

## **Scientific Certification Systems**

**Forest Conservation Program- Interim Standard for China, version 1.0, 2/23/09**

### **FCP Interim Standard For Natural and Plantation Forest Management Certification in China Under the Forest Stewardship Council**

#### **A. INTRODUCTION**

This document contains the China Interim Standard used by Scientific Certification Systems. The scope of these standards includes both natural and plantation forests. Once there is an official FSC accredited standard for use in China, all further evaluations will be done against said standard. This standard complies with all applicable FSC International policies, standards, and advice notes. This standard was developed by adapting the SCS Generic Interim Standard for local application in China. The adaptation process included reviewing other Chinese forest certification standards in use and relevant local laws, as well as soliciting input from local auditors, stakeholders, and others familiar with forest certification in China.

#### **B. STANDARD USE**

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

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

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### 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.

- 1.1. Forest management shall respect all national and local laws and administrative requirements. **Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

#### Performance Indicators:

- 1.1.1) An up-to-date register (reference list) of all pertinent statutes and bodies of regulations is maintained and is available to forest managers; summaries of key regulations are kept in field offices

*For example, copies of the Forest Law of the People's Republic of China and Regulations for the Implementation of Forest Law of the People's Republic of China are kept in the FMU offices.*

- 1.1.2) The frequency and nature of regulatory violations shall not be indicative of widespread and systemic non-compliance; when violations occur, forest managers act promptly to correct and remediate the circumstances associated with the violation **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

- 1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.

#### Performance Indicators:

- 1.2.1) There is no evidence of chronic non-payment; rather, payments are regularly made in a timely manner
- 1.2.2) Up-to-date records are kept of all payments and are available to the SCS auditor(s)

- 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.

#### Performance Indicators:

- 1.3.1) Forest managers are aware of which binding international agreements apply to the nation in which their forest operations reside (see Annex 2)
- 1.3.2) Forest managers demonstrate a sensitivity to all binding international agreements and endeavor to respect their requirements, at a level of effort scaled to the size and intensity of the forest operation

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- 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 by the involved or affected parties.

### Performance Indicators:

- 1.4.1) Forest managers are forthright in informing the SCS auditor(s) of any possible conflicts between laws, regulations and the FSC Principles and Criteria
  - 1.4.2) Forest managers are willing to participate in appropriate processes for resolving conflicts, at the request of SCS and/or the FSC
- 1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.

### Performance Indicators:

- 1.5.1) The management plan contains express policies stating that the defined forest area shall be protected from illegal harvesting, settlement and other unauthorized activities
  - 1.5.2) Forest managers conduct regular surveillances of the defined forest area so that unauthorized activities are promptly found and controlled
- 1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria. **Note: Non-conformance to this Criterion constitutes a Major Failure and precludes award of certification until appropriately corrected.**

### Performance Indicators:

- 1.6.1) In the management plan, or another appropriate document of broad public availability, there is an express statement of commitment to the FSC Principles and Criteria
- 1.6.2) Written copies of the FSC Principles and Criteria are available to all management and field personnel; forest managers demonstrate a general conversancy with the P&C
- 1.6.3) If the defined forest area for which certification is being sought does not constitute the entire ownership, management activities on the portions of the ownership not undergoing certification evaluation are generally compatible with the P&C and conform to the current FSC requirements on partial estate certification

## PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES

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Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.

- 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. **Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

### Performance Indicators:

- 2.1.1) There is bonafide, written documentation of legal use rights to the defined forest area undergoing the certification evaluation.

*Legal use rights may be associated with:*

- *fee-simple ownership*
- *long-term or renewable lease rights*
- *long-term or renewable exclusive management agreements*
- *other mechanisms allocating long-term or renewable management rights and responsibilities to the forest manager*

*For example: forest managers have on hand the forest tenure certificate issued by the responsible agencies such as government above the county level or the forestry administration department authorized by the State Council (CFCC 4.4.1)*

- 2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.

### Performance Indicators:

- 2.2.1) Local communities, and/or other stakeholders with duly recognized legal or customary tenure or use rights within the defined forest area have been identified and the nature of these rights are described and documented

*Examples of legal or customary tenure or use-rights may include:*

- *public rights of way*
- *established easements*
- *collection of non-timber forest products*
- *hiking, fishing, hunting, or other recreation*
- *firewood collection*
- *visitation of culturally significant sites*

- 2.2.2) The forest manager allows customary and permitted uses by local communities, provided the uses are not detrimental to forest resources and management objectives
- 2.2.3) Forest managers maintain positive/collaborative working relationships with holders of duly recognized legal or customary tenure or use rights

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2.2.4) Allocation of duly recognized legal or customary tenure or use rights by local communities to other parties is documented in writing, with evidence of free and informed consent

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.

### Performance Indicators:

2.3.1) Records are kept of past disputes over tenure claims and use rights, to a level of detail sufficient to enable the SCS auditor(s) to ascertain the nature and magnitude of the disputes

2.3.2) Forest managers conform to the *Measures for Dispute Settlement on Timber and Forest Land Tenure* (1996) when resolving disputes over tenure claims and use rights

2.3.3) The magnitude and severity of unresolved tenure claims and use rights disputes are minor, relative to the scale of forest management operations

## PRINCIPLE #3: INDIGENOUS PEOPLES' RIGHTS

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

3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies. **Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

### Performance Indicators:

3.1.1) Forest managers seek to determine if there are areas within the defined management unit to which indigenous peoples have customary or traditional rights to forest resources. Such areas are demarcated on maps.

3.1.2) If the defined forest area is comprised of or includes lands or territories duly owned or controlled by indigenous peoples, management of said lands is either: i) under the control of the indigenous peoples or ii) undertaken by other parties to whom free and informed consent to manage has been granted, and appropriately documented, by appropriate indigenous representatives

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- 3.1.3) Where rights and use issues involving indigenous peoples are in dispute, an appropriate process for addressing and resolving grievances is in place and being actively utilized by the forest managers/owners
- 3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.

