



Rainforest Alliance

SmartWood Program

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Introduction

The purpose of the Rainforest Alliance's SmartWood Program is to recognize good forest managers through credible independent certification of forestry practices. The Rainforest Alliance SmartWood Program (hereafter referred to as SmartWood) is a certification body accredited by the Forest Stewardship Council. The purpose of these standards is to provide forest managers, landowners, forest industry, scientists, environmentalists and the general public with information on the aspects of forest management operations that SmartWood evaluates to make certification decisions in the Forest Stewardship Council (FSC) certification system. These standards have been developed for Estonia based upon the Rainforest Alliance/SmartWood Generic standards which have been approved by the FSC (through the Accreditation Services International). The

scope of the current standard is Estonia (all forests types and geographic areas). The current interim standards have been specifically adapted by SmartWood to apply to Estonia and will be continuously up-dated based on stakeholder input and field trials to this version. The principles, criteria and indicator in this document are applicable for assessing all forest management operations (FMEs) with wood production as a major (though not exclusive) objective.

Background

Forests can be managed for many different objectives and products. Such management can occur in natural forests or plantations, for timber or non-timber forest products, include mechanized or manual harvesting, and managed by a large industrial operation or a local community or landowner cooperative. Many combinations are possible. A critical question has been - how to evaluate the wide range of ecological, socioeconomic and silviculture impacts of forest management activities in a clear and consistent fashion, based on a combination of scientific research and practical experience?

In 1991, the SmartWood Program put forth the *first* set of global standards for forest management certification, entitled “Generic Guidelines for Assessing Natural Forest Management” applicable at the forest or operational level for forest operations. In 1991, SmartWood also distributed the first region-specific guidelines for management of natural forests in Indonesia. In 1993, SmartWood distributed the draft “Generic Guidelines for Assessing Forest Plantations” and revised guidelines for natural forest management. The initial Working Group for developing the first FSC Principles and Criteria in 1991-1993 was co-chaired by the SmartWood Director. In 1998, after seven years of application and “learning by doing” through forest assessments and audits, SmartWood conducted a major revision of its standard for assessing forest management in both natural forests and tree plantations. Revisions since then have occurred in 2000 and 2004. Since 1993, each set of our standards has been reviewed by FSC staff, the international body that has accredited SmartWood as a forest management and chain of custody certifier.

These SmartWood standards were developed in consultation with our staff and representatives of the SmartWood Program worldwide, as well as other professional foresters, ecologists, social scientists and forest practitioners. SmartWood representatives have in-depth field experience developing region-specific forest certification standards, some going back as far as 1989 (Indonesia, California). We developed these standards to be in accord with FSC requirements as well as other forest management and biological conservation guidelines issued by the World Conservation Union (IUCN) and the International Tropical Timber Organization (ITTO). We have also drawn on work of our SmartWood Network partners (Imaflora in Brazil and NEPCon in Denmark, Scandinavia, Russia and Eastern Europe), Center for International Forestry Research (CIFOR), International Labor Organization (ILO), many scientists, forest industry, non-governmental organizations (NGOs), and FSC regional standards working groups. We would like to acknowledge the significant contributions made by these and other international, national and local organizations, and the many forestry operations (certified and uncertified), foresters, loggers, and local stakeholders who have critiqued past versions of the SmartWood standards and provided suggestions for improvement.

Regional Standards Development

FSC working groups around the world are developing country- or region-specific forest certification standards. SmartWood fully supports, encourages and participates wherever possible in such processes. Our experience is that the regional standard setting process is vital. Regional standard setting is an excellent way of engaging the public in important, broad ranging discussions on the future of forests and human communities. In other words, the

regional standards setting process should not be seen just as a technical standards setting process, but also as a process of outreach on the topic of sustainable forest management. As part of the FSC process, regional standards are developed by a regional working group, field-tested, revised and approved by the regional working group, and then submitted to the FSC's international headquarters for approval. The final product, if approved, is an "FSC accredited standard". Once accredited, all FSC-approved certifiers (like SmartWood) must use the endorsed regional standard as the fundamental starting point for FSC certification in that country/region. Certifiers may choose to be more rigorous than the regional standard, but they cannot be less rigorous.

In all countries or regions not covered by an FSC accredited forest stewardship standard, SmartWood will develop a locally adapted or interim standard for use in evaluating forest management operations in that designated geographic area. The adapted standard is developed from the SW generic standard with modification to certification indicators to take into account the national context (e.g. legal requirements, environmental, social and economic perspectives). This draft will be translated to the official language of the country in which the FME to be evaluated is located and is to be submitted for consultation at least 30 days prior to the start of fieldwork for a full assessment. Distribution to key stakeholders occurs via the Internet (email and posted on the SW website), mailings and face to face meetings.

Operations certified under a previous FSC or SmartWood standard have a minimum of one year to meet any newly endorsed FSC regional standard.

SmartWood have also used other sources as basis for and inspiration for developing the indicators and verifiers of the Interim Standard. Among the documents that have been reviewed and considered in developing this Interim Standard are:

- FSC-STD-01-001 (version 4-0) FSC Principles and Criteria for Forest Stewardship
- FSC-STD-20-003 (version 2-1) Local adaptation of certification body generic Forest Stewardship Standards.
- FSC-STD-20-002 (version 2-1) Structure and Content of Forest Stewardship Standards
- FSC-POL-30-401 FSC certification and ILO conventions.
- FSC-STD-01-003 SLIMF Eligibility Criteria
- RA/SmartWood Generic Standards for Assessing Forest Management", Rainforest Alliance, January 2008
- SmartWood Generic Guidelines for Assessing the Management of Non-Timber Forest Products, Rainforest Alliance, January 2000.
- SmartWood Non-Timber Forest Products Certification Standards Addendum, Rainforest Alliance, November 2002.

SmartWood Standards Structure

The SmartWood generic standards are based directly on the FSC Principles and Criteria for Forest Stewardship (**FSC-STD-01-001**) and include specific generic indicators for each criterion to create a global SmartWood standard. These indicators are the starting point from which region-specific "SmartWood Interim Standards" are developed for use in the forest by forest assessors to evaluate the sustainability of forest management practices and impacts of candidate FME.

The standards are divided into the following ten principles:

- 1.0 Compliance with Laws and FSC Principles
- 2.0 Tenure and Use Rights & Responsibilities
- 3.0 Indigenous Peoples' Rights
- 4.0 Community Relations and Workers' Rights
- 5.0 Benefits from the Forest
- 6.0 Environmental Impact
- 7.0 Management Plan
- 8.0 Monitoring and Assessment
- 9.0 Maintenance of High Conservation Value Forests
- 10.0 Plantations

In the standard, each FSC principle and its associated criteria is stated, along with the SmartWood indicators. All criteria in all principles must be evaluated in every assessment; unless certain principles are deemed not applicable by SmartWood auditors (e.g. Principle 10 will not be applicable if there are no plantations).

Indicators for Small and Large FMEs

As required under FSC policy SmartWood has developed indicators for certain criteria¹ that are specific to certain sizes of operations. Clear quantitative definitions for small versus large FMEs are included in regionalized SmartWood Interim Standards. Where these SmartWood regional thresholds are not established, large FME should be considered those larger than 50,000 ha. Small FME definition is determined by FSC regional thresholds set for small and low intensity managed forests (SLIMF) which have been set either globally by FSC (100 ha) or by FSC National Initiatives.

Public Input and Comment on SmartWood Standard and Certification Processes

The certification process has both public and private aspects. Certification assessments are not public documents unless specifically required by law (e.g. for some public forests) or approved for public distribution by the certified operation. However, three public documents are available for each and every certified FME:

1. A public stakeholder consultation document that announces each certification assessment at least 30 days prior to field work;
2. The certification standard used; and,
3. A public certification summary that is produced with the results of each separate forest certification.

The public stakeholder consultation document informs the public about the assessment at least 30 days prior to it taking place. This document is distributed publicly prior to or during an assessment. The document is typically distributed by hand delivery, FAX, mail, or email. The specific SmartWood standard for each assessment is also publicly available before and during the assessment and is a part of the public record for every forest certification. The public certification summary is produced as a final step of the certification process and is available only after an operation has been approved for certification. For copies of any of the above documents, visit our website at www.smartwood.org or contact SmartWood [NEPCon is representative of SmartWood in Scandinavia, Europe and Russia; address: Filosoofi 31, Tartu,

¹ Criteria 6.1, 6.2, 6.4, 7.1, 7.2, 7.3, 7.4, 8.1, 8.2, 8.3, 8.4, 8.5, 9.1, 10.5 and 10.8.

