"> <li>- Consultation with the concerned parties</li> <li>a) Monitoring of the implemented measures by Forest Managers (schools, dispensaries, basic services, houses, etc.)</li> </ul>   |            |
| <b>Criterion 4.2<br/>Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</b>   |   |   |            |
| 4.2.1   | <b>Is the list of existing laws and regulations (see 1.1.1.) exhaustive also as regards the health and safety of the workers?<br/>Is such legislation respected?</b><br><br>Regional Guidance: state main references and requirements of reference legislation.   | <ul style="list-style-type: none"> <li>- list of existing laws</li> </ul>   |            |
| 4.2.2   | <b>Are forest managers and employees clearly informed about the requirements of reference legislation?</b>  | <ul style="list-style-type: none"> <li>b) interviews with the personnel and Forest Managers</li> <li>c) access to legislation</li> </ul>  |            |
| 4.2.3   | <b>Does an exhaustive assessment exist of the risks to workers according to different kind of activities? Are all reasonable efforts (procedural, and logistic by providing workers with appropriate tools, including Personal Protective Equipment - PPE) made in order to reduce or eliminate such risks?</b><br><br>Ref: ILO Conventions 155, ILO code of Practice on Safety (1988)<br><br>Regional Guidance: state local working conditions in similar surroundings areas so to have a minimum reference standard to be considered and possibly enhanced. | <ul style="list-style-type: none"> <li>- Risks evaluation document: control of its completeness</li> <li>- control/monitoring of the working procedures</li> <li>- check of the tools and PPE</li> <li>- control of the safety of working tools</li> <li>- control that all the tools and PPE respect safety norms</li> <li>- control of the assignment of PPE to the workers and the extension/training activities to use them.</li> </ul> |            |
| 4.2.4   | <b>Are measures to reduce risks formally included by contract also to third enterprises working for the forest enterprise?</b>  | <ul style="list-style-type: none"> <li>- control of third parties contracts</li> <li>- control of third parties working modalities</li> </ul>   |            |
| 4.2.5   | <b>Are all reasonable efforts made by forest managers in order to ensure healthy and safe living conditions to the employees and their families (e.g. access to drinking water, food, health, basic services, appropriate accommodations,...)?</b><br><br>Ref: ILO Conventions 155, ILO code of Practice on Safety (1988)   | <ul style="list-style-type: none"> <li>- disciplinary measures for the workers not respecting healthy and safe instructions</li> <li>- control of the healthy/safe living conditions of the employees and their families</li> </ul>   |            |

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| 4.2.6  | <p><b>Is appropriate training provided to personnel (direct, third parties or seasonal workers) according to the different tasks, at least regarding the following topics:</b></p> <p>a) <b>safety working procedure, risks related to each activity and measures to reduce them;</b><br/> b) <b>use of PPE;</b><br/> c) <b>company policies and procedures regarding sustainable forest management;</b><br/> d) <b>minimisation of daily work environmental impact;</b><br/> e) <b>use of low environmental impact substances;</b><br/> f) <b>maintenance of the equipment/tools and reduction of waste;</b><br/> g) <b>other issues related to risks reduction in daily work and environmental impacts.</b></p>  | <ul style="list-style-type: none"> <li>- training procedures</li> <li>- training registrations</li> <li>- interviews with employees</li> <li>- training and awareness tools (advertising, leaflets, printed matters, etc.)</li> <li>- see also point 7.3.2</li> </ul>   |            |
| 4.2.7  | <p><b>Are accidents and “near accidents” properly recorded and appropriate measures implemented to prevent them in the future?</b></p>   | <ul style="list-style-type: none"> <li>- registrations</li> <li>- discussion with the Managers and workers</li> <li>- evidence of corrective measures</li> </ul>  |            |
| 4.2.8  | <p><b>Forest Managers have defined, spread and implemented an Employment Policy including at least the following:</b></p> <p>a) <b>respect of the reference legislation;</b><br/> b) <b>non interference with the employees’ right to follow principles or practices, or to satisfy needs related to race, status, national origin, religion, invalidity, sex, sexual orientation, trade union or political affiliation;</b><br/> c) <b>no discrimination among the employees (gender, ethnic, religious,...);</b><br/> d) <b>adequate wage (e.g “same job, same wage”, extra pay for overtime) in order to ensure that the paid salary be always sufficient to satisfy primary needs of the workers, including the possibility to provide some discretionary earning;</b><br/> e) <b>adequate and sustainable working time, with suitable shift;</b><br/> f) <b>no children exploitation;</b><br/> g) <b>no use or support to the use of corporal punishment, mental or physical coercion, verbal abuse;</b><br/> h) <b>adequate health care to the workers (e.g in case of illness, invalidity, pregnancy, retirement,...).</b></p> <p><sup>1</sup> such policy may be integrated with 1.5.2<br/> <sup>2</sup> unless, at the moment of employment, it is preferred to employ workers coming from local communities (4.1.1).</p> | <ul style="list-style-type: none"> <li>- discussion with the workers, trade union, concerned parties;</li> <li>- employment contracts appraisal;</li> <li>- working conditions inspection;</li> <li>- discussion with the managers;</li> <li>- For foreign employees: visa, staying and working permit.</li> <li>- Insurance (Civil Liability Ins.) covering possible damages to people and goods.</li> </ul> |            |
| <p><b>Criterion 4.3</b><br/> <b>The rights of workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 89 of the International Labour Organisation (ILO).</b><br/> See 1.1.2</p> |  |   |            |
| <p><b>Criterion 4.4</b><br/> <b>Management planning and operations shall incorporate the results of evaluations of social impact.</b></p>  |  |   |            |

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| 4.4.1  | <p><b>Have Forest Managers drawn up an evaluation of the social impact (in line with size and present criticalities) of the activities they manage which:</b></p> <p>i) identifies the involved social groups;<br/> j) involves the consultation with such groups;<br/> k) identifies the most important social impacts (positive or negative) on such groups;<br/> l) identifies appropriate measures to minimise negative impacts on such groups and to enhance positive effects;<br/> m) foresees periodic monitoring of such groups to evaluate the effectiveness of such measures;</p> <p>The results of such evaluation may be included in the Management Plan (Principle 7).</p> | <p>n) Registrations<br/> o) Consultation with the concerned parties<br/> p) Results and conclusions of the evaluation of the social impact<br/> q) Documentation of social impact minimising measures<br/> r) Documentation of the monitoring of the effectiveness of such measures</p> |            |
| <p>Criterion 4.5<br/> <b>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. Regular communication will generate trust through transparency of actions, facilitate exchange of information and opinions.</b></p> |   |   |            |
| 4.5.1  | <p><b>Are appropriate procedures implemented to record and reply to complaints and requests from local people?</b></p> <p>Regional Guidance: verify if local legislation and magistrature are able to perform properly such task.</p>   | <p>- procedures<br/> - documentation on the past application of the procedures<br/> - consultation with the concerned parties</p>   |            |
| 4.5.2  | <p><b>Do appropriate procedures exist to provide compensation to individuals or local peoples whose their legal or customary rights, property or life have been damaged?</b></p> <p>Regional Guidance: verify if local legislation and magistrature are able to perform properly such task.</p>   | <p>- procedures<br/> - documentation on the past application of the procedures<br/> - consultation with the concerned parties</p>   |            |
| <p>Principle 5 <b>BENEFITS FROM THE FOREST</b><br/> <b>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.</b></p>   |   |   |            |
| <p>Criterion 5.1<br/> <b>Forest management should strive toward economic viability, while taking into account the full environmental, social and operational costs of production and ensuring the investments necessary to maintain the ecological productivity of the forest.</b></p>   |   |   |            |
| 5.1.1  | <p><b>Has the Forest Management Direction drawn up an income statement including expected costs and revenues at least for the present fiscal year?</b></p> <p>Local Guidance: note local legislation for the drawing up of the budget forecast, income statement and financial statement for the enterprise to be assessed.</p>   | <p>- annual budget, income statement and ownership<br/> - budget of previous years</p>  |            |
| 5.1.2  | <p><b>Are budget forecasts in line with the harvest of forest product in that year (5.6) and relative market values?</b></p>  | <p>- annual budget</p>  |            |
| 5.1.3  | <p><b>Does the budget include the payment of taxes (see 1.1.1) or rent and costs associated with social and environmental commitments identified by Principles 4 and 6 and by the activities mentioned in the Management Plan?</b></p>  | <p>- annual budget</p>  |            |
| 5.1.4  | <p><b>Does the income statement include resources different from timber (tourism, non-wood products such as mushroom, honey, ...)?</b></p>  | <p>- annual budget</p>  |            |