### Performance Indicators:

- 3.2.1) Forest managers demonstrate, through policies and actions, a sensitivity to the resources and tenure rights of indigenous peoples
- 3.2.2) As appropriate, indigenous peoples are afforded opportunities to participate in management planning, research, and monitoring on forest areas associated with indigenous resources and tenure rights
- 3.2.3) Forest managers solicit—through effective consultative mechanisms—the concerns and perspectives of potentially affected indigenous peoples; the results of such consultation are documented, including the actions taken to reasonable accommodate concerns and perspectives that have been received
- 3.2.4) The forest manager maintains and respects the traditional and authorized rights of indigenous peoples to enter and use the forest, provided the uses are not detrimental to forest resources and management objectives
- 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.

### Performance Indicators:

- 3.3.1) Management activities with potential impacts to sites of special cultural, ecological, economic or religious significance to indigenous peoples are guided by the precautionary principle

Examples of sites may include:

- ceremonial, burial, or village sites
- areas used for hunting, fishing, or trapping
- areas used for gathering of sustenance and culturally important materials

- 3.3.2) Forest managers engage in affirmative procedures for identifying and appropriately protecting sites of special cultural or religious significance; the processes for identifying, mapping, and protecting such sites are documented; the management plan contains express written policies for the identification and protection of such sites
- 3.3.3) Field workers are appropriately trained in the procedures employed for protecting sites of special significance to indigenous peoples

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- 3.3.4) Confidential maps recording the locations of sites of special significance are maintained up-to-date and are used by forest managers and field workers
- 3.3.5) As appropriate, indigenous peoples are afforded opportunities to participate in the identification and protection of sites of special cultural, ecological, economic or religious significance within the defined forest area. These opportunities comply with:
- *Forest Law of the People's Republic of China (1984, revised in 1998);*
  - *Property Right Law of the People's Republic of China (2007)*
- 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.

### Performance Indicators:

- 3.4.1) If commercial utility is created through application of traditional knowledge, forest managers seek to compensate, through appropriate mechanisms, those indigenous peoples with whom the traditional knowledge is associated
- 3.4.2) Where indigenous intellectual property and forest products are used commercially, compensation for individuals and/or tribes is agreed upon in writing, with their free and informed consent, prior to commercialization

## 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.

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

### Performance Indicators:

- 4.1.1) Qualified people in local communities are given preferential opportunities in employment and contracting; the forest management operation actively targets the local workforce

*Examples may include:*

*-employment and contractual opportunities offered locally before they are offered outside the region*

- 4.1.2) Forest managers contribute to or directly develop training programs designed to enhance the capabilities and qualifications of local workers

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- 4.1.3) Forest managers give preference to local vendors of equipment and miscellaneous services, subject to cost considerations

*Examples may include:*

*-timber being offered to local processors before being sold out of the region  
-utilization of local banks, insurance companies, etc.*

- 4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.

Performance Indicators:

- 4.2.1) The forest management operation demonstrates a priority towards worker safety; there is an active safety and emergency training program, appropriate to the scale of operations
- 4.2.2) Written guidelines and policies, appropriate to the scale of operations, exist for workplace health and safety
- 4.2.3) Personal protective equipment is made available to all workers; workers are trained in its use
- 4.2.4) All equipment is periodically inspected and tested for safety performance; equipment deemed unsafe or in inappropriate condition is replaced
- 4.2.5) At a minimum, forest managers comply with labor and safety laws including the *Labor Law of the People's Republic of China (2007)*, *Production Safety Law of the People's Republic of China (2002)* and other applicable laws and regulations.
- 4.2.6) Forest managers maintain up-to-date safety records; such records indicate exemplary performance relative to industrial norms
- 4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organization (ILO). **Note: Non-conformance to this Criterion constitutes a Major Failure and precludes award of certification until appropriately corrected.**

Performance Indicators:

- 4.3.1) Forest managers, by their actions and policies, respect the rights of workers to organize or join trade unions and to engage in collective bargaining. Managers comply with:
- *Labor Law of the People's Republic of China (2007)*
  - *Worker's Union Law of the People's Republic of China (1992, revised in 2001)*
- 4.3.2) Issues and grievances raised by workers and/or their organizations are investigated fairly and objectively

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- 4.3.3) There are documented procedures for conflict resolution
- 4.3.4) As appropriate, forest workers are afforded opportunities to participate in the decision-making process of the forest management operation
- 4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.

### Performance Indicators:

- 4.4.1) Management activities and policies are modified, as appropriate, in response to the results of social impact assessment performed by either the forest managers or a third party
- 4.4.2) Forest managers engage in regular communications with neighbors and other stakeholders within the local communities; to the extent practicable, management policies and activities are sensitive to stakeholder concerns and expectations
- 4.4.3) A mechanism is in place for neighbors and stakeholders to communicate and consult with the forest managers. Documented follow-up occurs for complaints and concerns.
- 4.4.4) The forest management operation can be fairly characterized as a “good neighbor” within the regional context
- 4.4.5) Forest managers endeavor to keep neighbors and members of the community informed as to planned activities on the defined forest area

For FMU’s meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 4.4.6) Forest managers engage in regular communications with neighbors and other stakeholders within the local communities; to the extent practicable, management policies and activities are sensitive to stakeholder concerns and expectations
- 4.4.7) The forest management operation can be fairly characterized as a “good neighbor” within the regional context
- 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.

### Performance Indicators:

- 4.5.1) Where they exist and can be established according to bonafide procedures, preferably within legal frameworks, forest managers recognize and respect legal

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- or customary rights that are subject to influence from management activities on the defined forest area
- 4.5.2) Forest managers endeavor, through actions and policies, to avoid adverse impacts to the property, resources and/or livelihoods of local peoples
  - 4.5.3) Adequate procedures are employed for resolving grievances and providing fair compensation where forest operations lead to loss or damage to property, resources, livelihoods and/or legal or customary use rights of local peoples

### **PRINCIPLE #5: BENEFITS FROM THE FOREST**

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.