Estonia; phone: +372 7 380 723; fax: +372 7 380 724; email: estonia@nepcon.net]. **We strongly encourage you to give us your input, either positive or negative, on our candidate or certified operations, certification standards, or certification procedures.**

Contents

A Scope

This standard shall be the basis for FSC forest management certification of forest management enterprises in Estonia.

B Standard effective date

This standard shall be effective from 1 September 2010.

C References

- FSC-STD-01-001 v. 4.0 FSC Principles and Criteria for Forest Stewardship
- FSC-STD-01-002 (draft 1-0) FSC Glossary of Terms

D Terms and definitions

See annex A for glossary.

Acronyms:

FME: Forest management enterprise

FSC: Forest Stewardship Council

HCVF: High conservation value forests

RA: Rainforest Alliance

SLIMF: Small and Low Intensity Managed Forests

SW: SmartWood

Rainforest Alliance/SmartWood Interim Standard for Assessing Forest Management in Estonia

Standard scope

This standard may be applied within all forests and forest types located in Estonia.

Some indicators are only applicable for either small and/or low intensity managed forests (SLIMF), medium size or large forest management operations (FMO) or a combination of them. For the purpose of this standard the thresholds for SLIMF, medium and large FMO-s is following:

- SLIMF FMO-s:
- a) FMO-s managing forest area below 500 ha;
 - b) FMO-s where the rate of harvest is less than 20% of mean annual increment and total annual harvest is less than 5000 cbm;
- medium size FMO-s: FMO-s managing forest area of 500 to 10 000 hectares;
- large size FMO-s: FMO-s managing forest area over 10 000 hectares.

Basis for the standard

This standard has been prepared by NEPCon and the Rainforest Alliance SmartWood program (herein as SW). SW is an FSC accredited certification program of Rainforest Alliance and NEPCon is partner of Rainforest Alliance representing the SW program in Scandinavia, Russia and Eastern Europe. The standard is based on Forest Stewardship Council (FSC) general requirements detailed in *FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship*. The wording of FSC principles and criteria has been included in the standard unchanged. During the adaptation process NEPCon/SW has developed indicators for each applicable criterion that detail the requirements considering local Estonian context. In case a criterion or principle has been considered non-applicable, the reason for this has been justified. The indicators in this standard are partly based on the Draft Estonian National FSC Standard (version 10.10.2004), which has been prepared by FSC Working Group Estonia (www.fsc.ee). FSC requirements for standards as described in *FSC-STD-20-003 Local adaptation of certification body generic forest stewardship standards* (ver 1-0) and *FSC-STD-20-002 Structure and Content of Forest Stewardship Standards* (ver 1-0) have been fully followed during preparation of this standard. Based on the review of Estonian legislation it is NEPCon/SW position that this standard is not in conflict with any national legal requirements. At the same time NEPCon/SW is in position that this standard does not include performance thresholds that are lower than the national legal requirements.

Public input

This standard is a public document and can be freely distributed to all interested parties, provided that the standard is distributed without any modifications. This standard is publicly available in Estonian and English language and is available for download or printout on www.rainforestalliance.org and www.nepcon.net. This standard is subject to consultation and comments from all interested stakeholders (also see the next section “Stakeholder consultation”). Based on stakeholder comments SW can implement changes in the indicators of this standard. Please note that the principles and criteria can not be modified since they are defined by FSC. All stakeholders who have comments regarding this standard or have suggestions for improving the indicators are strongly encouraged to contact NEPCon/SW (www.nepcon.net; +372 7380 723). Comments and suggestions may also be sent to FSC Working Group Estonia (www.fsc.ee; +372 50 942 26,). You can send your comments by any means suitable for you (mail, email, fax) or contact NEPCon, SW or FSC working group to agree personal meeting or have a phone discussion. More information about FSC certification background, certification process and certified entities in Estonia or any other aspect related to FSC certification can be obtained from SW (www.rainforestalliance.org).

Stakeholder consultation process

Present standard is based on Draft SmartWood Baltic Interim Standard, which has been used for several assessments in Baltic region. Public notification of stakeholders about the standard to be used is required part of each FM assessment process. Various stakeholders were notified about compilation of present standard and requested to present their suggestions for improving the standard. In addition to public notification, the standard text was also mailed directly to several interested parties for commenting, such as governmental institutions, environmental

protection organizations, representatives of forest industry, representatives of other forest certification schemes present in Estonia and state and private forest managers.

PRINCIPLE 1. COMPLIANCE WITH LAWS AND FSC PRINCIPLES	
Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.	
Criteria	Indicators
1.1 Forest management shall respect all national and local laws and administrative requirements.	1.1.1. The staff shall be aware of relevant requirements of legislation and their responsibilities. 1.1.2. <u>Large FMO-s</u> : copies of relevant legislation shall be available in head office and for the staff. 1.1.3. Discovered non compliances with legislation shall be recorded in written. 1.1.4. Corrective actions shall be implemented in case non-compliances are identified. 1.1.5. FMO shall meet all national, state/provincial and local environmental, labor and forestry laws.
1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.	1.2.1 FMO shall be aware of applicable fees, royalties and taxes. 1.2.2 Evidence shall exist of on-time payment of any applicable financial charges. 1.2.3 <u>Large FMO-s</u> : In case of discrepancies, FMO shall maintain a full documentation related to the discrepancies and solving them.
1.3 In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.	1.3.1 <u>Large FMO-s</u> : FMO shall be aware of and respect applicable international conventions. 1.3.2 No workers under the age of 15 shall be employed in the forest unless for training or educational purposes. 1.3.3 No workers are under the age of 18 shall be employed for operations when it is likely to jeopardize health, and safety. Note: Applicable international conventions are covered within Estonian legislation as well as other parts of the standards.
1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.	1.4.1 Perceived conflicts between laws and present standard shall be identified and recorded by the FMO. 1.4.2 Any conflicts identified shall be resolved by working in conjunction with appropriate regulatory bodies and other parties (including FSC national representatives).

<p>1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p>	<p>1.5.1 <u>Large FMO-s:</u> FMO should have a monitoring system including documented periodic inspections for preventing and discovering illegal activities.</p> <p>1.5.2 Poaching and illegal timber extraction shall be controlled or decreasing.</p> <p>1.5.3 The forest manager shall use all reasonable legal measures to prevent illegal usage of the forest area and forest resources.</p> <p>1.5.4 FMO shall inform appropriate authorities (e.g. environmental inspection and police) about all discovered illegal activities in written.</p>
<p>1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</p>	<p>1.6.1 FMO shall clearly demonstrate long-term support for the FSC P&C.</p> <p>1.6.2 <u>Large FMO-s:</u> FMO shall have a publicly available policy or statement committing the organization to adhere to the FSC requirements within the certified forest area.</p> <p>1.6.3 FMO and its employees shall be aware of applicable FSC standard requirements relevant for their work area.</p> <p>1.6.4 FMO shall not implement activities that blatantly conflict with the FSC P&C on forest areas outside of the forest area under assessment.</p> <p>1.6.5 FMO shall disclose information on all forest areas over which the FMO has some degree of management responsibility to demonstrate compliance with current FSC policies on partial certification and on excision of areas from the scope of certification.</p>

<p>PRINCIPLE 2. TENURE AND USE RIGHTS AND RESPONSIBILITIES</p>	
<p>Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.</p>	<p>2.1.1 FMO shall possess legal documents proving its legal rights of ownership or long term rights to manage the forest area.</p> <p>2.1.2 Property borders should be marked or otherwise clearly delineated (e.g. follow natural boundaries).</p>
<p>2.2 Local communities with legal or</p>	<p>2.2.1 <u>Large FMO-s:</u> FMO shall respect the</p>

<p>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.</p>	<p>customary, legal or traditional use rights of local communities to use the forest resources.</p> <p>2.2.2 <u>Large and medium FMO-s:</u> should ensure that local communities have controlled access to buy firewood for own consumption at a price not higher than average market price.</p> <p>2.2.3 FMO should inform neighboring landowners about planned forest management operations before field works are initiated.</p> <p>2.2.4 FMO shall ensure that local communities have access to the forest for collection of Non-Timber Forest Products (NTFP) such as berries and mushrooms for own consumption</p> <p>2.2.5 FMO shall not make restrictions for local communities in relation to legal or customary rights, unless these restrictions are agreed with local communities.</p>
<p>2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.</p>	<p>2.3.1 FMO shall not be involved in outstanding disputes of substantial magnitude in relation to the certified forest area, involving a significant number of interest groups.</p> <p>2.3.2 FMO shall use mechanisms for resolving disputes over tenure claims and use rights that respectfully involve and consider the disputants in process.</p> <p>2.3.3 Records shall be maintained of disputes over tenure and use rights.</p> <p>2.3.4 FMO shall demonstrate significant progress achieved to resolve major disputes.</p>

<p>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS</p>	
<p>Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</p>	<p>Criteria considered not applicable since Estonians are native people in their homeland.</p>
<p>3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of</p>	<p>Criteria considered not applicable since Estonians are native people in their homeland.</p>

indigenous peoples.	
3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.	Criteria considered not applicable since Estonians are native people in their homeland.
3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.	Criteria considered not applicable since Estonians are native people in their homeland.