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| <b>Criterion 5.2</b><br><b>Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</b>                             |   |  |            |
| 5.2.1  | <b>Do Forest Managers promote on-site wood processing by encouraging the creation of local enterprises or destining part of their products (also non-wood products) to local enterprises or users?</b>  | <ul style="list-style-type: none"> <li>- Information on the clients</li> <li>- discussion with local communities</li> </ul>  |            |
| <b>Criterion 5.3</b><br><b>Forest management should minimise waste associated with harvesting and no-site processing operations and avoid damage to other forest resources.</b>                    |   |  |            |
| 5.3.1  | <b>Is the purchase and maintenance of processing machineries done by taking into account the minimisation of timber waste?</b>  | <ul style="list-style-type: none"> <li>- evaluation of recent purchase of machineries</li> </ul>   |            |
| 5.3.2  | <b>Are appropriate procedures implemented to reduce timber waste during logging operations and not to damage other forest resources (e.g. logs are taken out of the forest and immediately processed , in order to avoid parasites' attacks or wood degradation that may reduce wood quality; are logs not dragged out and are other ways of transport potentially destructive avoided; is attention paid to natural regeneration and other standing plants are protected;...)?</b> | <ul style="list-style-type: none"> <li>- procedures</li> <li>- evaluation in the field of the modalities of working implementation.</li> </ul>   |            |
| <b>Criterion 5.4</b><br><b>Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b>                                      |   |  |            |
| 5.4.1  | <b>Have all forests' products and services that the territory may offer been identified and assessed (including less known plant species, non-wood products, tourism, other)?</b><br><br>Local Guidance: note possible forest' products or other services provided by the forest territory with a value for local economy. Evaluate and assess dimension and importance of the watershed/watersheds within the forest.  | <ul style="list-style-type: none"> <li>- documented research</li> <li>- evaluation in the field</li> <li>- discussion with the Forest Managers</li> <li>- discussion with the concerned parties</li> </ul> |            |
| <b>Criterion 5.5</b><br><b>Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b> |   |  |            |
| 5.5.1  | <b>Are the requirements in the use of water ways down stream the forest itself known and met?</b><br><br>Local Guidance: note any presence of dam and regional/national agreements on water management.   | <ul style="list-style-type: none"> <li>- discussion with the Forest Managers</li> <li>- discussion with the public authorities</li> </ul>  |            |
| 5.5.2  | <b>Is fishery within the forest area known, controlled and respected?</b><br><br>Local Guidance: note eventual legislation related to forest management. (see Criterion 5.6).   | <ul style="list-style-type: none"> <li>- discussion with the Forest Managers</li> </ul>  |            |
| <b>Criterion 5.6</b><br><b>The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</b>  |   |  |            |
| 5.6.1  | <b>Are the silvicultural systems adopted by forest management clearly stated and described in the Management Plan or other related document?</b>  | <ul style="list-style-type: none"> <li>- Management Plan</li> </ul>  |            |

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| 5.6.2   | <p><b>Is the expected level of harvesting on an annual basis and in the long term clearly stated?</b></p> <p>Local Guidance: note eventual law provisions on harvesting frequency, rate and modality of harvesting.</p>  | - Management Plan  |            |
| 5.6.3   | <p><b>The planned level of harvesting during the validity period of the Plan does not exceed the planned increase fro that period, apart from any silvicultural reason or damage due to unforeseen events?</b></p>   | <ul style="list-style-type: none"> <li>- Management Plan</li> <li>- information from the inventory on quantity and distribution</li> <li>- growing and harvesting models</li> </ul>  |            |
| 5.6.4   | <p><b>Is the present state of the forest (growth rate, abundance, age and size distribution, quality of the main species) explicit and in line with the best available data (inventory, research, studies)?</b></p> <p>Regional Guidance: report data on the state of the forest in the region for comparison.</p>                                       | <ul style="list-style-type: none"> <li>- forest inventories, research</li> <li>- guide lines, national or regional legislation,</li> <li>- reported data on the Management Plan</li> <li>- see also 7.1b</li> </ul>                    |            |
| <p><b>Principle 6 ENVIRONMENTAL IMPACT</b><br/> <b>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.</b></p>  |  |  |            |
| <p><b>Criterion 6.1</b><br/> <b>Assessment of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations. Information from descriptions of forest resources, detailed in 7.1b should be used in assessment of impacts. Assessments of impacts should be used in creating environmental safeguards, detailed in 7.1f.</b></p> |  |  |            |
| 6.1.1   | <p><b>Before the beginning of any activity on the territory is a procedure to evaluate the environmental impacts implemented?</b></p> <p>s) <b>Is the procedure appropriate to the scale and intensity of the forest management?</b></p> <p>t) <b>Is it appropriate to the characteristics of the environmental value of the affected resources?</b></p> | <ul style="list-style-type: none"> <li>- procedures</li> <li>- evidence of the applications of the procedures</li> <li>- evidence that the Management Plan take into the right consideration the results of such evaluation</li> </ul> |            |
| 6.1.2   | <p><b>Is there evidence that the impacts' evaluation is taken into account in the planning process and implementation of the related activities?</b></p>   | <ul style="list-style-type: none"> <li>- evaluations results and modalities of activities implementation</li> <li>- evidence that the Management Plan take into the right consideration the results of such evaluation</li> </ul>      |            |
| <p><b>Criterion 6.2a</b><br/> <b>Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas).</b></p>  |  |  |            |
| 6.2a.1  | <p><b>Has the presence of rare, threatened and endangered animal and vegetable species been detected, and have been their habitat identified and mapped (nesting, reproduction and feeding areas)?</b></p> <p>Regional Guidance: report rare, endangered, threatened animal species living in the area.</p>  | <ul style="list-style-type: none"> <li>- Discussions with the concerned parties (ambientalist organizations, biologists, ecc.)</li> <li>- studies and historical data on rare or endangered animal species</li> </ul>                  |            |
| 6.2a.2  | <p><b>Have appropriate measures been implemented in order to safeguard such species and habitat?</b></p>   | <ul style="list-style-type: none"> <li>- Management Plan and related documents (see 7.1g)</li> <li>- procedures</li> </ul>   |            |
| <p><b>Criterion 6.2b</b><br/> <b>Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources.</b><br/> <b>Inappropriate hunting, fishing, trapping and collecting shall be controlled.</b></p>   |  |  |            |