- 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.

#### Performance Indicators:

- 5.1.1) The forest operation has sufficient financial capital and human resources to implement the management plan, over the long run
  - 5.1.2) The full costs of forest management, including environmental and social costs, are considered and adequately covered by the financial resources of the forest operation
  - 5.1.3) Adequate investments of capital, machinery and human resources are made so as to maintain or restore the productive capacity, ecological integrity and socio-economic profile of the define forest area
  - 5.1.4) Commercial (income generating) activities are financially viable, given short and medium-term market conditions and costs
- 5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.

#### Performance Indicators:

- 5.2.1) Management and marketing policies, as well as field-level decisions, systematically assure that commercial forest products are being sold for their highest and best uses

*Examples may include:*

*-new products are explored and developed for common but less used species*

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*-access to new markets is explored and developed*

- 5.2.2) Forest managers strive to diversify the mix of commercial products by managing for non-timber forest products such as fruit, oil-producing plants, food, beverages, mushrooms, medicinal herbs, etc.
- 5.2.3) The forest operation has a demonstrated track record of favoring or encouraging local processing of wood products
- 5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.

### Performance Indicators:

- 5.3.1) Harvesting operations minimize waste and residual stand damage

*Examples may include:*

*-bumper trees and directional felling techniques are used to minimize unintentional tree damage*

- 5.3.2) Yarding and log sorting operations minimize product wastage, de-grade and foregone revenue opportunities
- 5.3.3) Log landings are kept to a minimum practicable number and size and are located so as to minimize adverse environmental impacts
- 5.3.4) Where on-site processing takes place, the footprint of the milling facility is kept to the smallest practicable size; the processing facilities are located in the most environmentally benign locales as well as in locations where losses to productive forest area are minimized
- 5.3.5) While minimizing undue waste, forest managers establish field guidelines that recognize the ecological value of biomass (e.g., tops and branches) being left on site; forest managers have written guidelines for retention of downed woody debris and standing snags within harvest areas
- 5.4) Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.

### Performance Indicators:

- 5.4.1) Forest managers can demonstrate their efforts to diversify the mix of commercial products recovered from the forest and marketed
- 5.4.2) Forest managers can demonstrate efforts taken to encourage local value-added processing

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- 5.4.3) Where market opportunities exist and where such use does not compromise the ecological health of the forest, the marketing of non-timber forest products and services is undertaken by forest managers

*Examples may include:*

*-compatible uses such as recreation, ecotourism, hunting, fishing, specialty product harvesting, Christmas tree cutting, etc.*

- 5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.

### Performance Indicators:

- 5.5.1) The management plan addresses the full range of forest services associated with the defined forest area including: municipal watersheds, commercial and recreational fisheries (or the supply of water to downstream fisheries), visual quality, contributions to regional biodiversity, recreation and tourism
- 5.5.2) Timber management activities are designed and implemented, spatially and temporally, with due consideration to the impacts on other forest services
- 5.5.3) Forest managers demonstrate an awareness of and sensitivity to non-timber forest services, many of which may not generate income
- 5.5.4) Forest managers engage in regular dialogue with stakeholders and advocates of forest services that are subject to impact from forest operations
- 5.6) The rate of harvest of forest products shall not exceed levels that can be permanently sustained.

### Performance Indicators:

- 5.6.1) Appropriate to the scale of operations and the frequency of commercial activity, timber harvesting is guided by a timber management plan that includes a calculated periodic allowable harvest. The harvest plan is submitted to the superior forest administration for approval.
- 5.6.2) Average annual harvests do not exceed the calculated allowable harvest **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**  
The forest manager complies with:
- *Interim Regulations on Developing Annual Forest Harvest Quota*
- 5.6.3) Appropriate to the scale of operations and the frequency of commercial activity, estimates of total periodic timber growth on the defined forest area—by species categories—are generated through a combination of empirical data and published literature; growth estimates are conservative

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- 5.6.4) Harvest levels shall be set such that inventories of desired species increase over time, unless it is established (in the management plan) that current inventories (measured in average standing volume per hectare) exceed optimal levels
- 5.6.5) For operations entailing regular annual harvesting, the 10-year rolling average harvest level does not exceed average annual increment
- 5.6.6) For smaller operations that do not harvest annually, the frequency and intensity of harvest entries is set such that inventory levels are allowed to recover—and increase, as appropriate—between entries
- 5.6.7) When harvesting non-timber forest products, management strategies incorporate the best available monitoring and inventory data to ensure a sustainable rate of harvest

### **PRINCIPLE #6: ENVIRONMENTAL IMPACT**

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

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

#### **Performance Indicators:**

- 6.1.1) Project (site)-level environmental impact assessments, scaled to the size and complexity of operations, are systematically completed prior to commencement of site disturbing activities
- 6.1.2) In addition to project-level assessments, forest managers also complete landscape-level environmental impact assessments in which the cumulative effects of forest operations are considered
- 6.1.3) To provide background for environmental impact assessments, the regional, sub-regional, and landscape environmental context of the defined forest area is established and documented (preferably in the management plan), consistent with the scale and intensity of operations
- 6.1.4) Planned management activities are appropriately modified based upon the results of the environmental impact assessments in order to minimize adverse impacts

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

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6.1.5) The forest operation demonstrates knowledge of the possible negative impacts of its activities and seeks to minimize them.

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.