PRINCIPLE 4. COMMUNITY RELATIONS AND WORKER'S RIGHTS	
Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.	
Criteria	Indicators
4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.	<p>4.1.1 <u>Large FMO-s:</u> FMO shall have written employment procedures indicating preference of local employees and justifying cases when non-local people are hired (e.g. required qualification, internal promotion mechanisms).</p> <p>4.1.2 Local communities and residents shall be given equal or preferential opportunities in forest management activities in terms of employment, training, and provision of supplies to FMO, and other benefits or opportunities.</p> <p>4.1.3 No evidence of discrimination in labor practices, including hiring, advancement, dismissal, remuneration and employment-benefits shall exist.</p> <p>4.1.4 Wages or income of contractors should be at least as high as those in comparable occupations in the same region and shall not be lower than the established minimum wage.</p>
4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.	<p>4.2.1 Employees, including contractors, shall be aware of and shall implement safe working practices.</p> <p>4.2.2 Appropriate health and safety equipment including helmet, high visibility vest/jacket, safety boots and safety trousers shall be used in the</p>

	<p>field and first aid kit shall be available onsite for chain saw operators, harvesting companies and contractors</p> <p>4.2.3 Any person entering an ongoing logging site shall wear a helmet and high visibility vest.</p> <p>4.2.4 Staff climbing trees shall be appropriately trained in safety procedures and tree climbing, and shall use appropriate safety equipment.</p> <p>4.2.5 Workers involved in dangerous work such as storm damage removal, logging of large trees and tree climbing shall never works alone.</p> <p>4.2.6 Workers shall be instructed about procedures in case of emergency situation such as accident, fire or oil spill.</p> <p>4.2.7 FMO shall not use forest machinery without an operators cabin or substituting crash bars.</p> <p>4.2.8 FMO should conduct regular checks to ensure that all safety procedures are observed in the field.</p> <p>4.2.9 Warning signs shall be posted at access roads to sites with ongoing logging operation.</p> <p>4.2.10 Workers who are staying overnight in the forest should have appropriate sleeping facilities and sufficient supply of clean water.</p> <p>4.2.11 <u>Large and medium FMO-s:</u> FMO shall maintain a register of accidents and documented steps taken to minimize risk of further accidents.</p> <p>4.2.12 <u>Large FMO-s:</u> Staff should be offered vaccinations against tick-borne encephalitis.</p> <p>4.2.13 Indicators under criterion 4.2 are also applicable for workers family members in case they are present at the operational sites.</p>
<p>4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 1987 and 1998 of the International Labor Organization (ILO).</p>	<p>4.3.1 All workers shall be able to form and join a trade union of their choice without fear of intimidation or reprisal.</p> <p>4.3.2 <u>Large and medium FMO-s:</u> Collective bargaining with representative trade unions shall be carried out in good faith and with best efforts to come to an agreement.</p>

<p>4. 4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</p>	<p>4.4.1 <u>Large FMO-s</u>: FMO shall have a system to enable local communities to participate in the forest management planning process and affects it's results.</p> <p>4.4.2 All interested parties shall have access to relevant information.</p> <p>4.4.3 <u>Large and medium FMO-s</u>: FMO shall demonstrate that input from community participation was considered and/or responded to during management planning and operations.</p> <p>4.4.4 <u>Large and medium FMO-s</u>: Areas of special economic, ecological, cultural or spiritual value for local communities shall be mapped and their protection values and management regime shall be documented.</p>
<p>4. 5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</p>	<p>4.5.1 FMO shall make all reasonable efforts to avoid losses and damages affecting local peoples, and in resolving grievances related to legal rights, damage compensation and negative impacts.</p> <p>4.5.2 <u>Large FMO-s</u>: FMO shall establish and implement a documented mechanism for compensation of affected parties in case local community resources are damaged as result of forestry activities.</p>

<p>PRINCIPLE 5. BENEFITS FROM THE FOREST</p>	
<p>Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>5. 1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.</p>	<p>5.1.1 Revenue received should be sufficient to cover forest management costs, e.g. management planning, road maintenance, silvicultural treatments, long-term forest health, growth and yield monitoring, and conservation investments.</p> <p>5.1.2 FMO shall generally strive towards economic viability of the forest management, unless special forest management goals do not support this (e.g. subsidized forest management exclusively for scientific purposes).</p>

	<p>5.1.3 Budgets shall include provision for environmental and social as well as operational costs necessary to maintain certifiable status (e.g. management planning, road maintenance, silvicultural treatments, long-term forest health, growth and yield monitoring, and conservation investments).</p> <p>5.1.4 <u>Large FMO-s:</u> When evaluating the economic viability the asset value of the standing stock shall be considered.</p>
<p>5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	<p>5.2.1 The "highest and best use" for individual tree and timber species shall be sought.</p> <p>5.2.2 FMO should utilize frequently occurring, lesser known or less-commonly utilized plant species for commercial and subsistence uses if appropriate.</p> <p>5.2.3 Non-timber forest products (e.g. seeds, berries, mushrooms, resin, greenery, Christmas trees and game) should be considered during forest use and processing.</p> <p>5.2.4 FMO should prefer local processing of forest products when possible.</p> <p>See also 5.4</p>
<p>5.3 Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	<p>5.3.1 The layout of existing and planned forest roads, bridges, and harvesting tracks shall be appropriate to the scale and intensity of management operations.</p> <p>5.3.2 Harvesting techniques shall be designed to avoid losses of merchantable volumes and damage to remaining trees.</p> <p>5.3.3 Waste generated through harvesting operations and on-site processing shall be minimized.</p>
<p>5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</p>	<p>5.4.1 FMO's sales policies and methods shall consider needs of local processing industry where possible.</p> <p>5.4.2 FMO shall support local value added processing through local industries where possible.</p> <p>See also 5.2</p>
<p>5.5 Forest management operations shall recognize, maintain, and, where</p>	<p>5.5.1 <u>Large FMO-s:</u> FMO shall take into consideration the impacts of forest</p>

<p>appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</p>	<p>management on the multiple services produced in the forest such as outdoor life, watersheds, NTFP (fishing, hunting, berries and mushrooms), protection of cultural and biological values in written.</p> <p>5.5.2 FMO shall consider areas important for mushrooms and berry picking; hunting and recreation when planning forest operations.</p> <p>See 4.4.4</p>
<p>5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</p>	<p>5.6.1 Annual allowable cut (AAC), by area or volume, shall be set based on conservative and well-documented estimates of growth and yield.</p> <p>5.6.2 FMO shall ensure that the rate of harvest does not exceed sustainable levels.</p> <p>5.6.3 Actual annual harvest shall be strictly documented, including site, species, quantities, assortments, period of felling and terms and monitoring documentation.</p> <p>5.6.4 FMO should document commercial harvest of NTFP such as seeds, Christmas trees, greenery and game.</p> <p>5.6.5 Commercial harvest of NTFP shall not exceed sustainable levels.</p> <p>5.6.6 Boundaries of harvesting areas shall be clearly marked or distinguishable in field.</p> <p>See also 5.1.3</p>

<p>PRINCIPLE 6. ENVIRONMENTAL IMPACT</p>	
<p>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.</p>	
<p>Criteria</p>	<p>Indicators</p>
<p>6.1 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.</p>	<p>6.1.1 FMO shall assess environmental impacts during management planning of site disturbing forest operations and designate appropriate mitigation measures in management plan.</p> <p>6.1.2 Measures to minimize negative environmental impacts of forest operations shall be followed in the field (e.g. wet soil types shall be handled with precaution to avoid soil damages, sensitive bird habitats shall not be intervened in birds nesting period etc.).</p>