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| 6.2b.1  | <p><b>Have relevant areas in terms of biodiversity been identified and mapped (wet areas, swamps, areas of exceptional interest, ...) in the region?</b></p> <p>Regional Guidance: report regional protected areas and related local legislation.</p>  | <ul style="list-style-type: none"> <li>- consultation with the concerned parties (biologists and Environmental Associations)</li> <li>- maps</li> <li>- field visit</li> </ul> |            |
| 6.2b.2  | <p><b>Have specific and appropriate measures been implemented in the forestry activities in order to protect such areas?</b></p>   |  |            |
| 6.2b.3  | <p><b>Has a suitable area, proportioned to the importance of the forest in terms of surface, typology, environmental and biodiversity values, been devoted to conservation, where the conservation and enhancement of biodiversity represent the major management objective? Is this area mapped? (An area of at least 10% of the forest area and representing different ecosystems may be considered suitable).</b></p>   | <ul style="list-style-type: none"> <li>- consultation with the concerned parties (biologists and Environmental Associations)</li> <li>- maps</li> <li>- field visit</li> </ul> |            |
| 6.2b.4  | <p><b>Is at least half of this area destined to free evolution and fully protected from any human and commercial activity?</b></p>   | <ul style="list-style-type: none"> <li>- maps</li> <li>- field visit</li> </ul>  |            |
| 6.2b.5  | <p><b>Do appropriate biological corridors exist among different safeguarded areas/ecosystems allowing the movement of animals and growth/spread of tree species?</b></p>   | <ul style="list-style-type: none"> <li>- maps</li> <li>- field visit</li> </ul>  |            |
| 6.2b.6  | <p><b>Has a suitable number of trees been identified and safeguarded with such a distribution to ensure biodiversity? for example:</b></p> <ul style="list-style-type: none"> <li>u) trees with exceptional high size, age or shape;</li> <li>v) trees with hollows and nests;</li> <li>w) trees with cultural relevance;</li> <li>x) tree and shrub species with particular showy flowering and/or visible chromatic variation;</li> <li>y) tree/shrub species providing feeding for wild life (fruits, seeds, leaf, ...).</li> </ul> | <ul style="list-style-type: none"> <li>- maps</li> <li>- field visit</li> <li>- consultation with the concerned parties</li> </ul>   |            |
| 6.2b.7  | <p><b>Are appropriate measures implemented for controlling hunting, fishing, trapping of animals and collecting of plants/flowers/fruit and any other activity related to the flora and fauna, including all possible actions to safeguard endangered or rare animal or vegetable species from hunting, trapping and collecting activities?</b></p> <p>Regional Guidance: report legislation regarding control and restrictions on hunting, fishing and collecting. Report protected animal and vegetable species in the area.</p>     | <ul style="list-style-type: none"> <li>- documentation, registration</li> <li>- Management Plan</li> </ul>   |            |
| <p><b>Criterion 6.3</b><br/> <b>Ecological functions and values shall be maintained intact, enhanced or restored, including:</b></p> <ul style="list-style-type: none"> <li>a) Forest regeneration and succession</li> <li>b) Genetic, species and ecosystem diversity</li> <li>c) Natural cycle that affect the productivity of the forest ecosystem.</li> </ul> |  |  |            |
| 6.3.1   | <p><b>Is the implemented silvicultural system appropriate to the ecology of forest and the territory area the forest is located?</b></p>   | <ul style="list-style-type: none"> <li>- discussion with the Forest Managers</li> <li>- discussion with the local foresters and the concerned parties</li> </ul>               |            |

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| 6.3.2   | <p><b>Have systems which use small clearfell areas been considered and use of artificial regeneration limited by preferring and encouraging whenever possible natural regeneration?</b></p> <p>Regional guidance: indicate local legislation related to harvesting modalities and assess traditional harvesting systems.</p>   | <ul style="list-style-type: none"> <li>- discussion with the Forest Managers</li> <li>- discussion with local biologists and the concerned parties to identify traditional local harvesting system</li> </ul> |            |
| 6.3.3   | <p><b>Are forestry operations, according to the implemented silvicultural system, aimed at following the dynamics of the ecosystem by favouring mixed and multilayer forestry formations?</b></p>  | <ul style="list-style-type: none"> <li>- discussion with the Forest Managers</li> <li>- discussion with local foresters and the concerned parties</li> </ul>  |            |
| 6.3.4   | <p><b>Is Biodiversity protected by preserving marginal habitats, as streamside vegetation, swamps, natural pasturelands, mountain vegetation?</b></p>  | <ul style="list-style-type: none"> <li>- field visit</li> <li>- maps</li> </ul>   |            |
| 6.3.5   | <p><b>As regards new plantations have suitable and previously tested clones been used to protect biodiversity?</b></p>   | <ul style="list-style-type: none"> <li>- field visit</li> <li>- registrations</li> </ul>  |            |
| 6.3.6   | <p><b>Have some standing and fallen dead wood habitats been retained according to safety and mobility needs and the reduction of phytopathology risks?</b></p>   | <ul style="list-style-type: none"> <li>- field visit</li> <li>- tree selection and harvesting procedures</li> </ul>   |            |
| 6.3.7   | <p><b>Are anthropic interventions, different from forest management, negatively affecting natural forest evolution, limited and controlled (e.g. recreational and sport infrastructures, pasture lands, ...)?</b></p>  | <ul style="list-style-type: none"> <li>- consultation with the concerned parties</li> <li>- management procedures</li> </ul>  |            |
| <p><b>Criterion 6.4</b><br/> <b>Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</b></p> |  |   |            |
|   | <p>See 6.2b.1-4</p>  |   |            |
| <p><b>Criterion 6.5°</b><br/> <b>Written guidelines shall be prepared and implemented to: control erosion; minimise damage during road construction, and all other mechanical disturbances.</b></p>   |  |   |            |
| 6.5a.1  | <p><b>Is there a map reporting existing, closed or planned roads and tracks?</b></p>   | <ul style="list-style-type: none"> <li>- maps</li> <li>- field visit</li> </ul>   |            |
| 6.5a.2  | <p><b>Are roads built and planned respecting the forest, sensitive areas, water ways and soil erosion?</b><br/> <b>Are the following prerequisites taken into account:</b></p> <ul style="list-style-type: none"> <li>z) a minimum number of roads is planned and implemented;</li> <li>aa) roads are fitted to the topography of the territory minimising environmental and visual impact;</li> <li>bb) roads destined to the temporary use should be constructed so to be naturally absorbed from the forest, once performed their task;</li> <li>cc) roads cannot cross, if possible, protected areas;</li> <li>dd) soil erosion and degradation risks must be minimised by avoiding road construction on steep slopes, fragile soil and by providing appropriate systems for water drainage control and management;</li> <li>ee) roads must be constructed far away from rivers and waterways and narrow valleys;</li> <li>ff) seasonal/regular maintenance of roads is provided.</li> </ul> | <ul style="list-style-type: none"> <li>- maps</li> <li>- field visit</li> </ul>   |            |