### Performance Indicators:

6.2.1) Forest managers forge positive and collaborative working relationships with pertinent officials from local, state and federal agencies charged with enforcing endangered species statutes

6.2.2) "Listed" species, their habitats, and sites with unusually high species and/or ecosystem diversity are identified through field surveys or other sources and are protected or managed at a level sufficient to ensure that viable populations are maintained or restored; the level of effort should be scaled to the size and complexity of the forest operation

6.2.3) Field employees are trained in the recognition of endangered species and their habitats

6.2.4) Areas of critical habitat for listed species are duly delineated, appropriately managed, and recorded on maps of appropriate scale

6.2.5) Illegal and inappropriate hunting, fishing, trapping, or collecting of rare, threatened, or endangered species is controlled and minimized

6.2.6) Hunting, fishing, trapping, and collecting activities are consistent with laws and regulations on wildlife protection; appropriate licenses are obtained in accordance with the law and these activities do not exceed the legal volume quotas.

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

6.2.7) Measures are in place to control illegal and inappropriate hunting, fishing, trapping, and collecting

6.2.8) Where information exists on rare, threatened and endangered species and their habitats, the forest manager uses this information to map and protect them.

6.2.9) Habitat features that are important for conservation are identified and protected.

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6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including:

- a) Forest regeneration and succession.
- b) Genetic, species, and ecosystem diversity.
- c) Natural cycles that affect the productivity of the forest ecosystem.

Performance Indicators:

6.3.1) Known ecological functions and values are described in the management plan and updated periodically as additional information/knowledge is acquired; forest managers take affirmative steps to eliminate gaps in information and knowledge about ecological functions within the defined forest area

6.3.2) Subject to the scale of operations, the forest is managed so as to maintain a full range of successional stages at distributions within the range of natural variability

6.3.3) The management plan incorporates principles of landscape and ecosystem-based planning; the plan contains goals pertaining to biological diversity for the range of spatial scales from genetic diversity to landscape diversity

6.3.4) Harvesting prescriptions maintain, enhance or restore natural forest composition; management is aimed at maintaining all naturally occurring species

6.3.5) Harvesting is designed and laid out, over time and space, with consideration of the types, sizes and frequency of natural disturbances as well as connectivity of wildlife habitats

6.3.6) Regeneration after final harvests are timely and successful; young stands, either planted or naturally established, are well-stocked with desired species, vigorous and on the trajectory to healthy merchantable stands

6.4. 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.

Performance Indicators:

6.4.1) Forest managers review the amount of representative samples of existing ecosystems protected within the regional landscape

6.4.2) Where deficiencies exist within the landscape, forest managers take actions to make contributions to the network.

6.4.3) Protected areas within the defined forest area are delineated on maps and protection policies are included in the management plan

For FMU's meeting requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

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- 6.4.4) Representative samples of ecosystems are identified, recorded on maps, and excluded from the harvesting area. If existing representative samples of ecosystems are already adequately protected on other private or public properties within the region then no additional samples need to be identified and protected
- 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 to protect water resources.

### Performance Indicators:

- 6.5.1) The management plan, or another pertinent policy document, contains express written guidelines for effectively minimizing soil erosion and damage to forest vegetation as a result of site disturbing activities
- 6.5.2) The management plan, or another pertinent policy document, contains provisions for protecting water resources (e.g., stream courses and adjoining riparian areas, wetlands, seeps and springs) found within the defined forest area
- 6.5.3) Forest managers and forest workers demonstrate a working knowledge of these protection guidelines and, in fact, systematically implement them in day-to-day operations
- 6.5.4) All watershed, riparian, and aquatic features are identified, classified, and mapped
- 6.5.5) Road construction, maintenance and closure standards are followed in the field; road surfaces are well drained, culverts are large enough to accommodate peak flow, and water bars are appropriately installed
- 6.5.6) Areas with extremely unstable slopes and exposed rocks are only logged based on forest fostering. Harvesting complies with:
- *Measures of Harvesting and Fostering by the State*
- 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 agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks. **Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

### Performance Indicators:

- 6.6.1) All chemical pesticide use occurs within the context of an integrated pest management program; pesticides are only used when non-chemical management has been proven ineffective

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6.6.2) A complete and up-to-date list of all chemical pesticides used on the defined forest area shall be maintained and made available to the SCS auditor(s); no chemicals prohibited under criterion 6.6 are used unless a formal derogation has been granted by the FSC. Chemical use complies with:

- *Regulations on Forest Disease and Pest Control of the People's Republic of China*

**Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

6.6.3) All pesticide use is guided by site-specific written prescriptions designed to avoid human and environmental hazard and to maximize efficacy of use

6.6.4) Field personnel applying pesticides are properly licensed (where applicable) and trained; appropriate equipment and gear to assure safe application is used by field personnel

6.6.5) Forest managers demonstrate a commitment to reducing, and in due course eliminating, planned reliance upon chemical pesticides

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.

### Performance Indicators:

6.7.1) Toxic chemicals and their containers are disposed of, off site, in an environmentally sound and legal manner

6.7.2) There are contingency plans and procedures for prevention and cleanup following spills or other accidents involving chemical pesticides, oils and fuels

6.7.3) There are on-site facilities for secure collection of waste, including oil and fuel

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.

### Performance Indicators:

6.8.1) There shall be no use (defined as commercial use as well as research) of genetically modified organisms within the defined forest area **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

6.8.2) All use of biological control agents takes place within the context of an integrated pest management program that will document, minimize, monitor, and strictly control their application

6.8.3) Use of biological control agents takes place only where demonstrably necessary and only under strict protocols in compliance with applicable laws and regulations

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6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.

### Performance Indicators:

6.9.1) Exotic species (tree species as well as other flora and fauna) are introduced into the defined forest area only after active investigation demonstrates that they are not invasive

6.9.2) Exotic species use is governed by written guidelines for controlling off-site regeneration; active ongoing monitoring is mandatory

6.9.3) In areas where invasive exotic plants are problematic, forest owners or managers develop and implement appropriate control measures

6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:

a) entails a very limited portion of the forest management unit; and

b) does not occur on high conservation value forest areas; and

c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit. **Note: Non-conformance to this Criterion constitutes a Major Failure and precludes award of certification until appropriately corrected.**

### Performance Indicators:

6.10.1) No more than 5% of the defined forest area has (since 1994) or will be converted to non-forest land or plantations (as defined by the FSC)

6.10.2) Areas of high conservation value are not being converted to plantations or non-forest land

6.10.3) Forest managers are able to demonstrate the conservation long-term benefits of converting portions of the defined forest area to plantations or non-forest land

## PRINCIPLE #7: MANAGEMENT PLAN

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

7.1. The management plan and supporting documents shall provide:

a) Management objectives.

b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.