	<p>6.1.3 <u>Large and medium FMO-s</u>: FMO shall have a documented procedure for conducting documented environmental impact assessments prior to major forest management activities such as constructions of new roads or restoration of drainage systems.</p> <p>6.1.4 <u>SLIMF FMO-s</u>: FMO shall identify and avoid negative environmental impacts prior to and during road construction and drainage systems renovation.</p> <p>6.1.5 Environmental impacts of on-site processing facilities shall be assessed and controlled (e.g. waste, construction impacts, etc.).</p> <p>6.1.6 <u>Large and medium FMO-s</u>: Landscape level impacts of forest management (e.g. cumulative effects of forest operations within and nearby the FMU) shall be considered.</p>
<p>6.2 Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</p>	<p>6.2.1 <u>Large FMO-s</u>: FMO shall have written data and protection plan of threatened, rare, and endangered species or ecosystems within their forest area.</p> <p>6.2.2 <u>SLIMF and medium FMO-s</u>: FMO shall be aware of and conserve the officially registered protected species in the forest area.</p> <p>6.2.3 <i>Taxus baccata</i> shall not be harvested or damaged by logging.</p> <p>6.2.4 Conservation zones shall be demarcated on maps.</p> <p>6.2.5 Operations in the conservation zones shall be conducted so that the conservation values are not harmed or endangered in any way.</p> <p>6.2.6 Felling operations shall not be conducted in the nesting places and during the nesting period of rare, endangered or threatened species.</p> <p>6.2.7 Inappropriate hunting, fishing, trapping and NTFP collecting shall be controlled in the forest.</p>
<p>6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <ul style="list-style-type: none"> a) Forest regeneration and succession b) Genetic, species, and ecosystem diversity c) Natural cycles that affect the productivity of the forest ecosystem 	<p>6.3.1 <u>Large and medium FMO-s</u>: FMO shall try to maintain or enhance the share of native noble hardwoods (a, b).</p> <p>6.3.2 <u>SLIMF FMO-s</u>: FMO should try to maintain the share of native noble hardwoods (a, b).</p> <p>6.3.3 Natural regeneration and local provenances should be preferred. (a,</p>

	<p>b, c).</p> <p>6.3.4 Thinning and harvesting operations shall favor development of mixed stands (a, b, c).</p> <p>6.3.5 Forest areas not affected by existing drainage ditches shall not be drained.</p> <p>6.3.6 Old and hollow standing trees, trees with bird nests, snags (standing dead trees) and dead wood with diameter above 25 cm shall always be preserved in the forest, with consideration of national requirements on work safety (b, c).</p> <p>6.3.7 At least 10 living biodiversity trees (5 in case of noble hardwood) per hectare shall be left in final felling and shall be left uncut forever (b).</p> <p>6.3.8 Biodiversity trees shall be chosen from wide variety of species with largest diameter among the most biologically valuable and wind stable trees. (6.3 b).</p> <p>6.3.9 Forwarding and harvesting by harvester shall not be done during wet spring and autumn season, in cases when soil damage can not be prevented.</p> <p>See 6.9</p>
<p>6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</p>	<p>6.4.1 <u>Large FMO-s</u>: FMO shall protect representative samples of existing rare and/or endangered ecosystems in their natural state covering at least 5 % of the total forest area.</p> <p>6.4.2 <u>Large FMO-s</u>: Selection of forest areas to be preserved as required in 6.4.1 shall be based on the identification of key biological areas identified through consultation with environmental stakeholders, local government and scientific authorities.</p> <p>6.4.3 <u>SLIMF and medium FMO-s</u>: FMO shall protect representative samples of existing rare and/or endangered ecosystems in their natural state.</p> <p>6.4.4 No timber harvesting shall take place in areas protected as required in 6.4.1 or 6.4.3, unless specified by written protection rules for the protected area and with the aim of maintaining, increasing or restoration the conservation values.</p> <p>6.4.5 Existing drainage systems shall not be</p>

	<p>maintained in protected areas unless required to protect their conservation values according to official written protection rules or for transportation of water from bordering lands.</p> <p>See also 6.2</p>
<p>6.5 Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</p>	<p>6.5.1 <u>Large FMO-s</u>: FMO shall specify areas suitable for all-weather harvesting, winter harvesting or dry-weather only.</p> <p>6.5.2 <u>SLIMF and medium FMO-s</u>: FMO shall be aware of soil types appropriate for logging in winter, spring summer and autumn seasons to avoid soil damage.</p> <p>6.5.3 Written guidance to field staff shall cover technical specifications for skid trails and extraction roads (location, width and density), log landing, maintaining buffer zones and road design.</p> <p>6.5.4 Measures shall be taken to minimize soil damage and erosion during harvesting operations.</p> <p>6.5.5 No road fill or waste material (e.g. rocks, brush) from site preparation or other activities shall be placed in stream courses.</p> <p>6.5.6 FMO shall preserve existing buffer zones along forest edges and favour the development and conservation of wind resistant and viable forest edges (buffer zones) along open landscapes.</p> <p>6.5.7 FMO shall ensure that technological map is prepared for each felling site including areas with protection values and other site specific information (e.g. erosion risk areas, natural regeneration to be preserved etc.).</p> <p>See also 6.1; 7.3</p>
<p>6.6 Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international</p>	<p>6.6.1 Chemicals shall not be used outside nurseries, except in cases of extensive weevil outbreaks, for protection of forest regeneration or if prescribed by forest pathologist.</p> <p>6.6.2 All uses of chemical substances shall be recorded including information on the name of the chemical, the purpose, the site, date and the amount used at minimum.</p> <p>6.6.3 Chemical storage, mixing and application practices shall meet applicable regulation and codes of</p>

<p>agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.</p>	<p>best practice.</p> <p>6.6.4 Responsible employees shall be aware of and able to implement emergency procedures for clean-up following spillages and other accidents with chemicals.</p> <p>6.6.5 Chemicals banned according to FSC's pesticides policy shall never be used, unless derogation has been granted by FSC.</p>
<p>6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</p>	<p>6.7.1 Chemical, container, liquid and solid non-organic waste shall be disposed in an environmentally sound and legal manner at off-site locations, whether from forest operations or processing facilities.</p> <p>6.7.2 Efforts shall be taken to control and minimize disposal of all types of waste in the forest including garbage left from visitors.</p> <p>6.7.3 Appropriate oil absorbent kit shall be available in forest machinery.</p> <p>6.7.4 Appropriate oil absorbent kit or spill proof tanks shall be used at chain saws filling points.</p> <p>6.7.5 Forest machinery shall be without oil/fuel leakage.</p> <p>6.7.6 Biodegradable oil should be used for chainsaw chain oiling system and in forest machinery hydraulics</p>
<p>6.8 Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</p>	<p>6.8.1 Biological control agents may only be used in exceptional and justified cases.</p> <p>6.8.2 Any use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols.</p> <p>6.8.3 Genetically modified organisms (GMOs) shall not be used.</p>
<p>6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>	<p>6.9.1 Native forests shall not be converted to exotic plantations.</p> <p>6.9.2 Exotic species shall not be cultivated in the forest.</p> <p>6.9.3 The spread of invasive exotic species that have been historically introduced shall be monitored and if necessary, actions should be taken to control or eliminate the species.</p> <p>See also 10.3</p>

<p>6. 10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <ul style="list-style-type: none"> a) entails a very limited portion of the forest management unit; b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure long term conservation benefits across the forest management unit. 	<p>6.10.1 The enterprise shall clearly identify any parts of the FMU that are scheduled for conversion from natural or semi-natural forest to plantation or non-forest use, over the next five year period.</p> <p>6.10.2 The areas scheduled for conversion:</p> <ul style="list-style-type: none"> - shall not damage High Conservation Values, AND - EITHER total less than 5% of the total area of the FMU and shall enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit, - OR shall be converted in order to restore the land securely and in the long term to a pre-existing "High Conversation Value" habitat. <p>6.10.3 The FMO shall have all necessary approvals for the conversion, in line with national requirements.</p>
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PRINCIPLE 7. MANAGEMENT PLAN	
A management plan - appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long term objectives of management, and the means of achieving them, shall be clearly stated.	
Criteria	Indicators
<p>7. 1 The management plan and supporting documents shall provide:</p> <ul style="list-style-type: none"> a) Management objectives; b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands; c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories; d) Rationale for rate of annual harvest and species selection; e) Provisions for monitoring of forest growth and dynamics; f) Environmental safeguards based on environmental assessments; g) Plans for the identification and 	<p>7.1.1 <u>SLIMF FMO-s</u>: FMO shall have a valid forest management plan, which contains among other aspects: written description of the management objectives; detailed stand description and taxation data; information about planned fellings and other forestry operations; information about known protection values and protection measures of all protection values and HCV forest areas.</p> <p>7.1.2 <u>Large and medium FMO-s</u>: FMO management plan or its appendices or reference documents, shall include presentation of the following components:</p> <ul style="list-style-type: none"> a) Management objective (a); b) A general description of the history, including ownership and use of the forest management