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| 6.5a.3  | <b>Are procedures and policies for the design and building of new roads previously communicated to contractors? Do such procedures include also indications on how to dispose of construction waste and digging soil that cannot be unloaded in water ways?</b>  | <ul style="list-style-type: none"> <li>- contracts with contractors</li> <li>- field visit</li> <li>- discussion with the workers</li> </ul> |            |
| <b>Criterion 6.5b<br/>Written guidelines shall be prepared and implemented to: protect water resources and minimise forest damage during harvesting..</b>   |  |  |            |
| 6.5b.1  | <b>Are there written procedures to minimise damage to forest during harvesting operations, such as:</b><br><b>gg) Harvesting machineries (e.g tractors) should reduce to minimum passage into the forest, crossing water ways only where stream crossings are present;</b><br><b>hh) waste from harvesting activities should not be discharged into streams, but left on the site in order to allow the recycle of nutrients;</b><br><b>ii) harvesting should not take place in areas subject to soil erosion, where the forest (trees and roots) play an important role in stabilizing slope and stream sides;</b><br><b>jj) harvesting should minimise damages to residual standing trees and reeneration.</b> | <ul style="list-style-type: none"> <li>- procedures</li> <li>- visit to harvesting area</li> </ul>   |            |
| 6.5b.2  | <b>Harvesting and transport machinery should be selected to minimise damage to soil, residual standing trees and natural regeneration.</b>   | - evaluation of the new purchased machineries  |            |
| 6.5b.3  | <b>Has personnel in charge of harvesting operations been appropriately trained on the above mentioned procedures as well as on safety conditions for themselves and the others (also in case of outsourcing) and provided with appropriate tools?</b>  | <ul style="list-style-type: none"> <li>- interviews to the personnel</li> <li>- training record</li> </ul>                                   |            |
| <b>Criterion 6.6°<br/>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.</b> |  |  |            |
| 6.6a.1  | <b>Does a procedure exist and is it implemented to record the use of synthetic chemical products used in the forest (pesticides, fertilizers, lubricant oils,...)?</b>   | - procedures   |            |
| 6.6a.2  | <b>Do these records include at least:</b><br><b>kk) name of the product and related explanatory file;</b><br><b>ll) location and extent of the treated area;</b><br><b>mm) method of application;</b><br><b>nn) initial and final day of application;</b><br><b>oo) global quantity of product used.</b>   | - Registrations  |            |
| 6.6a.3  | <b>Are chemicals used only when strictly necessary and where no alternative at reasonable cost is available?</b>   |  |            |
| 6.6a.4  | <b>In case chemicals are used, does a procedure exist to record non-chemical alternatives considered and rejected and the reasons of the choice?</b>   | <ul style="list-style-type: none"> <li>- documented procedure</li> <li>- registrations</li> </ul>  |            |
| 6.6a.5  | <b>Are chemicals used only in minimum quantities following appropriate methodologies suggested by the producer?</b>  | - informative cards provided by the producer   |            |
| 6.6a.6  | <b>Is storage of chemicals (including fuel) carried out minimising risks of spills and leaks?</b>  | - inspection of chemicals storing areas  |            |

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| Criterion 6.6b<br><b>World health Organisation Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited.</b>  |  |   |            |
| 6.6b.1   | <b>Are such chemicals stored in the certification area?</b>  | - storing areas<br>- discussions with the Forest Managers and warehousemen  |            |
| Criterion 6.6c<br><b>If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</b>  |  |   |            |
| 6.6c.1   | <b>Are chemicals applied (see 6.6a.2.d) under not suitable weather conditions (e.g. during rainy season, with frozen snow, during droughts)?</b>                                       | - registration  |            |
| 6.6c.2   | <b>Is the person in charge for the application of such products properly trained and provided with appropriate PPE?</b>  | - interviews with personnel<br>- documents qualifying the personnel   |            |
| Criterion 6.7<br><b>Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</b>   |  |   |            |
| 6.7.1  | <b>Are lubricants only replaced in ad hoc areas (possibly not into the forest) and not discharged in the environment?<br/>           Are means of transport periodically serviced?</b> | - inspection to ad hoc areas and means<br>- planning and registration of service card/record                                  |            |
| 6.7.2  | <b>Have areas and means for a suitable waste collection and disposal been detected?</b>  | - area inspection and methods of waste collection and discharge<br>- no evidence of unauthorized waste discharge              |            |
| Criterion 6.8<br><b>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 organism shall be prohibited.</b>   |  |   |            |
| 6.8.1  | <b>Is there a procedure to control, minimise and record any use of biological control agents?</b>  | - procedures<br>- registrations<br>- monitoring procedures/policies of pests and disease                                      |            |
| 6.8.2  | <b>Is there evidence of GMO use?</b>   | - no evidence of any use of GMO   |            |
| Criterion 6.9<br><b>The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</b>  |  |   |            |
| 6.9.1  | <b>Is the use of exotic species recorded and justified?</b><br><br>Regional Guidance: indicate which are the possible exotic species in the area.                                      | - registration documents<br>- interviews with local biologists for the identification of acceptable/suitable "exotic species" |            |
| 6.9.2  | <b>Is the environmental impact of the exotic species introduction assessed?</b>  | - research, monitoring of dynamics  |            |
| Criterion 6.9<br><b>Forest conversion to plantations or non-forest land use shall not occur, except in circumstances where conversion:</b><br>a) entails a very limited portion of the forest management unit and<br>b) does not occur on high conservation value forest areas;<br>c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit. |  |   |            |

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| 6.9.1  | <b>Forest conversion to plantation or non-forest land uses does not occur, unless conversion:</b><br><b>pp) entails a very limited portion of the forest management unit;</b><br><b>qq) does not involve areas belonging to high conservation value forest area;</b><br><b>rr) brings clear, major additional, sure, long term benefits from the naturalistic view point to the whole of the forest management unit.</b> | <ul style="list-style-type: none"> <li>- no evidence of any conversion or conversion plans</li> <li>- evaluation of the proportion <u>converted area/total forest surface</u> (taking into account the features of the forest area)</li> <li>- Studies, research and ad hoc evaluation in case of forest conversion.</li> </ul> |            |
| <b>Principle 7 MANAGEMENT PLAN</b><br><b>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.</b> |  |   |            |
| <b>Criterion 7.1°</b><br><b>The Management Plan and supporting documents shall provide management objectives.</b>  |  |   |            |
| 7.1a.1   | <b>Are forest management's objectives clearly stated in line with the present situation of forest areas and the available resources?</b>   | <ul style="list-style-type: none"> <li>- Management Plan</li> <li>- Presence of financial tools supporting forest planning and management</li> </ul>  |            |
| 7.1a.2   | <b>Has a long term management plan been drawn up for the forest?</b>   | <ul style="list-style-type: none"> <li>- Evidence that the Forest Planning cover a longer period than the average harvesting rotation.</li> <li>- No evidence of any activity or plan against a long term forest management.</li> </ul>   |            |
| <b>Criterion 7.1b</b><br><b>The Management Plan and supporting documents shall provide a description of the forest resources to be managed and environmental limitations.</b>  |  |   |            |
| 7.1b.1   | <b>Have the borders of the areas under management clearly been defined, in line with the legal property of the forest, as identified in principle 2.1?</b>   | <ul style="list-style-type: none"> <li>- documents, maps</li> </ul>   |            |
| 7.1b.2   | <b>Is there a description of the characteristics of the areas under management in line with the scale and intensity of the planned management interventions? (e.g. geographic location and topography, land morphology, water resources, rainfalls, geology, pedology, infrastructures and road systems, specific composition of forest areas and their management system, ...)</b>                                      | <ul style="list-style-type: none"> <li>- documents, maps</li> </ul>   |            |
| 7.1b.3   | <b>Is there a thematic map (forest destination map) where major destinations for each forest unit is clearly assigned? (e.g. forest with a protective, productive or recreational destination, areas with an historical, social, cultural or landscape destination, ...)</b>   | <ul style="list-style-type: none"> <li>- documents, maps</li> </ul>   |            |
| 7.1b.4   | <b>Is there a description of areas under special management (e.g. protected biotopes, integral reserves, seed forests, wildlife areas, parks, wildlife corridors, marginal areas close to biotopes to be protected,...) based on the features of the different areas described previously?</b><br><br>Note any management' constraint restrictions for some areas, due to local regulations.                             | <ul style="list-style-type: none"> <li>- documents, maps</li> </ul>   |            |
| 7.1b.5   | <b>Are areas previously under harvesting clearly mapped, including unplanned or extraordinary uses?</b>  | <ul style="list-style-type: none"> <li>- documents, maps</li> </ul>   |            |
| 7.1b.6   | <b>Does a forest inventory exist with a timber resources' survey, adequately detailed and rigorous to justify the planned harvesting for the full rotation and ensure that yields are permanently sustainable/renewable in successive rotation?</b>  | <ul style="list-style-type: none"> <li>- forest inventory</li> <li>- see also 5.6</li> </ul>  |            |