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- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.
- d) Rationale for rate of annual harvest and species selection.
- e) Provisions for monitoring of forest growth and dynamics.
- f) Environmental safeguards based on environmental assessments.
- g) Plans for the identification and protection of rare, threatened and endangered species.
- h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.
- i) Description and justification of harvesting techniques and equipment to be used.

### Performance Indicators:

7.1.1) Appropriate to the scale, intensity, and complexity of operations, there shall be a written management plan for the defined forest area that addresses the subjects and plan components enumerated in this criterion, above.

The plan complies with the following relevant Chinese Laws:

- *Outlines for Developing and Implementing Forest Management Plan (2006) (State Forestry Administration)*
- *Forest Law of the People's Republic of China (1984, revised in 1998),*
- *Regulations for the Implementation of the Forest Law of the People's Republic of China (1986, revised in 2000),*
- *LY/T 1607-2003 Codes for the Design of Afforestation Operations (2003)*
- *LY/T 1706-2007 Technical Codes for Breeding Fast-growing and High-yielding Timber Forest (2007)*
- *GB/T 1690-2004 Technical Codes for Mountain (Sand) Closure (2004)*
- *LY/T 1690-2007 Technical Codes for the Improvement of Low-yielding Forest (2007)*

**Note: Non-conformance to this Indicator constitutes a Major Failure and precludes award of certification until appropriately corrected.**

7.1.2) The management plan contains both long term goals and objectives as well as short and near term tactical direction

7.1.3) There are sufficient resources invested in plan development so as to produce a functional and effective management plan

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

7.1.4) A written management plan exists and is implemented. The management plan includes at least the following:

- a) the objectives of management
- b) a description of the forest
- c) how the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability
- d) sustainable harvest limits (which must be consistent with FSC criteria 5.6)
- e) plans for monitoring forest growth

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- f) environmental/ social impacts of the plan
  - g) conservation of rare species and any high conservation values
  - h) maps of the forest, showing protected areas, planned management and land ownership
  - i) Pest and weed control planned
  - j) Duration of the plan
- 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.

### Performance Indicators:

- 7.2.1) The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations
- 7.2.2) Forest managers maintain conversancy in emerging scientific and technical information pertinent to the management of the defined forest area
- 7.2.3) Over time, the management plan is kept current and relevant; as such, the plan is able to provide ongoing guidance to the management of the defined forest area

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 7.2.4) The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations.
- 7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

### Performance Indicators:

- 7.3.1) Appropriate to the scale and intensity of operations, there is a documented protocol by which forest workers (including subcontractors) are duly trained as to their role in implementing the management plan
- 7.3.2) Records are maintained as to when each forest worker received management plan training
- 7.3.3) There is a demonstrable track record of compliance with and implementation of the management plan
- 7.3.4) Forest workers are supervised by qualified managers who provide guidance in the implementation of the management plan.

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

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7.3.5) Appropriate to the scale and intensity of operations, forest workers are duly trained, according to a documented protocol, as to their role in implementing the management plan

7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1. **Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

Performance Indicators:

7.4.1) Interested stakeholders are readily able to obtain a public summary of the management plan, which provides information on the primary elements of the plan, including those enumerated in criterion 7.1

7.4.2) The public summary is appropriate to the scale and intensity of operations

7.4.3) The public summary is updated periodically, at a frequency appropriate to the scale and intensity of operations

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

7.4.4) Interested stakeholders are readily able to obtain a public summary of the management plan

## 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.

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.

Performance Indicators:

8.1.1) Appropriate to the scale and intensity of operations, there are written protocols for periodic monitoring of forest conditions, management activities, plan compliance and chain-of-custody

8.1.2) Forest managers have a demonstrated track record of implementing monitoring protocols which are consistent and replicable over time

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For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

8.1.3) Appropriate to the scale and intensity of operations, periodic monitoring of forest conditions, management activities, plan compliance and chain-of-custody is conducted, and done so according to written protocols.

8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:

- 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.

Performance Indicators:

8.2.1) Appropriate to the scale and intensity of operations, forest managers periodically gather information on the indicators enumerated in this criterion, above

8.2.2) Written records are kept of the annual or periodic harvest levels by species, at levels of specificity appropriate to the scale and intensity of operations

8.2.3) Forest managers demonstrate a commitment to acquiring and utilizing information on key indicators pertaining to the production, environmental and socio-economic profiles of their operation

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

8.2.4) Appropriate to the scale and intensity of operations, forest managers periodically gather information on the indicators enumerated in this criterion, above

8.2.5) Information necessary to judge progress towards management objectives is collected and recorded. In all cases this will include:

- Amount of products harvested, by species
- Effects of operations as identified under Criteria 6.1
- Changes in features identified under Criteria 6.2
- Annual monitoring of high conservation values identified under Criteria 9.1
- Invasive exotic species

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."

Performance Indicators:

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- 8.3.1) In forest management certification evaluations where the landowner/manager wishes to make on-product use of the FSC logo, pertinent individuals are knowledgeable of the FSC's current chain of custody requirements and submit a logo approval request to SCS prior to FSC logo usage.
- 8.3.2) For "stump to forest gate" chain of custody, there exist written descriptions of the materials handling and inventory control procedures (i.e., chain-of-custody procedures) to assure that logs from the certified forest area are not mixed with logs from uncertified sources. The chain-of-custody procedures conform with the current FSC requirements.

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

- 8.3.3) In forest management certification evaluations where the landowner/manager wishes to make on-product use of the FSC logo, pertinent individuals are knowledgeable of the FSC's current chain of custody requirements and submit a logo approval request to SCS prior to FSC logo usage.
- 8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.