<p>protection of rare, threatened and endangered species;</p> <p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership;</p> <p>i) Description and justification of harvesting techniques and equipment to be used.</p>	<p>area (b);</p> <p>c) A stand level description of the forest resources including area, site type/forest type, soil type, species, age class distribution, height, site class, average diameter (dbh) and volume (b, c);</p> <p>d) Socio-economic conditions (b);</p> <p>e) A profile of adjacent lands (see also Criterion 5.5) (b);</p> <p>f) Summaries for the total forest area including total area (ha), forest cover percentage, area by site types/forest type, age class distribution, total annual increment and average volume per hectare (b, c, d). Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification;</p> <p>g) Provisions for monitoring of forest growth and dynamics (e);</p> <p>h) Description and justification of the management system used, including types of silvicultural systems used;</p> <p>i) Specify environmental safeguards based on environmental assessments (see also Criterion 6.1, 9.3) (f);</p> <p>j) General description of monitoring activities implemented to ensure conservation of rare, threatened and endangered species (f, g);</p> <p>k) Maps describing the forest resource base including protected areas, planned management activities and land ownership (h);</p> <p>l) Description and justification of harvesting techniques and equipment to be used (i);</p> <p>m) Description of the silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories (see also Criteria 5.6, 6.3, 8.1, 8.2) (c).</p> <p>7.1.3 The plan shall be technically sound</p>
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	<p>and sufficiently detailed, given the size of the forest operation and extent and intensity of forest management.</p> <p>7.1.4 Maps shall be of sufficient quality to effectively guide field activities (see also criterion 6.5).</p> <p>7.1.5 Management plans or related annual operating or harvesting plan shall be available to staff and used in the field.</p> <p>See also 6.2.4 and 9.1.1.</p>
<p>7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</p>	<p>7.2.1 Management plan (and/or annual operating plan) revision or adjustments shall occur in timely manner (with revision period not more than 10 years).</p> <p>7.2.2 <u>Large and medium FMO-s:</u> Management plan revisions shall incorporate the results of monitoring or new scientific and technical information regarding changing silvicultural, environmental, social and economic conditions.</p> <p>7.2.3 <u>SLIMF FMO-s:</u> Management plan revisions shall follow national procedures.</p>
<p>7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</p>	<p>7.3.1 <u>Large FMO-s:</u> Forest managers and supervisors shall have appropriate qualification, preferably nationally recognized, ensuring that they are able to plan and organize forest operations and other elements of the management plan.</p> <p>7.3.2 <u>Large FMO-s:</u> FMO shall have and implement a written training plan.</p> <p>7.3.3 <u>Large FMO-s:</u> FMO shall provide training to relevant staff in biodiversity issues.</p> <p>7.3.4 <u>SLIMF and medium FMO-s:</u> For harvesting activities, FMO shall hire only workers who have received instructions on proper and safe felling techniques.</p> <p>7.3.5 All workers, as well as contractors and their workers and self-employed persons should be sufficiently educated and trained in the tasks they are assigned to and preferably hold relevant skill certificates.</p> <p>See also 4.1</p>
<p>7.4 While respecting the confidentiality of information, forest managers shall make</p>	<p>7.4.1 <u>Large FMO-s:</u> FMO shall produce a public summary of the management</p>

<p>publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.</p>	<p>plan including those elements listed under criterion 7.1 that is available in printed versions and/or published on the Internet.</p> <p>7.4.2 <u>SLIMF and medium FMO-s</u>: At minimum FMO shall be willing to provide access to relevant parts of the management plan to stakeholders who have justified interest in the forest management activities of FMO (e.g. neighboring landowners and local inhabitants).</p>
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PRINCIPLE 8. MONITORING AND ASSESSMENT	
Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.	
Criteria	Indicators
<p>8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</p>	<p>8.1.1 <u>Large and medium FMO-s</u>: FMO shall have monitoring procedures for consistent and frequent monitoring of the aspects mentioned in 8.2, which allows comparison of the results and assessment of changes.</p> <p>8.1.2 <u>Large and medium FMO-s</u>: The frequency and intensity of monitoring shall be based on the size and complexity of the operation and the fragility of the resources under management.</p> <p>8.1.3 <u>SLIMF FMO-s</u>: FMO shall at a minimum conduct monitoring of harvesting operations and re-forestation.</p>
<p>8.2 Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ul style="list-style-type: none"> a) Yield of all forest products harvested; b) Growth rates, regeneration and condition of the forest; c) Composition and observed changes in the flora and fauna; d) Environmental and social impacts of harvesting and other operations; e) Costs, productivity, and efficiency of forest management. 	<p>8.2.1 <u>Large and medium FMO-s</u>: Monitoring plan shall identify/describe observed changes in conditions in terms of:</p> <ul style="list-style-type: none"> a) growth rates, regeneration area and species and age and species composition of forest resources, (typically part of the standard management plan prepared according to national legislation) (b, c); b) commercial harvest including harvest of NTFP such as seeds, seedling, game, greenery and Christmas trees (a); c) environmental changes affecting flora, fauna, soil and water

	<p>resources (e.g. erosion, outbreak of pest, spreading of invasive species, observed nesting sites for endangered bird species) (c, d);</p> <p>d) socioeconomic aspects (e.g. forest management costs, yields of all products, and changes in community and worker relations or conditions, number of staff employed, accident rates);</p> <p>e) HCV forest areas.</p> <p>8.2.2 <u>SLIMF FMO-s</u>: FMO shall at minimum have yearly records of commercially harvested products and regenerated area and species (a, b).</p> <p>8.2.3 <u>SLIMF FMO-s</u>: FMO shall ensure that inventory data is regularly updated with periodic management plan revision (typically done during the standard management plan preparation according to national legislation) (a, b, c).</p>
<p>8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."</p>	<p>8.3.1 Illegally logged wood reclaimed by the operation shall not be sold as certified.</p> <p>8.3.2 FMO has established and implemented procedures according to FM-35 SmartWood Chain-of-Custody Standard for Forest Management Enterprises (FMOs).</p>
<p>8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.</p>	<p>8.4.1 <u>Large and medium FMO-s</u>: Monitoring data as required per 8.2.1 shall be considered for management plan revision.</p> <p>8.4.2 <u>SLIMF FMO-s</u>: FMO shall ensure that the management plan is reviewed periodically according to national legislation.</p> <p><u>See also criterion 7.2</u></p>
<p>8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</p>	<p>8.5.1 <u>Large FMO-s</u>: FMO shall produce a public summary of the monitoring results including indicators listed under 8.2 and make it available in printed versions and/or publish on the internet.</p> <p>8.5.2 <u>SLIMF and medium FMO-s</u>: At minimum FMO shall be willing to provide access to relevant parts of the management plan to stakeholders who have justified interest in the forest management activities of FMO (e.g. neighboring landowners and local</p>

inhabitants).

PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

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

Criteria	Indicators
<p>9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</p>	<p>9.1.1 Information on Natura 2000 sites, woodland key habitats and other officially protected areas shall be included on maps and protection reasons described in written.</p> <p>9.1.2 <u>Large and medium FMO-s:</u> FMO shall carry out an assessment of the FMU sufficient to identify all parts of the FMU that have each of the following attributes:</p> <ul style="list-style-type: none"> a) HCV1. Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia), such as Natura 2000 sites; b) HCV2. Forest areas containing globally, regionally or nationally significant 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, such as intact forest landscapes; c) HCV3. Forest areas that are in or contain rare, threatened or endangered ecosystems, such as Natura 2000 sites and Woodland Key Habitats; d) HCV4. Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control), such as areas important for drinking water; e) HCV5. Forest areas fundamental to meet basic needs of local communities (e.g. subsistence, health); f) HCV6. Forest areas critical to

	<p>local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p> <p>9.1.3 <u>Large and medium FMO-s</u>: FMO shall have written procedures for identifying and recording new HCVF areas.</p> <p>9.1.4 <u>SLIMF FMO-s</u>: FMO should carry out self evaluation of HCV forest areas and include identified areas in the management plan.</p> <p>9.1.5 FMO should be open and willing to cooperate with state organizations and environmental specialists for inventories and protection of HCV forest areas.</p> <p>See also 4.4; 6.1; 6.2; 6.3</p>
<p>9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>	<p>9.2.1 <u>Large FMO-s</u>: Local stakeholders including environmental NGOs shall be consulted to identify HCVF.</p> <p>9.2.2 <u>Large FMO-s</u>: FMO shall document the stakeholder consultation process in written.</p> <p>9.2.3 Stakeholder consultations should indicate that FMO consistently considers and protects HCVF values.</p>
<p>9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</p>	<p>9.3.1 If HCVF values are present, planning documents shall provide site-specific information which describes the measures taken to protect or restore such values consistent with a precautionary approach.</p> <p>9.3.2 <u>Large FMO-s</u>: Measures to protect HCVF values and officially protected areas shall be described in written public summary.</p> <p>9.3.3 <u>SLIMF and medium FMO-s</u>: The FMO shall be willing to provide access to the information on protection measures of HCV forest areas in the FMO forests upon request.</p> <p>See also 7.1</p>
<p>9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	<p>9.4.1 A system for continuous monitoring of HCVF values shall be incorporated into the FMO's planning, monitoring and reporting procedures.</p> <p>See also 8.2</p>

