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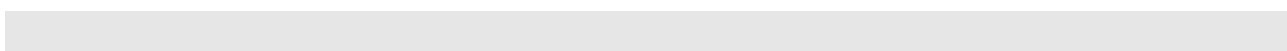
FOREST MANAGEMENT GENERIC STANDARD FOR ZIMBABWE

2023

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

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

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CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD

Section	Change	Date
1 st page	Updated addresses and contact information	23.10.2022
Principle 6	The standard is updated according to the FSC Advice 20 007- 22. Changes are presented in Blue. The code of the document is updated according to the new Global Documents structure. Previous AD 33 V6 – become into the new GP4507F V7 for P&C V4	14.6.2023

ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

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

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

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

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

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

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

LAYOUT OF THE STANDARD:

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

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

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

The FSC Principle

PRINCIPLE 1: COMMUNITY RELATIONS AND WORKER'S RIGHTS:

The FSC Criterion

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

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

Indicator 4.1.6

Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels

SLIMF:

Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security

Verifiers & Guidance:

No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin

Employment policies and procedures.

Interviews with Forest Managers, workers and Labor Union representatives.

SLIMF:

Interviews with workers and contractors

An SGS Guideline (Italics)

The year of the evaluation

The SGS Indicator

The SGS observation i.t.o. the indicator

The SGS verifier

THE STANDARD

PRINCIPLE 1. COMPLIANCE WITH LAWS AND FSC PRINCIPLES:

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

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

Indicator 1.1.1	Verifiers & Guidance:
There is no evidence of significant non-compliance with all national and local laws and administrative requirements	<p>Interviews with and information supplied by regulatory authorities, other stakeholders and Forest Managers.</p> <p>Control of required legal documentation. policies, operational procedures and standards demonstrate compliance with requirements.</p> <p><u>SLIMF:</u></p> <p>The forest manager knows what the legislation requires.</p> <p>Field observation and documentation available show that legislation is being complied with in-field.</p> <p><i>A legal non-compliance will be considered “significant” if:</i></p> <p><i>i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or</i></p> <p><i>ii. it is an intentional or a blatant/self-evident disregard for the law.</i></p> <p><i>A legal non-compliance will not be considered “significant if the deviation is short-term, unintentional and without significant damage to the environment.</i></p> <p><i>See Appendix A for a list of all the applicable laws, regulations and guidelines</i></p> <p><i>The following are sources of Zimbabwean law:</i></p> <ul style="list-style-type: none"> • <i>Legislation</i> • <i>Precedent / Case law / Court Decisions</i> • <i>Customary Law</i> • <i>Common Law</i> • <i>Authoritative texts</i>
Indicator 1.1.2	Verifiers & Guidance:
Forest managers shall demonstrate awareness and compliance with relevant codes of practice, operational guidelines and other accepted norms or agreements.	<p>Interviews with Forest Managers and field observations.</p> <p>List of applicable laws, regulations and national guidelines.</p>
Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid	
Indicator 1.2.1	Verifiers & Guidance:

<p>There is evidence that required payments have been made.</p> <p>1.2.1.1 Registration of Factories</p> <p>1.2.1.2 NSSA Insurance Premiums</p> <p>1.2.1.3 NSSA Pension Premiums</p> <p>1.2.1.4 Employee PAYE deductions</p> <p>1.2.1.5 ZIMDEV Payments</p> <p>1.2.1.6 Rural District Council Act and Urban Councils Act</p> <p>1.2.1.7 Zimbabwe National Water Authority Act & Water Act</p> <p>1.2.1.8 Environmental Management Act</p>	<p>Invoices, tax returns, receipts.</p> <p>Interviews with and information supplied by regulatory authorities and other stakeholders.</p> <p>No evidence of non-payment</p> <p>Factory Certificate</p> <p>NSSA Insurance receipts</p> <p>NSSA Pension Receipts</p> <p>PAYE Receipts</p> <p>ZIMDEV returns & receipts</p> <p>Rates (RDC's & Municipalities)</p> <p>Company tax receipts</p> <p>ZINWA Water levy receipts</p> <p>Effluent Permits & Emission Licence & receipts</p>
<p>Indicator 1.2.2</p> <p>Provision has been made to meet the costs of future fees</p>	<p>Verifiers & Guidance:</p> <p>Specific provisions in financial planning and long-term budgets.</p> <p><u>SLIMF:</u></p> <p>Forest manager can explain how future costs will be provided for.</p>
<p>Criterion 1.3 In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.</p>	
<p>Indicator 1.3.1</p> <p>There is awareness and implementation of the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such</p> <p><u>SLIMF:</u></p> <p>There is awareness of any local species that are covered by the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers</p> <p>Operational documentation</p> <p>Required licenses are in place</p> <p><i>Zimbabwe is a signatory to CITES</i></p> <p><i>Proof of access to lists of CITES plants and animals.</i></p>
<p>Indicator 1.3.2</p> <p>Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Labour Organisation (ILO) conventions that apply to their operations. ILO 87 and 98 are minimum requirements for certification.</p> <p><u>SLIMF:</u></p> <p>Forest Managers are aware of and have implemented controls to ensure continuing compliance with national legislation relating to labour matters</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers, contractors, labour unions and regulatory authorities.</p> <p>Review of policies, procedures and personnel records.</p> <p><u>SLIMF:</u></p> <p>Forest Managers are aware of the requirements and there is no objective evidence of non-compliance.</p> <p><i>Zimbabwe is a signatory to ILO.</i></p> <p><i>Proof of access to ILO conventions. Copies of the ILO documents 87, 98 and ILO Code of Practice on Safety and Health in Forestry Work (ILO1998) should be available.</i></p>