Performance Indicators:

- 8.4.1) Forest managers and planners demonstrate a commitment to adaptive management where information gathered during systematic monitoring is incorporated into revisions to the management plan as well as revisions to standard operating procedures, see Criterion 7.2
- 8.4.2) The evolution of the management plan over successive revisions demonstrates that the results of monitoring are being appropriately incorporated

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

- 8.4.3) Forest managers and planners demonstrate a commitment to adaptive management where information gathered during systematic monitoring is incorporated into revisions to the management plan as well as revisions to standard operating procedures, see Criterion 7.2

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.

Performance Indicators:

- 8.5.1) Interested stakeholders are readily able to obtain a public summary of the results of periodic monitoring that addresses the indicators listed in criterion 8.2

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8.5.2) Forest managers endeavor to keep the monitoring summary up-to-date

### **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.

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.

#### Performance Indicators:

9.1.1) An assessment of the defined forest area has been completed for the presence of areas meeting the FSC definition of high conservation value. Forest managers comply with:

- *Regulations on Nature Reserves of the People's Republic of China (1994)*
- *Measures for the Natural Forest Protection Program (2006)*

9.1.2) The assessment for the presence of HCVPs includes consultation with pertinent stakeholders and outside experts. Where available, an existing national toolkit is used to assist in the identification of HCVPs.

9.1.3) Forest managers demonstrate a working understanding of the HCVP concept and definition and endeavor to comply with the spirit of this principle

9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.

Note: This criterion primarily addresses obligations of the certifier, not the forest management operation.

#### Performance Indicators:

9.2.1) Forest managers provide to SCS a list of pertinent stakeholders who may be consulted regarding HCVPs

9.2.2) Stakeholder consultation indicates that the forest management operation consistently considers and protects areas of high conservation value

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.

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### Performance Indicators:

9.3.1) The conservation attributes of each identified HCV area found within the defined forest area are described in the management plan

9.3.2) The management plan and public summary thereof contain specific policies for maintenance and enhancement of the conservation attributes that define HCV areas; these protections are consistent with the precautionary approach.

9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.

### Performance Indicators:

9.4.1) Measurable effectiveness indicators are developed and presented in the HCVF section of the management plan

9.4.2) Appropriate to the scale of and intensity of operations, annual monitoring is conducted that focuses on the effectiveness by which HCVF management and protection measures are maintaining and/or enhancing the pertinent conservation attributes

9.4.3) The results of HCVF monitoring are used adaptively in modifying HCVF management and protection policies as well in revising the management plan

## **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.

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.

### Performance Indicators:

10.1.1) The management plan for the defined plantation forest area includes a presentation of the landowner and/or plantation owner objectives

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- 10.1.2) The plantation forest objectives include express policies for natural forest conservation as well as restoration of degraded natural forest areas.
- 10.1.3) Plantation forest managers demonstrate a systematic pattern of implementing the management plan
- 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.

### Performance Indicators:

- 10.2.1) The spatial pattern of planted stands within the plantation forest operation mimics natural patterns found within the landscape
- 10.2.2) Streamside buffer zones are established, within which natural vegetative cover is maintained or established. Width of buffer zones meet or exceed regional norms
- 10.2.3) Appropriate to the scale and intensity of operations, natural vegetative corridors are established for wildlife movement
- 10.2.4) The plantation design includes stands with a diversity of age classes and rotation periods
- 10.2.5) Afforestation design and operation shall be developed according to national and local technical standards and regulations, including *Codes for the Design of Afforestation Operations* (2003)
- 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 landscape, number and genetic composition of species, age classes and structures.

### Performance Indicators:

- 10.3.1) A variety of species or provenances are employed in the planting program
- 10.3.2) The management regime introduces diversity through practices such as: variable rotations, cut blocks of different size and shape, maintenance of volunteer (naturally established) seedlings within planted stands
- 10.3.3) The plantation forest management plan contains biodiversity objectives, policies and guidelines

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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.

### Performance Indicators:

- 10.4.1) Exotic tree species are planted only after an assessment of native species is conducted, in which it is demonstrated that native species cannot achieve comparable performance levels
- 10.4.2) Periodic monitoring is conducted of the adaptability of exotic stands, as indicated by measured levels of mortality, disease and insect outbreaks
- 10.4.3) Selection of plantation species and provenances is based on documented trials that demonstrate their suitability to the plantation sites and management objectives
- 10.4.4) Information about the source of seed or planting stock is presented in the management plan or another suitable document
- 10.4.5) Introduction, production and management of forest seeds and seedlings is in line with the requirements of national laws or local regulations including:
- *Seed Law of People's Republic of China (2000)*
  - *Measures of Promoting the Use of Improved Variety of Forest Trees (1997)*
  - *Regulations on Production and Operation license for Seed of Forest Tree (2002)*
  - *Provisions on Approval and Monitoring of the Quarantine of Introduced Forest Tree Seed and other Propagating Materials (2003)*
  - *Regulations of State Forestry, P.R. China on Quality control of Saplings of Forest Tree (2002) etc.*
- 10.4.6) Units engaged in forest seedling production and management obtain the *Forest Seeds Production License* and *Forest Seeds Management License* issued by the forestry administration above the county level and conduct production and management activities according to the requirements of the licenses.
- 10.4.7) Seedlings pass the quality check according to the national or local standards before they are transferred or transplanted from the nursery; a quality check report is completed. Managers comply with:
- *Measures for the Quality Supervision of Tree Seedling of the State Forestry Administration of China (2002)*
- 10.4.8) Introduced forest seeds, seedlings and other propagating materials (including fruit trees, flowers, medicinal herbs and grass seed) are quarantined in conformance to:
- *Regulations on the Quarantine, Approval and Supervision of Introducing Tree Seeds and Seedlings and other Propagating Materials (2003)*

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10.5. A proportion of the overall forest management area, appropriate to the scale of the plantation, shall be managed so as to restore the site to a natural forest cover.