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| <b>Criterion 7.1c</b><br><b>The management Plan and supporting documents shall provide a description of land use and ownership status, socio-economic conditions and a profile of adjacent lands.</b>  |   |  |            |
| 7.1c.1   | <b>Is there a description of land use and ownership status, including a brief summary of previous use and ownership status?</b>   | <ul style="list-style-type: none"> <li>- Land use map (Managed forest surface, forest/pasture/grassland/unproductive land/etc.)</li> <li>- see also 2.2, 3.1, 3.3, 3.4</li> </ul>  |            |
| <b>Criterion 7.1d</b><br><b>The Management Plan and the supporting documents shall provide the description of the applied silvicultural system or other management systems, based on the ecological characteristics of the forest and on the information get from the forest inventory, as well as rationale for rate of annual harvest and species selection.</b> |   |  |            |
| 7.1d.1   | <b>Are the adopted silvicultural model and management system clearly stated and justified according to forest ecology and optimisation of the products and services provided by the forest, thus ensuring sustainability to the whole system?</b>   | <ul style="list-style-type: none"> <li>- Management Plan,</li> <li>- Harvesting Plan</li> <li>- documented M&amp;E system</li> <li>- discussion with the Forest Manager</li> </ul> |            |
| 7.1d.2   | <b>Are procedures related to the implementation of the adopted silvicultural models clearly stated?</b><br><b>(e.g. methodologies for identification and marking of trees or areas destined to harvesting, seed production, biodiversity conservation; methodologies to ensure natural regeneration, ...)</b>   | <ul style="list-style-type: none"> <li>- procedures</li> <li>- field visit</li> <li>- see also 5.6</li> </ul>  |            |
| <b>Criterion 7.1e</b><br><b>The Management Plan and supporting documents shall provide provisions for monitoring of forest growth and dynamics.</b>  |   |  |            |
| 7.1e.1   | <b>Are procedures for the monitoring of the forest natural regeneration documented and implemented?</b>   | <ul style="list-style-type: none"> <li>- procedures</li> </ul>   |            |
| <b>Criterion 7.1f</b><br><b>The Management Plan and supporting documents shall provide: plans for the identification and protection of rare, threatened and endangered species.</b>  |   |  |            |
| 7.1f.1   | <b>Has the need for prevention and control system of catastrophic events been assessed? (e.g. forest fires or floods)</b>   | <ul style="list-style-type: none"> <li>- discussion with the Managers</li> <li>- documentation</li> <li>- data on fires and flood; catastrophic events in the area</li> </ul>      |            |
| 7.1f.2   | <b>In areas subject to fire or where fire acts as an ecologic factor has a fire management system been developed? (such plan could rely on: collaboration with the fire brigade or local authorities; fire detection systems; alarm and contingency plans; reduction in known or likely primer sources; cooperation methods with local or nearby communities; system to safeguard infrastructures, people, archeological/historical sites; set up of fire squads, intervention plans for fire squads; implementation of fire-barriers, reduction of inflammables; system to discourage arson, ...).</b><br><br>Identification of local practices of arson and effective methods to discourage or fight against it.. | ss) fire prevention and management plan<br>tt) discussion with local authorities in charge of prevention/fight/management of forest fires  |            |
| 7.1f.3   | <b>Has a prevention/management plan been drawn up in areas subject to insect invasions or damage from phytopatologies?</b>  | <ul style="list-style-type: none"> <li>- documentation</li> <li>- registration of historical events</li> </ul>   |            |
| <b>Criterion 7.1g</b><br><b>The Management Plan and supporting documents shall provide: maps describing the forest resource base including protected areas, planned management activities and land ownership.</b>  |   |  |            |
| 7.1g.1   | <b>Are there clear and accessible maps reporting management and infrastructural activities in the short and medium term?</b>  | uu) Maps<br>vv) see also 2.2.1, 3.3.1, 1.7b  |            |

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| <b>Criterion 7.2</b><br><b>The Management Plan shall periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</b>   |   |  |            |
| 7.2.1   | <b>Is there a planned system for the regular review and updating of the Management Plan, including all data from monitoring or external surveys on the area under management or similar areas?</b>  | <ul style="list-style-type: none"> <li>- Procedures</li> <li>- discussion with the Managers</li> </ul>   |            |
| 7.2.2   | <b>Is an extraordinary review of the Management Plan envisaged in case of major changes in the forest area?</b>   | <ul style="list-style-type: none"> <li>- Procedures</li> <li>- discussion with the Managers</li> </ul>   |            |
| <b>Criterion 7.3</b><br><b>Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</b>   |   |  |            |
| 7.3.1   | <b>Are there detailed job description where roles and responsibilities of forestry workers are clearly defined?</b>   | <ul style="list-style-type: none"> <li>- job description, roles and responsibilities, documentation,</li> <li>- consultation with employees</li> </ul>   |            |
| 7.3.2   | <b>Are workers and the contracting forest enterprises aware of the contents of the Forest Management Plan as regards their job?</b>   | <ul style="list-style-type: none"> <li>- training record and and/or assignment of the procedures of competence,</li> <li>- discussion with employees and forest enterprises</li> </ul>   |            |
| 7.3.3   | <b>Have forestry workers received appropriate training according to their roles and/or responsibilities?</b>  | <ul style="list-style-type: none"> <li>- training procedures,</li> <li>- curriculum, training record.</li> <li>- consultation with employees</li> </ul>  |            |
| 7.3.4   | <b>Do Forest Managers provide detailed information to the contracting forest enterprises as regards specific intervention directives on the environment where they operate and on the preventive or emergency measures to be adopted according to their activities?</b> | <ul style="list-style-type: none"> <li>- Documents (machineries' information card, law provisions, etc.), discussion with the Manager and the forest enterprises, visit to the forest yard.</li> <li>- safety plan</li> <li>- Monitoring and evaluation of the procedures about safe working conditions</li> </ul> |            |
| 7.3.5   | <b>Does a monitoring system exist, implemented by Forest Managers, of the respect on the part of forestry workers and forest enterprises of all procedures, safety requirement and contents of the management plan ?</b>  | <ul style="list-style-type: none"> <li>- control/monitoring procedures</li> <li>- registration of interventions in the case of non respect of the procedures</li> <li>- discussion with the forest workers and Managers</li> </ul>   |            |
| 7.3.6   | <b>Have Forest Managers implemented a monitoring system of any third party enterprise working on behalf the forest enterprise?<br/>Does such monitoring include employees salary (see 4.2.5) and procedures concerning the enterprise?</b>                              | <ul style="list-style-type: none"> <li>- Control/monitoring procedures</li> <li>- control/monitoring registrations</li> </ul>  |            |
| <b>Criterion 7.4</b><br><b>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.</b>  |   |  |            |
| 7.4.1   | <b>Is a summary of the Management Plan available for the involved parties, upon justified request (in the respect of the privacy rules and requirements)?</b>   | <ul style="list-style-type: none"> <li>- availability of information</li> <li>- see also 9.3.2</li> </ul>  |            |
| <b>Principle 8 MONITORING AND ASSESSMENT</b><br><b>MONITORING SHALL BE CONDUSTED, 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.</b>  |   |  |            |
| <b>Criterion 8.1</b><br><b>The frequency and intensity of monitoring should be determined by the scale and intensity of ofrest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</b> |   |  |            |
| 8.1.1   | <b>Is an effective system for the monitoring of environmental impact of forestry operations planned and implemented?</b>  | <ul style="list-style-type: none"> <li>- Such procedures may be reported on the Management Plan or on the attached documents</li> </ul>  |            |