PRINCIPLE 10. PLANTATIONS	
Plantations shall be planned and managed in accordance with Principles and Criteria 1-9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.	
Criteria	Indicators
10.1 The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.	<p>10.1.1 Objectives of tree planting shall be explicit in the management plan, with clear statements regarding the relationship between tree planting and the silviculture, socioeconomic and environmental (i.e. forest conservation and restoration) realities in the region.</p> <p>10.1.2 Management objectives for conservation of natural forest and restoration shall be described in the management plan.</p> <p>10.1.3 Management objectives, specifically those related to natural forest conservation and restoration, shall be demonstrated in forest management activities.</p>
10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.	<p>10.2.1 FMOs shall demonstrate through action their commitment to protect, restore and conserve key areas of natural forest within the ownership.</p> <p>10.2.2 Buffer zones along watercourses and around water bodies shall be established according to regional best management practices or local laws and regulations. Buffer zones should be indicated on maps.</p> <p>10.2.3 FMO shall establish wildlife habitat and corridors, suitably located across plantation areas, in consultation with acknowledged experts.</p> <p>10.2.4 Plantations shall be designed so as to maintain or enhance the visual character of the landscape (i.e. design is based on the scale and intensity of natural patterns of disturbance and planting and harvest regimes within the region).</p>
10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the	<p>10.3.1 Plantation management shall maintain and/or enhance landscape diversity by varying size and configuration, species, genetic diversity, age class and structure.</p> <p>10.3.2 Emphasis shall be placed on planting</p>

<p>landscape, number and genetic composition of species, age classes and structures.</p>	<p>and/or applied research on forest species native to the region. (Note: Also see Criteria 6.4 and 6.10.)</p>
<p>10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</p>	<p>10.4.1 Plantation species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives.</p> <p>10.4.2 Where exotic species have been selected, the FMO shall explicitly justify this choice demonstrating that their performance is greater than that of native species.</p> <p>10.4.3 No species shall be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site and that invasive characteristic, if any, can be controlled.</p> <p>10.4.4 When exotic species are used the specific measures to prevent spontaneous regeneration outside plantation areas, unusual mortality, disease, insect outbreaks or other adverse environmental impacts shall be documented.</p> <p>10.4.5 In case exotic species are used, at least 20 pct of the stand shall consist of native species.</p> <p>See also 6.9</p>
<p>10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.</p>	<p>10.5.1 Representative samples of existing natural ecosystems shall be protected or restored to their natural state, based on the identification of key biological areas, consultation with stakeholders, local government and scientific authorities. (Note: Also see Criterion 6.4.)</p> <p>10.5.2 Applicable to SLIMF FMOs only (note: above indicator does not apply): Plantation design and management practices shall protect ecological values, especially around conservation features or protected areas.</p>
<p>10.6 Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse</p>	<p>10.6.1 Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.</p> <p>10.6.2 Plantation design and management shall not result in soil degradation.</p> <p>10.6.3 Forest operations shall not degrade</p>

<p>impacts on water quality, quantity or substantial deviation from stream course drainage patterns.</p>	<p>water quality or negatively impact local hydrology. 10.6.4 Where negative impact on soil or water resources is identified, FMO shall take steps to reduce or eliminate such impacts.</p>
<p>10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>	<p>10.7.1 Measures shall be taken in the forest to prevent outbreaks of pests, disease, fire and invasive plant introductions. 10.7.2 A plan shall exist and be implemented for forest fire prevention and control. 10.7.3 An integrated pest management plan shall exist that identifies pests, determines acceptable injury or action thresholds, and alternative methods of addressing threats. 10.7.4 FMO shall have a policy and strategy to minimize use of chemical pesticides and fertilizers.</p>
<p>10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.</p>	<p>10.8.1 Monitoring shall include evaluation of potential onsite and off-site ecological and social impacts of plantation activities. (Also see criterion 8.2). 10.8.2 Applicable to SLIMF FMOs only (note: above indicator does not apply): FMO shall document negative environmental or social impacts and design and implement measures to address the impacts. 10.8.3 The purchase of lands or land leases for plantation establishment shall not adversely impact the community and/or resource use by local people. (Note: For exotic or invasive species issues, see Criterion 10.4.)</p>
<p>10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.</p>	<p>10.9.1 The plantation shall not occupy land converted from natural forest since November 1994, unless clear evidence exists that the current manager/owner was not responsible. 10.9.2 Primary, degraded primary and mature secondary forests, and threatened or endangered ecosystems shall not be cleared or converted by current forest managers to create tree plantations.</p>

	<p>10.9.3 Where conversions after November 1994 have occurred, steps shall be taken that convincingly compensate for such conversions, based on interviews or other evidence gathered from other stakeholders and interested parties.</p> <p>(Note: See also Criterion 6.10.)</p>
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Annex 1: List of national and local forest and related laws and administrative requirements which apply in Estonia

The table below lists acts and other regulations that are most relevant in forestry context. Constantly updated full list of all legal documents, which are relevant within area of forestry is available at the homepage of Environmental Ministry (<http://www.envir.ee/2393>). All legal documents can be freely downloaded from www.riigiteataja.ee.

- Forest Act
- Forest management regulations
- Forest Inventory Guidelines
- Form and submission of felling declaration
- Maintenance felling and border clearing rules for unlawfully expropriated forest land
- Compensation of expenses caused by extraordinary transportation or vehicle to the owner of road; the rates of compensation fees and order for issuing special permits
- Prescriptions for transportation of oversized or heavy loads
- Statutes of State Forest Management Center
- Sales of assortments and standing stock in State forest
- Requirements for the test works and examination of forest taxators; the rules for evaluating the results of test works and exams and the working procedure of expert board
- Transportation rules for forest material; handover-reception form of forest material; template of the declaration to be presented to Tax and Customs department for sold or purchased forest material.
- Rules for applying, issuing and extension of forest inventory and taxation license; the form of forest inventory and technical requirements for forest inventory tools and the procedures for evaluation compliance of the tools
- Origin regions of regeneration material allowed to be used for regenerating Estonian forests
- List of exotic species allowed to be grown in Estonian forest land
- Methods for roundwood measurement and volume calculations, requirements for measurement accuracy and documentation of measurement results
- Classification of key habitats and key habitat inventory form
- Designation of counties with high, medium and low risk of fires
- Assignment of optimal felling in state forest for the manager of state forest allowed to be felled by final felling in year 2009.
- Statutes of the Center of Forest Protection and Silviculture
- Methodological guidelines for forest evaluation
- Hunting Act

Annex 2: List of the multilateral environmental agreements and ILO Conventions that Estonia has ratified

Conventions ratified by Estonia

<i>Name and year of the convention</i>	<i>Time ratified by Estonia</i>
Ramsar (1971) Convention on Wetlands of International Importance Especially as Waterfowl Habitat	October 1993
Washington (1973) Convention on International Trade in Endangered Species of Wild Fauna and Flora	October 1993
Rio de Janeiro (1992) Convention on Biodiversity	May 1993
Århus (1998) Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters	June 2001
Berne (1979) Conservation on Conservation of European Wildlife and Natural Habitats	August 1992

Environmental agreements signed by Estonia

<i>Name of the agreement</i>	<i>Place and time of signing</i>
1. Agreement on cooperation between the State Committee of Environmental Protection of Latvia, the Environmental Protection Department of Lithuania and the Ministry of Environment of Estonia in environmental protection and regulation of the use of natural resources	December, 10. Tallinn, 17. Riga, 19. Vilnius 1990
2. Agreement between the Republic of Estonia and RSFSR on the use and protection of natural resources of the lake Peipsi from 1991 to 1995	August 01, 1991 (Moscow)
3. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environment of the Kingdom of Denmark on cooperation in the field of environmental protection	September 2, 1991 (Copenhagen)
4. Agreement between the Republic of Estonia and the Republic of Finland on environmental cooperation	November 7, 1991 (Helsinki)
5. Agreement between the Republic of Estonia and the Kingdom of Sweden on cooperation in the field of environment	March 30, 1992 (Stockholm)
6. Agreement between the Government of the Republic of Estonia from the one side and the Government of the Kingdom of Denmark and Faeroe Islands from the other side concerning the bilateral relations in the field of fisheries	May 01, 1992 (Copenhagen)
7. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environment Nature Protection and Reactor Safety of the German Federal Republic on cooperation on environmental protection,	May 25, 1992 (Düsseldorf)
8. Agreement between the Government of the Republic of Estonia and the Government of the United States of America concerning fisheries off the coasts of the United States	June 01, 1992 (Washington)
9. Agreement between the Republic of Estonia and the European Communities in the field of Fisheries	July 17, 1992 (Tallinn)
10. Memorandum of understanding between the Government of	September 23, 1992