### Performance Indicators:

10.5.1) Representative samples of existing natural ecosystems are being protected or restored in their natural state

10.5.2) The percentage of the plantation forest operation that is devoted to natural forest cover exceeds regional plantation forestry norms

10.5.3) Areas of natural forest or natural vegetative cover are delineated on maps and, as necessary, delineated in the field for purposes of assuring protection

For FMU's meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

10.5.4) Improvements to the ecological value of the plantation are made particularly around conservation features

10.5.5) Where it is ecologically and economically unviable for a small plantation to manage a restoration area, the plantation manager or group is able to demonstrate off-site contributions to the management and/or restoration of similar landscape and ecosystem types either jointly with other adjacent small operations, or in-kind by supporting an existing protected area.

10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.

### Performance Indicators:

10.6.1) Plantation forest managers actively engage in field research to assess trends in soil productivity; soil types found within the plantation forest area are mapped and considered during field operations

10.6.2) Prescriptions for the establishment, tending and final harvest of planted stands are designed with consideration to soil health and productivity

10.6.3) Site disturbing activities do not adversely impact aquatic and riparian resources including water quality and do not significantly alter the hydrologic characteristics of the site; planted stand establishment is limited to flat or gently sloping terrain

10.6.4) All stream courses within the operating area are identified and mapped

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10.6.5) The management plan contains policies and guidelines for soil maintenance and water quality protection

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.

### Performance Indicators:

10.7.1) Plantation forest standard operating procedures include regular monitoring for pest and pathogen activity, inordinate levels of mortality, and the spread of invasive exotic plants

10.7.2) The management plan contains policies and guidelines for integrated pest management that are demonstrably followed in the field

10.7.3) Forest managers, through their policies and actions, demonstrate a commitment to progressively lessen the use of chemical pesticides and fertilizers

10.7.4) There is a written fire prevention and suppression plan in conformance with the *Regulations on Forest Fire Prevention of the People's Republic of China (1988)*

10.7.5) Areas with varying forest fire hazard levels are zoned and mapped

10.7.6)

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.

### Performance Indicators:

10.8.1) Monitoring incorporates ecological and social impacts of plantation forest activities, see Criterion 4.4 and 8.2

10.8.2) Monitoring focuses on both on-site and off-site impacts such as landscape level effects generated by the species that are being planted

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10.8.3) Species are selected for planting only after local trials and other empirical evidence demonstrates their suitability to the site

10.8.4) Acquisition of land for establishment of plantation forests does not adversely impact, without due compensation, local ownership rights or access/use patterns

For FMU's meeting SLIMF requirements, only the following indicator(s) apply

10.8.5) Monitoring incorporates ecological and social impacts of plantation forest activities, see Criterion 4.4 and 8.2

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.

**Note: Non-conformance to this Criterion constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

Performance Indicators:

10.9.1) Records are of sufficient detail to enable the SCS auditor(s) to determine if conversion of natural forests to plantations has occurred since November, 1994

10.9.2) Any such conversions, if they have taken place, can be demonstrated to not be attributable to the current managers/owners

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### **ANNEX 1. Pertinent Laws and Regulations<sup>1</sup>**

#### **Laws**

- Forest Law of the People's Republic of China (1984, revised in 1998)
- Sandification Prevention and Control Law of the People's Republic of China (2001)
- Water Law of the People's Republic of China (1998)
- Soil and Water Conservation Law of the People's Republic of China (1991)
- Law on Water Pollution Prevention and Control of the People's Republic of China (1984, revised in 1996)
- Land Management Law of the People's Republic of China (1999)
- Wildlife Conservation Law of the People's Republic of China (1988)
- Seed Law of the People's Republic of China (2000)
- Labor Law of People's Republic of China (2007)
- Worker's Union Law of the People's Republic of China (1992, revised in 2001)
- Property Right Law of the People's Republic of China (2007)
- Rural Land Contracting Law of the People's Republic of China (2003)
- Safe Production Law of the People's Republic of China (2002)
- Environment Impact Assessment Law of the People's Republic of China (2002)
- Environment and Natural Resources Protection Law of the People's Republic of China (2001)
- Animal Epidemic Prevention Law of the People's Republic of China (1997)
- Flood Control Law of the People's Republic of China (1997)
- Law on Imported and Exported Fauna and Flora Quarantine of the People's Republic of China (1991)
- Law on Hunting Gun and Bullet Management of the People's Republic of China (1993)
- Law on Promoting the Transfer of Science and Technological Achievements of the People's Republic of China (1996)

#### **Regulations**

- Regulations for the Implementation of the Forest Law of the People's Republic of China (1986, revised in 2000)
- Regulations on Nature Reserves of the People's Republic of China (1994)
- Regulations for the Implementation of Terrestrial Wildlife Conservation (1992)
- Regulations on Wild Flora Conservation of the People's Republic of China (1997)
- Regulations on Protecting New Plant Varieties of the People's Republic of China (1997)
- Regulations for the Implementation of the Soil and Water Conservation Law of the People's Republic of China (1993)
- Regulations on Converting Cropland to Forests of the People's Republic of China (2003)

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<sup>1</sup> Source: *Standard in Forestry Sector of the People's Republic of China – Forest Certification/Forest Management*. Issued by the State Forestry Administration, P.R. China

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- Regulations for the Implementation of the Land Management Law of the People's Republic of China (1999)
- Regulations on Forest Disease and Pest Control of the People's Republic of China (1989)
- Regulations on Forest Fire Prevention of the People's Republic of China (1988)
- Regulations on Seed Management of the People's Republic of China (1989)
- Regulations for the Implementation of the Law on the Imported and Exported Wild Fauna and Flora of the People's Republic of China (1996)
- Regulations on Flood Control of People's Republic of China (1998)