Indicator 1.3.3		
<p>(Not applicable to SLIMF)</p> <p>Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with ITTA.</p>		
Indicator 1.3.4		<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, regulatory authorities and other stakeholders.</p> <p>Review of policies, procedures and records.</p> <p><i>Zimbabwe is a signatory to International Biodiversity Convention. Forest Managers are aware of the requirements and comply with requirements of the convention on biological diversity as laid out in section 116 of Part XII of the Environmental Management Act.</i></p>
<p>(Not applicable to SLIMF)</p> <p>Forest Managers are aware of the requirements and have implemented controls to ensure continuing compliance with the International Biodiversity Convention.</p>		
Criterion 1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties		
Indicator 1.4.1		<p>Verifiers & Guidance:</p> <p>SGS will assess the conflict and advise on resolution thereof, where such were possible.</p> <p>Interviews with Forest Managers and other stakeholders.</p> <p><i>The current maximum allowable period for a timber concession is five years. The timber harvesting agreement is renewed annually. This is contrary to 2.1.2 since the rotation for Teak has been set at 60 years and 2.1.2 requires commitment for one rotation or cycle.</i></p>
<p>Any identified conflicts are brought to the attention of SGS and involved or affected parties.</p>		
Criterion 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities		
Indicator 1.5.1		<p>Verifiers & Guidance:</p> <p>Field observations show no damage from unauthorised or illegal activities</p> <p>Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc</p> <p>Copies of reports made to the authorities of problem activities</p> <p>Boundaries are known to the manager and local communities and are easily identified in the field.</p> <p>Boundaries are marked in areas where there is a high risk of encroachment.</p> <p><i>According to the Forest Act, settlements in protected forests are illegal.</i></p> <p><i>The biodiversity of the Kalahari Sands forests changes drastically as a result of fires. Fires, therefore, remain the single largest threat to the growth and development of the forests.</i></p>
<p>Forest Managers have taken reasonable measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.</p> <p><i>1.5.1.1: Records of illegal activities are maintained, and forest management has raised these issues with the regulating authorities.</i></p> <p><i>1.5.1.2: In the Kalahari Sands Forest areas, measures are specifically taken to prevent communities from starting fires</i></p>		
Indicator 1.5.2		Verifiers & Guidance:

There are adequate personnel and surveillance resources to control such activities	Field observations provide no evidence of ongoing illegal activities
Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria	
Indicator 1.6.1	Verifiers & Guidance:
There is a publicly available policy endorsed by the owner/most senior management explicitly stating long term commitment to forest management practices consistent with the FSC Principles and Criteria SLIMF: The forest manager has plans to manage the forest in the long term in a way that is compatible with the FSC Principles and Criteria	Written policy with appropriate statement is available SLIMF: The management plan Plans (written or informal) for investment, training, and sharing of income or other benefits Past management has been compatible with the P&C
Indicator 1.6.2	Verifiers & Guidance:
(Not applicable to SLIMF) The policy is communicated throughout the organisation (including to contractors) and to external stakeholders	Interviews with Forest Managers, workers and stakeholders. Evidence of distribution of policy to stakeholders.
Indicator 1.6.3	Verifiers & Guidance:
Where the owner/manager has some responsibility for forest lands not covered by the certificate, then there is a clear long term commitment to managing all forests in the spirit of the FSC P&C	<i>The applicant for certification must make a full disclosure of all forest areas over which the applicant has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. The disclosure shall be documented in the main assessment report. You must record full details of ownership, forest name, type, area and location for each such forest. This information must be made available to stakeholders as part of the consultation process.</i> <i>When the evaluation does not include all the forest areas in which the applicant is involved, the applicant must explain the reasons for this, and the reasons must be documented in the main assessment report.</i> Evidence of such other forest lands. Policies Interviews with Forest Managers.
Indicator 1.6.4	Verifiers & Guidance:
Management of forest areas identified under 1.6.4 complies with the latest FSC Partial Certification Policy	Interviews with Forest Managers, policies, procedures and field observations.