Canada and the Government of Estonia on mutual fisheries relations	(Ottawa)
11. Agreement between the Government of the Republic of Estonia and the Government of the Kingdom of Sweden on fisheries	February 24, 1993 (Tallinn)
12. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on air protection	July 02, 1993 (Tallinn)
13. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on water protection	July 02, 1993 (Tallinn)
14. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on Cooperation in the field of Combating Oil Spills	December 8, 1993 (Helsinki)
15. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on fisheries	January 21, 1994 (Tallinn)
16. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Latvia on cooperation in the field of environmental protection	February 18, 1994 (Riga)
17. Treaty between the Government of the Republic of Estonia and the Government of the Russian Federation on the conservation and use of fishing stocks in Lake Peipsi, Lake Lämmi and Lake Pihkva	May 04, 1994 (Moscow)
18. Treaty between the Government of the Republic of Estonia and the Government of the Russian Federation in the field of fisheries	May 04, 1994 (Moscow)
19. Agreement between the ministry of Environment of Estonia and the Minister of Environmental Protection, National Resources and Forestry of Poland on cooperation in the field of environment protection	June 28, 1995 (Warsaw)
20. Agreement between the Ministry of Agriculture and Forestry in Finland and the Ministry of Environment in Estonia on the Coordination of the Forestry Sector Development Program - Project in Estonia	July 8, 1995 (Tallinn)
21. Agreement between the Government of the Republic of Estonia, the Government of the Republic of Latvia and the Government of the Republic of Lithuania on cooperation in the field of environmental protection	July 21, 1995 (Tallinn)
22. Agreement between the Ministry of the Environment of Estonia and the Ministry of Interior of Denmark on Co-operation and Technical Assistance in the field of Nuclear Emergency Preparedness and Response including Radiation Protection	November 03, 1995
23. Agreement between the Government of the Republic of Estonia and the Government of the Russian Federation on Cooperation in the field of Environment	January 11, 1996 (Pihkva)
24. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environmental Protection of the Republic of Lithuania on the Control of Transboundary Movements of Hazardous Wastes between Estonia and Lithuania	March 22, 1996 (Tallinn)
25. Programme Agreement between the Estonian Ministry of Environment and the Danish Ministry of Housing and Building	May 06, 1996 (Tallinn)
26. Agreement between the Republic of Estonia and the European Union on Relations in the field of Fisheries	December 19, 1996 (Brussels)
27. Agreement between the Government of the Republic of Estonia	February 1997 (Tallinn)

and the Government of the Republic of Latvia on Mutual Relations in the Field of Fisheries	
28. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Latvia on Environmental Impact Assessment in a Transboundary Context	March 14, 1997 (Pärnu)
29. Programme Agreement between the Estonian Ministry of Environment and the Danish Ministry of Housing and Building	May 09, 1997 (Tallinn)
30. Agreement between the Government of the Republic of Estonia and the Government of the Russian Federation on Cooperation in the field of Protection and Sustainable Use of Transboundary Watercourses	August 20, 1997 (Moscow)
31. Agreement between the Government of the Republic of Estonia and the International Atomic Energy Agency for the Application of Safeguards in connection with the Treaty on the Non-proliferation of Nuclear Weapons	November 18 (24), 1997 (Vienna/Tallinn)
32. Agreement between the Ministry of the Environment of Estonia and the Ministry of Interior of Denmark on Co-operation and Technical Assistance in the field of Nuclear Safety, Radiation Protection and Nuclear Emergency Preparedness and Response	January 14, 1998 (Tallinn)
33. Agreement between the Government of the Republic of Estonia and the Government of the Kingdom of Sweden on cooperation on activities implemented join exchange of notes	March 16, 1998/June 10, 1998
34. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on water protection	February 12, 1999 (Tallinn)
35. Memorandum of Understanding between the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environment of the Republic of Finland (Activities Implemented Jointly)	February 12, 1999 (Tallinn)
36. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of Environmental Protection and Regional Development of the Republic of Latvia on Management of Nature Conservation in Transboundary Context	January 27, 2000 (Tallinn)
37. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of Environment of the Republic of Hungary on Environmental and Nature Protection	June 19, 2000 (Szentendre)
38. Agreement between the European Community and the Republic of Estonia concerning the participation of the Republic of Estonia to the European Environment Agency and the European Environment Information and Observation Network	October 9, 2000 (Brussels)
39. Agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland on Environmental Impact Assessment in a Transboundary Context	February 21, 2002 (Helsinki)
40. Declaration by the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environment of the Land of Mecklenburg-Vorpommern on Co-operation in the fields of Environmental and Nature Protection	March 12, 2002 (Castle Granitz/Binz)
41. Memorandum between the Ministry of the Environment of the Republic of Finland, the Ministry of the Environment of the Republic of Estonia on the Provision of Support to the Project for Water and Waste Accession Program for 17 Small Municipalities in Estonia	September 30, 2002 (Tallinn)

42. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of the Environment and Natural Resources of Ukraine on Cooperation in the field of Environmental Protection	October 14, 2002 (Kiev)
43. Memorandum of understanding between the European Community and the Republic of Estonia on Estonia's participation in the Community action programme promoting non-governmental organizations primarily active in the field of environmental protection	September 27, 2002 (Tallinn)
44. Agreed record of conclusions of fisheries consultations between delegations of the Republic of Latvia and the Republic of Estonia	November 1, 2002 (Riga)
45. Agreement on joint implementation of emission reductions of greenhouse gases between the Government of the Republic of Estonia and the Government of the Republic of Finland	December 17, 2002 (Tallinn)
46. Memorandum of understanding on co-operation between the Government of the Republic of Estonia and the Government of the Netherlands in reducing emissions of greenhouse gases under article 6 of the Kyoto Protocol	September 9, 2003 (Tallinn)
47. Memorandum of understanding between the Government of the Republic of Estonia and the Government of the Kingdom of Denmark on co-operation for the implementation of the Kyoto Protocol to the UN Framework Convention on Climate Change	September 25, 2003 (Tallinn)
48. Project agreement between the Government of the Republic of Estonia and the Government of the Republic of Finland concerning Paide Bioenergy JI project	October 10, 2003 (Tallinn)
49. Agreement between the Ministry of the Environment of the Republic of Estonia and the Ministry of Environment of the Republic of Latvia on co-operation in protection and sustainable use of trans-boundary water courses	October 24, 2003 (Palanga)
50. Memorandum of Understanding between the Department for Environment, Food and Rural Affairs of the United Kingdom, Environment Protection Agency of Denmark, Energy Market Authority of Finland, Ministry of Environment and Territory of Italy, Ministry of Climate Change and Industry of Netherlands, Norwegian Ministry of the Environment, Ministry of the Environment, Spatial Planning and Energy of Slovenia, Lithuanian Environmental Investment Fund, the Swedish Energy Agency, Environment Protection Agency – Ireland and Ministry of Environment – Republic of Estonia concerning a Generic and UN/EU Compatible Registry System	November 15, 2004 (Tallinn)
51. Joint Implementation agreement between the Minister of the Environment of the Republic of Estonia and the Minister for the Environment of the Kingdom of Denmark concerning Türisalu Wind Farm project	December 14, 2004 (Buenos Aires)

ILO conventions ratified by Estonia during 1922-2002			
Nr	Name	Adopted	Ratified by Estonia
C2	Unemployment Convention, 1919	1919	1922
C5	Minimum Age (Industry) Convention, 1919	1919	1922
C6	Night Work of Young Persons (Industry) Convention, 1919	1919	1922
C7	Minimum Age (Sea) Convention, 1920	1920	1922
C8	Unemployment Indemnity (Shipwreck) Convention, 1920	1920	1923
C9	Placing of Seamen Convention, 1920	1921	1923
C10	Minimum Age (Agriculture) Convention, 1921	1921	1922
C11	Right of Association (Agriculture) Convention, 1921	1921	1922
C12	Workmen's Compensation (Agriculture) Convention, 1921	1921	1922
C13	White Lead (Painting) Convention, 1921	1921	1922
C14	Weekly Rest (Industry) Convention, 1921	1921	1923
(C15)	Minimum Age (Trimmers and Stokers) Convention, 1921	1921	1922
C16	Medical Examination of Young Persons (Sea) Convention, 1921	1921	1922
C19	Equality of Treatment (Accident Compensation) Convention, 1925	1925	1930
(C20)	Night Work (Bakeries) Convention, 1925	1925	1929
C22	Seamen's Articles of Agreement Convention, 1926	1926	1929
C23	Repatriation of Seamen Convention, 1926	1926	1929
C27	Marking of Weight (Packages Transported by Vessels) Convention, 1929	1929	1932
C29	Forced Labor Convention, 1930	1930	1995
C41	Night Work (Women) Convention (Revised), 1934	1934	1935
C45	Underground Work (Women) Convention, 1935	1925	1937
C53	Officers' Competency Certificates Convention, 1936	1936	1938
C87	Freedom of Association and Protection of the Right to Organize Convention, 1948	1948	1993
C98	Right to Organize and Collective Bargaining Convention, 1949	1949	1993
C100	Equal Remuneration Convention, 1951	1951	1996
C105	Abolition of Forced Labor Convention, 1957	1957	1995
C108	Seafarers' Identity Documents Convention, 1958	1958	1996
C122	Employment Policy Convention, 1964	1964	2002
C135	Workers' Representatives Convention, 1971	1971	1995
C144	Tripartite Consultation (International Labor Standards) Convention, 1976	1976	1993
C174	Prevention of Major Industrial Accidents Convention, 1993	1993	2000
C182	Worst Forms of Child Labor Convention, 1999	1999	2001

Annex 3: List of officially endangered species in Estonia.