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| 8.1.2   | <b>Are the frequency and the object of monitoring determined and justified based on the scale and intensity of forest management operations as well as the complexity and weakness of the involved environment?</b>  | - Monitoring procedures<br>- Monitoring results  |            |
| 8.1.3   | <b>Are monitoring procedures consistent and replicable over time to allow comparison results and assessment of changes under way?</b>  | - Monitoring procedures<br>- Monitoring results  |            |
| <b>Criterion 8.2°</b><br>Forest management should include the research and data collection needed to monitor: <b>yeld of all forest products harvested.</b>                               |  |  |            |
| 8.2a.1  | <b>Are quantities, origin and features of harvested forest products recorded?</b>  | - records of wood production   |            |
| <b>Criterion 8.2b</b><br>Forest management should include the research and data collection needed to monitor: <b>growth rates, regeneration and condition fo the forest.</b>              |  |  |            |
| 8.2b.1  | <b>If reliable information on growth rates and regeneration of some species is not available, is there an appropriate programme to gather detailed information for future planning?</b>  | - reliable data on growth rate and regeneration<br>- planning and methodology of collecting information  |            |
| 8.2b.2  | <b>Are forest conditions regularly monitored? (e.g. presence of pests and diseases, features of the forest, spreading of exotic species, soil erosion and compaction, versant/slopes stability, frequency and seriousness of fires, biodiversity indicators, other dendrometric and silvicultural characteristics ...)</b> | - Monitoring procedures<br>- collected data<br>- consistency of the choice of the parameters to be monitored according to the size and intensity of the interventions of forest management as well as the complexity and weakness of the considered environment (see 8.1.2)                    |            |
| <b>Criterion 8.2c</b><br>Forest management should include the research and data collection needed to monitor: <b>the composition and observed changes in the flora and fauna.</b>         |  |  |            |
| 8.2c.1  | <b>Are sensitive areas and habitats (identified at 6.2) monitored to ensure the safeguard requirements are respected?</b>  | Monitoring procedures and data   |            |
| 8.2c.2  | <b>Are the effects of forestry operations on size and characteristics of animal and plant species present in the area monitored (as refers to quantity, distribution, behaviour, mortality rate, ...)?</b>   | Monitoring procedures and data<br>Consistency, in the choice of the parameters to be monitored, of the scale and intensity of the interventions of forest management and of characteristics of the monitored flora and fauna (rarity, endangering risk, indicative species, etc.). (see 8.1.2) |            |
| <b>Criterion 8.2d</b><br>Forest management should include the research and data collection needed to monitor: <b>environmental and social impacts of harvesting and other operations.</b> |  |  |            |
| 8.2d.1  | <b>Are regular meetings held with local communities representatives where any issue regarding the impacts (social, environmental or economic) are recorded and managed?</b>  | Registrations of the meetings with local people<br>See also 4.4.1  |            |
| 8.2d.2  | <b>Is there a monitoring system for any impact on local communities of forest activities (e.g. water quality, presence of wildlife, new roads, ...)?</b>   | Discussion with local people<br>Monitoring procedures, collected data  |            |
| 8.2d.3  | <b>Is the impact of forest operation monitored on cultural-recreational forest's functions, if any?</b>  | Monitoring procedures, collected data  |            |
| <b>Criterion 8.2e</b><br>Forest management should include the research and data collection needed to monitor: <b>costs, productivity and efficiency of forest management.</b>             |  |  |            |
| 8.2e.1  | <b>Has the possible use of for the assessment of the productivity and effectiveness of the forest management been considered?</b>  | - Income statement and budget (see 5.1)<br>- possible use of management index  |            |

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| <b>Criterion 8.3</b><br>Documentation shall be provided by the Forest Manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the “chain of custody”.  |  |  |            |
| 8.3.1   | <b>Is the forest of origin of certified forest products clearly identified? (This may be achieved through physical marking of any timber, physical or temporal separation of activities concerning certified timber, system of paper control or a combination of all these).</b>   | - documented procedures<br>- Registration appraisal in the field |            |
| 8.3.2   | <b>Invoices issued for certified timber sales include at least:</b><br>ww) the client<br>xx) the origin of certified timber and the moment when the buyer acquires control of the certified timber<br>yy) the date of sale<br>zz) the quantity<br>aaa) the specifications (species, dimensions, quality)<br>bbb) the registration code of the certificate (when possible). | - registrations  |            |
| 8.3.2   | <b>Are there records of the sales of certified products including at least the above mentioned data (8.3.2.)?</b>  | - registrations  |            |
| <b>Criterion 8.4</b><br>The results of monitoring shall be incorporated into the implementation and revision of the management plan.  |  |  |            |
| 8.4.1   | <b>Is there evidence that information gathered during the monitoring process are taken into account during Management Plan review?</b>   | Documented procedures<br>Management Plan                         |            |
| <b>Criterion 8.5</b><br>While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.  |  |  |            |
| 8.5.1   | <b>Is a summary of monitoring activities available for the involved parties upon justified request (in the respect of the privacy rules and requirements)?</b>   | - information availability                                       |            |
| <b>Principle 9 – MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS</b><br><b>MANAGEMENT ACTIVITIES IN HIGH CONSERVATION VALUE FORESTS SHALL MAINTAIN OR ENHANCE THE ATTRIBUTES THAT DEFINE SUCH FORESTS. DECISIONS REGARDING HIGH CONSERVATION VALUE FORESTS SHALL ALWAYS BE CONSIDERED IN THE CONTEXT OF PRECAUTIONARY APPROACH.</b><br><br>High conservation value forests are those that possess one or more of the following attributes:<br>a) forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia) and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance;<br>b) forest areas that are in or contain rare threatened or endangered ecosystems;<br>c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)<br>d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities). |  |  |            |
| <b>Criterion 9.1</b><br>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. di identificare le foreste di grande valore ambientale?  |  |  |            |
| 9.1.1   | <b>Has the presence of high conservation value forests been properly assessed and mapped?</b><br><br>Regional Guidance: note in the area any forest might be considered of high conservation value, according to the above mentioned definition.   | Evaluation results   |            |

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| 9.1.2   | <b>Have the features that attribute to the forest the definition of “high conservation value” been properly detected?</b>   | Evaluation results<br>Field visit  |            |
| <b>Criterion 9.2</b><br><b>The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b>  |   |  |            |
| <b>Criterion 9.3</b><br><b>The Management Plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b>  |   |  |            |
| 9.3.1   | <b>Are specific protection measures detailed and implemented for areas identified as “high conservation value” (see 9.1.2)?</b>   | Documented and justified management strategies<br>Evidence of the implementation           |            |
| 9.3.2   | <b>Are such protection measures included in the summary of the Management Plan and available to the public?</b>   | Evidence of the summary of the Management Plan, available to the public.<br>See also 7.4.1 |            |
| <b>Criterion 9.4</b><br><b>Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b>   |   |  |            |
| 9.4.1   | <b>Is a monitoring programme implemented (with variable frequency depending on environmental vulnerability and features), based on suitable indicators to evaluate those specific elements attributing to the forest the “high conservation value” (see 9.1.2)?</b> | Monitoring Plan<br>Gathered data   |            |
| <b>Principle 10 - PLANTATIONS</b><br><b>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 WORLDS’ NEEDS FOR FOREST PRODUCTS, THEY SHOULD COMPLEMENT THE AMANGEMENT OF REDUCE PRESSURES ON AND PROMOTE THE RESTORATION AND CONSERVATION OF NATURAL FORESTS.</b> |   |  |            |
| <b>Criterion 10.1</b><br><b>The management objectives of the plantation, including natural forest conservation and restoration objectives shall be explicitly stated in the magement plan and clearly demonstrated in the implementation of the plan.</b>   |   |  |            |
| 10.1.1  | <b>Are conservation and restoration of natural forests clearly included within the objectives of the management of the plantation?</b>  | Management Plan of the plantation and related documents                                    |            |
| 10.1.2  | <b>Is a programme including specific goals, responsibilities, resources and strategies to achieve such objectives implemented through the Management Plan or other related document?</b>  | Management Programme or other similar document<br>Field visit                              |            |
| <b>Criterion 10.2°</b><br><b>the design and layout fo plantations should promote the protection, restoration and conservation of natural forests and not increase pressures on natural forests.</b>   |   |  |            |
| 10.2a.1   | <b>Is the management of plantations that are in areas previously occupied by natural forest, designed in such a way to safeguard and enhance remaining characteristics of the earlier natural forest?</b>   | ccc) Management Plan   |            |
| <b>Criterion 10.2b</b><br><b>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 the layout of plantation blocks shall be consistent with patterns of forest stands found within the natural landscape.</b>   |   |  |            |