## **Administrative Regulations and Rules**

- Measures for the Registration of Timber and Forest Land Tenure (2001)
- Measures for the Verification and Approval of the Occupation and Confiscation of Forest Land (2001)
- Measures for Dispute Settlement on Timber and Forest Land Tenure (1996)
- Measures for Nature Reserves of Forest and Wildlife Category (1985)
- Measures for the Natural Forest Protection Program (2006)
- Measures for Forest Harvest and Regeneration (1987)
- Measures for Forest Resources Files (1986)
- Interim Measures for Afforestation Quality Control (2003)
- Interim Regulations on Developing Annual Forest Harvest Quota (1985)
- Measures for Seed Quality (2007)
- Measures for Prompting the Use of Good Forest Breeds (1997)
- Measures for the Package and Label of Forest Seeds (2002)
- Measures for the Production and Management License of Forest Seeds (2002)
- Regulations on the Annual Verification System of Production and Management License of Forest Seeds (2003)
- Measures for the Quality Supervision of Tree Seedling of the State Forestry Administration of China (2002)
- Measures for Quarantine Approval of Introducing Exotic Species (1980)
- Measures for the Implementation of the Management and Supervision of the State-owned Forest Resources and Assets (Try out) (1996)
- Measures for the Implementation of the Regulations on Protecting New Plant Varieties of the People's Republic of China (1999)
- Regulations on the Quarantine, Approval and Supervision of Introducing Tree Seeds and Seedlings and other Propagating Materials (2003)

*Note: All above-mentioned regulations or rules were released by State Forestry Administration or former Forestry Ministry.*

## **Technical Codes and Guidelines**

- List of Species and Countries Prohibited Trading Released by CITES Secretariat (2001)
- List of Wild Flora under Priority State Protection (First Group) (1999) (State Forestry Administration and Ministry of Agriculture)

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- GB/T 18337.3-2001 Technical Codes for the Establishment of Public Benefits Forest (2001)
- Outlines for Developing and Implementing Forest Management Plan (2006) (State Forestry Administration)
- Guidelines for Sustainable Forest Management in China (2006) (State Forestry Administration)
- LY/T1646-2005 Codes for Forest Harvest Operations (2005)
- LY/T 1607-2003 Codes for the Design of Afforestation Operations (2003)
- LY/T 1706-2007 Technical Codes for Breeding Fast-growing and High-yielding Timber Forest (2007)
- GB/T 1690-2004 Technical Codes for Mountain (Sand) Closure (2004)
- LY/T 1690-2007 Technical Codes for the Improvement of Low-yielding Forest (2007)
- LY/T 1692-2007 Technical Codes for the Importance Evaluation of Genetically-modified Forest Plants and their Products (2007)

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### ANNEX 2. List of Multilateral Environmental Agreements and ILO Conventions

#### Multilateral Environmental Agreements:

- Convention on International Trade of Endangered Species of Wild Fauna and Flora (CITES) – accession 1981
- Convention on Biological Diversity – ratified 1993; Cartagena Protocol on Biosafety – approved 2005
- International Tropical Timber Agreement – accepted 1996
- United Nations Framework Convention on Climate Change – ratified 1993; Kyoto Protocol – accepted 2002
- Stockholm Convention on Persistent Organic Pollutants – ratified 2004

#### Ratified ILO Conventions:

Convention	Ratification date	Status
<a href="#">C11 Right of Association (Agriculture) Convention, 1921</a>	27:04:1934	ratified
<a href="#">C14 Weekly Rest (Industry) Convention, 1921</a>	17:05:1934	ratified
<a href="#">C16 Medical Examination of Young Persons (Sea) Convention, 1921</a>	02:12:1936	ratified
<a href="#">C19 Equality of Treatment (Accident Compensation) Convention, 1925</a>	27:04:1934	ratified
<a href="#">C22 Seamen's Articles of Agreement Convention, 1926</a>	02:12:1936	ratified
<a href="#">C23 Repatriation of Seamen Convention, 1926</a>	02:12:1936	ratified
<a href="#">C26 Minimum Wage-Fixing Machinery Convention, 1928</a>	05:05:1930	ratified
<a href="#">C27 Marking of Weight (Packages Transported by Vessels) Convention, 1929</a>	24:06:1931	ratified
<a href="#">C32 Protection against Accidents (Dockers) Convention (Revised), 1932</a>	30:11:1935	ratified
<a href="#">C45 Underground Work (Women) Convention, 1935</a>	02:12:1936	ratified
<a href="#">C80 Final Articles Revision Convention, 1946</a>	04:08:1947	ratified
<a href="#">C100 Equal Remuneration Convention, 1951</a>	02:11:1990	ratified
<a href="#">C111 Discrimination (Employment and Occupation) Convention, 1958</a>	12:01:2006	ratified

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<a href="#">C122 Employment Policy Convention, 1964</a>	17:12:1997	ratified
<a href="#">C138 Minimum Age Convention, 1973</a>	28:04:1999	ratified
<a href="#">C144 Tripartite Consultation (International Labour Standards) Convention, 1976</a>	02:11:1990	ratified
<a href="#">C150 Labour Administration Convention, 1978</a>	07:03:2002	ratified
<a href="#">C155 Occupational Safety and Health Convention, 1981</a>	25:01:2007	ratified
<a href="#">C159 Vocational Rehabilitation and Employment (Disabled Persons) Convention, 1983</a>	02:02:1988	ratified
<a href="#">C167 Safety and Health in Construction Convention, 1988</a>	07:03:2002	ratified
<a href="#">C170 Chemicals Convention, 1990</a>	11:01:1995	ratified
<a href="#">C182 Worst Forms of Child Labour Convention, 1999</a>	08:08:2002	ratified

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### **ANNEX 3. List of Endangered Species**

For a list of endangered species in China, please visit the CITES species database on the internet:

<http://www.cites.org/eng/resources/species.html>

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### ANNEX 4. Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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a given site.

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

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

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

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

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

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

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

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

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

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

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

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

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