Species protection is regulated in Estonia by Nature Conservation Act (in Estonian *Looduskaitse seadus*, available at www.riigiteataja.ee). According to the Nature Conservation Act protected species are divided into I, II and III category protected species, according to the status of their endangerment, with category I as the most endangered and strictly protected species. Protection rules for all protected species are described in the Nature Conservation Act and special protection plans prepared for some species.

The official lists of I and II category species is available in a regulation document issued by Government of Estonian Republic. The document is called „List of I and II protection category species to be protected” (I ja II kaitsekategooriana kaitse alla võetavate liikide loetelu) and it is available for download at www.riigiteataja.ee.

The official lists of III category species is available in a regulation document issued by Estonian Minister of Environment. The document is called „Protection of III protection category species” (III kaitsekategooria liikide kaitse alla võtmine) and it is available for download at www.riigiteataja.ee.

Annex 4: Glossary of terms²

Biological diversity: The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems. (see Convention on Biological Diversity, 1992)

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

Biological diversity values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components. (see Convention on Biological Diversity, 1992)

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

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

Criterion (pl. Criteria): A means of judging whether or not a Principle (of forest stewardship) has been fulfilled.

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

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

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

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

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

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

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

² from FSC Principles and Criteria for Forest Stewardship FSC-STD-0120-0015 (February 2000(draft 2-0) and FSC glossary of terms, FSC-STD-01-002 (draft 1-0)

Forest stewardship: forest management which, in conformity with the FSC Principles and Criteria for Forest Stewardship, is environmentally responsible, socially beneficial, and economically viable.

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

Indicator: a quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a forest management unit complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the forest management unit and are the primary basis of forest evaluation.

Indigenous lands and territories: The total environment of the lands, air, water, sea, sea-ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used. (Draft Declaration of the Rights of Indigenous Peoples: Part VI)

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

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

a) forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance

b) forest areas that are in or contain rare, threatened or endangered ecosystems

c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)

d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

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

Local laws: Includes all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms.

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

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

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

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

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

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

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

Precautionary approach: Tool for the implementation of the precautionary principle.

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

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

SLIMF (small or low intensity managed forest): a forest management unit which meets specific FSC requirements related to size and/or intensity of timber harvesting, and can therefore be evaluated by certification bodies using streamlined evaluation procedures. The applicable FSC requirements are defined in *FSC-STD-01-003 SLIMF Eligibility Criteria*.

Stakeholder: individuals and organizations with a legitimate interest in the goods and services provided by an FMU; and those with an interest in the environmental and social effects of an FMU's activities, products and services. They include: those individuals and organizations which exercise statutory environmental control over the FMU; local people; employees; investors and insurers; customers and consumers; environmental interest and consumer groups and the general public [modified from Upton and Bass, 1995].

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

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

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

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

Annex 5: Summary of the SmartWood Certification Assessment Process³

The certification assessment process begins with a candidate operation submitting an application to SmartWood. Based upon a review of the application, the scope of the area to be certified and discussions with the candidate, SmartWood will propose a certification process that includes either a preassessment followed by a main assessment, or goes directly to a main assessment. Every candidate operation is assigned a SmartWood task manager who will liaise with the assessment lead auditor and the candidate to schedule and perform the evaluations.

SmartWood assessors are provided with detailed guidance on the certification process, including pre-assessment briefings (either in person or by telephone) and access to a written SmartWood handbook for forest assessment. The purpose of these briefings and the manual is to ensure that a consistent and thorough certification process is followed.

In addition to following the SmartWood procedures outlined in our forest evaluation handbook, there are three other ways in which we ensure accuracy and fairness in our certifications:

1. The assessment must involve individuals who are familiar with the particular region and type of forest management operation under evaluation. It is SmartWood policy to involve local specialists in all assessments.
2. Team members must be familiar with SmartWood certification procedures. Each SmartWood certification assessment has a designated lead auditor who must have participated in a formal SmartWood assessor-training course or previously participated in other SmartWood forest management assessments or audits.
3. The assessment must use region-specific standards (i.e. accredited FSC standard or a “regionalized” SmartWood Interim Standard, based on this SmartWood Generic Standard).

Team Selection and Planning – SmartWood selects a qualified lead auditor and other team members to participate in the assessment. The lead auditor’s first task is to ensure that all team members understand the scope and intent of the assessment process. Responsibility for evaluation of different sections (i.e. specific criteria and indicators) of the standard are assigned to different team members, depending on their particular training and expertise. All team members can provide input into any principle, but lead responsibility is assigned for data collection, analysis and writing for each criterion and indicator.

Stakeholder notification: At least 30 days prior to forest evaluation, SmartWood notifies stakeholders of the pending assessment and requests stakeholders’ observations or comments with regard to the operations compliance with the certification standard.

Fieldwork and Data Collection – Evaluation of conformance with the standard is based upon data collection by the auditors through review of FME management documentation, interviews with staff and stakeholders, and field observations and measurements. The team organizes opening meetings with the FME staff to review the assessment scope and procedures and certification standards. Documentation review and interview with FME staff begin immediately. The assessment process then moves quickly to the field phase. Inspections are made to sites chosen by SmartWood assessors based on a comprehensive review of the candidate FME’s forest holdings and management activities, discussions with interested/affected parties, and

³ For detailed information about procedures, contact our headquarters or regional offices through www.smartwood.org.

identification of critical issues or challenging sites. Site visits occur in the forest, at processing facilities, and in surrounding communities. Visits emphasize management activities of all types and phases and different biological or physical conditions.

Team members meet independently with stakeholders. All assessments solicit and incorporate input (confidential and/or open) from directly affected and/or knowledgeable stakeholders, including local communities, adjoining landowners, local forest industry, environmental organizations, government agencies, and scientific researchers. During these consultations, assessment team members explain the assessment process, solicit opinions, and gather impressions about the field performance of the operation being assessed.

Data Analysis and Decision making – Throughout the assessment the team meets independently to discuss progress in gathering information, and discuss preliminary findings. The assessment team works in a consensus fashion to analyze information and evidence gathered, evaluate conformance and reach agreement on their findings as to the certification of the candidate operation.

The assessment team evaluates performance by the FME at the indicator level of the standard. Any non-conformances are analyzed and classified as either minor or major. A noncompliance is considered major if it results in a fundamental failure to achieve the objective of the relevant criterion in the standard. Conversely, a nonconformance is considered minor if the impacts are limited in scale, prompt corrective action has been taken to ensure it will not be repeated and it does not result in a fundamental failure to achieve the objective of the relevant criterion. For each area of nonconformance identified, the assessment team develops corrective actions which are classified as follows:

- **Major Corrective Action Request (CAR)** is an improvement addressing major nonconformance that candidate FME must implement before SmartWood certification is granted;
- **Corrective action request (CAR)** is an improvement addressing a minor nonconformance that candidate FME must implement by a specific deadline (i.e. short term - usually within one year) during the renewable five-year certification period (which is the standard FSC certification contract period); and,
- **Observation** is a very minor problem or the early stages of a problem which do not of itself constitute a non-conformance, but which the auditor considers may lead to a future non-conformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a nonconformance in the future.

Report Write-up – following the forest evaluation, the team prepares the certification assessment report. This report follows a standardized format and includes detailed findings of performance and proposes pre-conditions, CARs or observations.

Review of Assessment Report by Candidate Operation, Independent Peer Reviewers and SmartWood Report Review – the candidate operation, at least one peer reviewer, and SmartWood regional staff, review each certification assessment report.

Certification Decision – Once the above steps are completed, SmartWood headquarters coordinates a certification decision process. If a certification decision is to approve certification, a five-year certification contract will be executed which requires annual on-site audits. If an operation is not approved, the certification decision will establish what must be done in order for the operation to achieve certified status in the future.