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| 10.2b.1   | <p><b>Are there documented procedures ensuring that:</b></p> <p><b>ddd) where there are corridors of natural vegetation by streamsides or in gullies these are protected from planting and harvesting operations, and developed into “streamsides reserved areas”;</b></p> <p><b>eee) adjoining periodically flooded areas are incorporated into the “streamsides reserved areas”;</b></p> <p><b>fff) corridors for wildlife are preserved from harvesting and planting operations, or are they planned/designed in the case they do not exist?</b></p> | <p>- documented procedures</p> <p>-site inspection</p>  |            |
| 10.2b.2   | <p><b>Are high conservation value landscape and environment preserved, if any of them present in the plantation area? (monumental trees, springs, small wet areas, dry-stone walls, votive chapels, ...)</b></p>  | <p>- Site inspection</p> <p>- consultation with the Forest Managers and the concerned parties</p>   |            |
| 10.2b.3   | <p><b>Is there a management plan ensuring within the plantation scheme a mosaic of different age plantation units, with different rotation consistent with the conditions of the forest areas that are not disturbed?</b></p>   | <p>- Management Plan</p> <p>- site inspection</p>   |            |
| <p><b>Criterion 10.3</b><br/> <b>Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</b></p>  |   |   |            |
| 10.3.1  | <p><b>Have Forest Managers considered the possibility to introduce in the plantations local tree species that are rare or species that interest local communities?</b></p>  | <p>- evidence of the importance given to the use of important or rare species for local communities.</p>  |            |
| 10.3.2  | <p><b>Is no more than 75% of the managed plantation taken up by a single tree species, unless this is consistent with the natural distribution pattern for the species in the concerned area?</b></p> <p>Regional Guidance: indicate the distribution of the planted species, naturally present in the area.</p>  | <p>- Management Plan</p>  |            |
| <p><b>Criterion 10.4</b><br/> <b>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</b></p> |   |   |            |
| 10.4.1  | <p><b>Is there a clear justification of species and genotypes choice selected for the plantation that takes into account the objectives of the plantation, the climate, the geology and typology of the sites?</b></p>  | <p>Justification of choices done (documents, discussion with the Forest Managers, discussions with biologists and local Environmental Associations)</p> |            |
| 10.4.2  | <p><b>When an exotic species is used, have the best alternative native species been identified and reasons of this choice explicitly justified?</b></p>   | <p>Justification of choices done (documents, discussion with the Forest Managers, discussions with biologists and local Environmental Associations)</p> |            |
| 10.4.3  | <p><b>When exotic species are used, have appropriate studies previously been carried out to avoid that:</b></p> <p><b>ggg) the selected species become invasive in the area;</b></p> <p><b>hhh) the selected species may introduce phytopathology in the area.</b></p>  | <p>Studies</p>  |            |
| 10.4.4  | <p><b>Is a protocol of intervention available for the eradication of the exotic species in the case of invasion in natural environment?</b></p>   | <p>Intervention Plan</p>  |            |
| <p><b>Criterion 10.5</b><br/> <b>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.</b></p>  |   |   |            |

| N°   | Requirements and Regional Guide   | Verifiers  | Evaluation |
|--|---|--|------------|
| 10.5.1   | <b>In line with criterion 6.2b, is at least the 10% of the plantation area managed to have as a major objective the conservation and enhancement of biodiversity and natural characteristics.</b>                 | Maps<br>Site evaluation<br>Management Plan or other similar document   |            |
| 10.5.2   | <b>In line with criterion 6.2b, is at least the 5% of the plantation area managed to restore in the area a portion of natural forest?</b>   | Maps<br>Site evaluation<br>Management Plan or other similar document   |            |
| 10.5.3   | <b>Are such areas principally destined to become forestry vegetation belts, such as wind breaks (microclimate mitigation) and/or tampon belt for control of the running off of soil nutrients to water ways?</b>  | Maps<br>Site evaluation<br>Management Plan or other similar document   |            |
| <b>Criterion 10.6</b><br>Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road atrail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substuntial deviation from stream course drainage patterns.  |   |  |            |
| 10.6.1   | <b>Is the irrigation system implemented through appropriate techniques that maximise the saving of water resources and minimise risk of soil erosion as well as changes in the natural water drainage system?</b> | Management Plan<br>Site inspection<br>Discussion with the Managers   |            |
| 10.6.2   | <b>Are procedures for the reforestation after harvesting designed to ensure as soon as possible a new forest tree cover to protect bare soil?</b>   | Procedures<br>Site inspection  |            |
| <b>See 6.5</b>   |   |  |            |
| <b>Criterion 10.7</b><br>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 fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.  |   |  |            |
| 10.7.1   | <b>Is the use of fertilizers and chemicals minimised ?</b>  | Management Plan<br>Site inspection<br>Discussion with the Managers   |            |
| 10.7.2   | <b>Is the natural grass cover of forest tracks and the constitution of a natural shrubs layer under plantation encouraged, according to productive and management needs?</b>                                      | Management Plan<br>Site inspection   |            |
| 10.7.3   | <b>Has an integrated pest management strategy been designed?</b>  | Planning and management documents<br><u>see</u> 6.6 for further norms concerning the use of chemicals  |            |
| 10.7.4   | <b>Has the need of having an Emergency Plan against Fires been appraised (see7.1)?</b>  | Documents<br>Emergency Plan<br>MEETING AND DISCUSSION WITH THE CONCERNED PARTIES TO EVALUATE THE FRE-<br>QUENCE AND SERIOUSNESS OF FIRES IN THE AREA |            |
| <b>Criterion 10.8</b><br>Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site are not invasive and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access. |   |  |            |

| N°   | Requirements and Regional Guide   | Verifiers   | Evaluation |
|--|---|---|------------|
| 10.8.1   | <b>Are large scale plantations of species that have not been shown to be suitable for the area on the basis of studies or previous experiences carried out in the same area, absent?</b>  | Monitoring documents, studies carried out by experts<br>Management Plan   |            |
| 10.8.2   | <b>Plantations have not been established in areas with sensitive or rare ecosystems, in totally protected areas, in areas where a plantation may have negative impacts on water resources or on the welfare of local communities.</b>                                 | MANAGEMENT PLAN<br>Meeting and discussion with local biologists   |            |
| 10.8.3   | <b>For any new plantation placed where indigenous people live, is an evaluation previously carried out on social impacts that such activity may generate?</b>   | Social impact evaluation  |            |
| <b>Criterion 10.9</b><br><b>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.</b> |   |   |            |
| 10.9.1   | <b>The conversion of natural forest areas (also if crossed by fire) into plantation is forbidden.</b>   | iii) no evidence of recent conversion from natural forest to plantation<br>jjj) no evidence of such activities planning |            |
| 10.9.2   | <b>Are there evidences that plantation is not established on land converted from natural forest after November 1<sup>st</sup> 1994, unless there is clear evidence that the current owner/manager were not directly or indirectly responsible for the conversion.</b> | kkk) Evidence of the previous land use<br>lll) Starting date of the plantation  |            |

## Appendix 1

**CITES APPENDIX I** The trade in the following timber species is restricted by the Convention on International Trade in Endangered Species (CITES):

Wild specimens of these species are effectively banned from trade.

*Abies guatemalensis* Guatemalan fir

*Araucaria araucana* Monkey puzzle tree/Parana pine (Chilean populations)

*Dalbergia nigra* Brazilian rosewood/Rio rosewood

*Fitzroya cupressoides* Alerce/Chilean false larch

*Pilgerodendron uviferum*

*Podocarpus parlatorei* Parlatore's podocarp

**CITES APPENDIX II** Trade in these species is monitored.

*Araucaria araucana* Monkey puzzle tree/Parana pine (Non-Chilean populations)

*Caryocar costaricense*

*Guaiacum officinale* Lignum vitae/Tree of life

*Guaiacum sanctum* Lignum vitae/Tree of life

*Oreomunnea pterocarpa*

*Pericopsis elata* Afrormosia (Logs, sawn timber and veneers only)

*Platymiscium pleiostachyum* Quira macawood

*Swietenia humilis* Central American mahogany/Mexican mahogany/Honduras mahogany

*Swietenia mahagoni* Cuban mahogany/Caribbean mahogany (Logs, sawn timber and veneers only)

The inclusion of the following species in Appendix II is supported by various parties; all are known to be in international trade and to be suffering or having already suffered substantial decline:

*Berchemia zeyheri* Pink ivorywood

*Chamaecyparis lawsoniana* Port Orford cedar

*Dalbergia cearensis* Kingwood

*Dalbergia frutescens* Tulipwood

*Dalbergia latifolia* Indian rosewood, Sonokeling

*Dalbergia melanoxylon* African blackwood

*Diospyros celebica* Macassar ebony

*Diospyros crassiflora* African ebony

*Diospyros ebenum* Sri Lankan ebony

*Diospyros muni* Thai ebony

*Diospyros philippinensis* Philippine ebony

*Entandrophragma* (all 11 spp.) Utile, Sapele, African mahogany

*Gonystylus bancanus* Ramin

*Khaya* (all 7 spp.) African mahogany

*Swietenia macrophylla* Big-leaf mahogany

## Appendix 2. ILO Conventions

### ILO Convention No. 87

Convention concerning Freedom of Association and Protection of the Right to Organise

C. 87 Freedom of Association and Protection of the Right to Organise, 1948

#### PREAMBLE

The General Conference of the International Labour Organisation,

Having been convened at San Francisco by the Governing Body of the International Labour Office, and having met in its Thirty-first Session on 17 June 1948;

Having decided to adopt, in the form of a Convention, certain proposals concerning freedom of association and protection of the right to organise, which is the seventh item on the agenda of the session;

Considering that the preamble to the Constitution of the International Labour Organisation declares "recognition of the principle of freedom of association" to be a means of improving conditions of labour and of establishing peace;

Considering that the Declaration of Philadelphia reaffirms that "freedom of expression and of association are essential to sustained progress";

Considering that the International Labour Conference, at its Thirtieth Session, unanimously adopted the principles which should form the basis for international regulation;  
Considering that the General Assembly of the United Nations, at its Second Session, endorsed these principles and requested the International Labour Organisation to continue every effort in order that it may be possible to adopt one or several international Conventions;  
adopts this ninth day of July of the year one thousand nine hundred and forty-eight the following Convention, which may be cited as the Freedom of Association and Protection of the Right to Organise Convention, 1948:

## Part I. Freedom of Association

### Article 1

Each Member of the International Labour Organisation for which this Convention is in force undertakes to give effect to the following provisions.

### Article 2

Workers and employers, without distinction whatsoever, shall have the right to establish and, subject only to the rules of the organisation concerned, to join organisations of their own choosing without previous authorisation.

### Article 3

1. Workers' and employers' organisations shall have the right to draw up their constitutions and rules, to elect their representatives in full freedom, to organise their administration and activities and to formulate their programmes.
2. The public authorities shall refrain from any interference which would restrict this right or impede the lawful exercise thereof.

### Article 4

Workers' and employers' organisations shall not be liable to be dissolved or suspended by administrative authority.

### Article 5

Workers' and employers' organisations shall have the right to establish and join federations and confederations and any such organisation, federation or confederation shall have the right to affiliate with international organisations of workers and employers.

### Article 6

The provisions of Articles 2, 3 and 4 hereof apply to federations and confederations of workers' and employers' organisations.

### Article 7

The acquisition of legal personality by workers' and employers' organisation, federations and confederations shall not be made subject to conditions of such a character as to restrict the application of the provisions of Articles 2, 3 and 4 hereof.

### Article 8

1. In exercising the rights provided for in this Convention workers and employers and their respective organisations, like other persons or organised collectives, shall respect the law of the land.
2. The law of the land shall not be such as to impair, nor shall it be so applied as to impair, the guarantees provided for in this Convention.

### Article 9

1. The extent to which the guarantees provided for in this Convention shall apply to the armed forces and the police shall be determined by national laws or regulations.

2. In accordance with the principle set forth in paragraph 8 of article 19 of the Constitution of the International Labour Organisation the ratification of this Convention by any Member shall not be deemed to affect any existing law, award, custom or agreement in virtue of which members of the armed forces or the police enjoy any right guaranteed by this Convention.

#### Article 10

In this Convention the term "organisation" means any organisation of workers or of employers for furthering and defending the interests of workers or of employers.

#### Part II. Protection of the Right to Organise

#### Article 11

Each member of the International Labour Organisation for which this Convention is in force undertakes to take all necessary and appropriate measures to ensure that workers and employers may exercise freely their right to organise.

Articles 14-21: Declarations of application to non-metropolitan territories

Articles 14-21: Standard final provisions

Date of coming into force: 4 July 1950

### **ILO Convention No. 98**

Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively

C. 98 Right to Organise and Collective Bargaining, 1949

#### PREAMBLE

The General Conference of the International Labour Organisation, Having been convened at Geneva by the Governing Body of the International Labour Office, and having met in its Thirty-second Session on 8 June 1949, and Having decided upon the adoption of certain proposals concerning the application of principles of the right to organise and to bargain collectively, which is the fourth item on the agenda of the session, and Having determined that these proposals shall take the form of an international Convention, adopts this first day of July of the year one thousand nine hundred and forty-nine the following Convention, which may be cited as the Right to Organise and Collective Bargaining Convention, 1949:

#### Article 1

1. Workers shall enjoy adequate protection against acts of anti-union discrimination in respect of their employment.
2. Such protection shall apply more particularly in respect of acts calculated to-
  - (a) to make the employment of a worker subject to the condition that he shall not join a union or shall relinquish trade union membership;
  - (b) cause the dismissal of or otherwise prejudice a worker by reason of union membership or because of participation in union activities outside working hours or, with the consent of the employer, within working hours.

#### Article 2

1. Workers' and employers' organisations shall enjoy adequate protection against any acts of interference by each other or each other's agents or members in their establishment, functioning or administration.
2. In particular, acts which are designed to promote the establishment of workers' organisations under the domination of employers or employers' organisations, or to support workers' organisations by financial or other means, with the object of placing such organisation under the control of employers or employers' organisations, shall be deemed to constitute acts of interference within the meaning of this Article.

#### Article 3

Machinery appropriate to national conditions shall be established, where necessary, for the purpose of ensuring respect for the right to organise as defined in the preceding Articles.

#### Article 4

Measures appropriate to national conditions shall be taken, where necessary, to encourage and promote the full development and utilisation of machinery for voluntary negotiation between employers or employers' organisations and workers' organisations, with a view to the regulation of terms and conditions of employment by means of collective agreements.

#### Article 5

1. The extent to which the guarantees provided for in this Convention shall apply to the armed forces and the police shall be determined by national laws or regulations.

2. In accordance with the principle set forth in paragraph 8 of article 19 of the Constitution of the International Labour Organisation the ratification of this Convention by any Member shall not be deemed to affect any existing law, award, custom or agreement in virtue of which members of the armed forces or the police enjoy any right guaranteed by this Convention.

#### Article 6

This Convention does not deal with the position of public servants engaged in the administration of the State, nor shall it be construed as prejudicing their rights or status in any way.

Articles 7, 8 and 11-16: Standard final provisions

Articles 9 and 10: Declarations of application to non-metropolitan territories

Date of coming into force: 18 July 1951