PRINCIPLE 2. TENURE AND RIGHTS RESPONSIBILITIES:

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

Criterion 2.1 Clear, long-term tenure and forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated

Indicator 2.1.1	Verifiers & Guidance:
There is documentation showing the owner/manager’s legal rights to manage the land and/or utilise forest resources	Documentation with appropriate legal status. Maps clearly indicating the boundaries of the FMU.

Indicator 2.1.2	Verifiers & Guidance:
The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.	Policies and management plans make clear reference to management objectives that support this indicator. <i>A timber concession is a contractual agreement between the Forestry Commission and an individual or group of people to harvest timber from a delimited forest area. The current maximum allowable period for a concession is five years. The timber harvesting agreement is renewed annually. This is contrary to the indicator since the rotation for Teak has been set at 60 years. Approval from SGS must be sought (see 1.4.1).</i>

Indicator 2.1.3	Verifiers & Guidance:
Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS standard or the objectives of the management plan.	Provisions in agreement for tenure. FMU management plans. FMU long term strategies.

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

Indicator 2.2.1	Verifiers & Guidance:
All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped	Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives. <i>There are 4 main categories of land tenure in Zimbabwe:</i> <ul style="list-style-type: none"> • <i>State land: national parks, wildlife areas, forest areas, state farms, rural and urban centres</i> • <i>Communal lands: belong to the state for which committees have user rights</i> • <i>Re-settlement areas: commercial farms acquired after independence</i> • <i>Commercial land: commercial farms that are based on free hold tenure</i>

Indicator 2.2.2	Verifiers & Guidance:
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Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.	Forest management plans Field observations
Indicator 2.2.3	Verifiers & Guidance:
Where communities have delegated control of their legal or customary tenure or use rights, or part thereof, this can be confirmed by documented agreements and/or interviews with representatives of the local communities	Written agreements. Free and informed consent communicated by representatives of local communities. Clear evidence of payment for tenure or use rights.
Indicator 2.2.4	Verifiers & Guidance:
Allocation, by local communities, of duly recognized legal or customary tenure or use rights to other parties is documented, with evidence of free and informed consent	Interviews with local communities. Written agreements. Free and informed consent communicated by representatives of local communities.
Indicator 2.2.5	Verifiers & Guidance:
The forest is accessible to local rights holders to the extent that the forest's ecological function is not jeopardised.	Interviews with local communities. Inspection of areas/resources where access and/or use has taken place. Access agreements
Criterion 2.3	Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified
Indicator 2.3.1	Verifiers & Guidance:
Appropriate documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist <u>SLIMF:</u> There are no major unresolved disputes relating to tenure and use rights in the forest. Disputes or grievances are being resolved using locally accepted mechanisms and institutions. All reasonable measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided. 2.3.1.1: Where applicable there are mechanisms to ensure effective communication between forest managers and tenant communities are in place	Documented procedures. Interviews with Forest Managers and consultation with representatives of local communities. <i>Documented procedures are available that allow for a process that could generally be regarded as open and acceptable to all parties with an objective of achieving agreement and consent through fair consultation. Procedures should allow for impartial facilitation and resolution.</i> <u>SLIMF:</u> Interviews with Forest Manager and local community groups
Indicator 2.3.2	Verifiers & Guidance:

<p>The Forest Manager shall maintain a record of disputes and the status of their resolution, including evidence related to the dispute and documentation of steps taken to resolve the dispute.</p>	<p>Documented records of disputes</p>
<p>Indicator 2.3.3</p>	<p>Verifiers & Guidance:</p>
<p>Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify an operation from being certified.</p>	<p><i>Magnitude of a dispute may be assessed by considering the scale at a landscape level associated with the opinion of a majority of community representatives and/or the time period over which the dispute has been in place</i></p> <p>Interviews with Forest Managers and consultation with representatives of local communities.</p> <p>Complete record of a history of disputes.</p>
<p>Indicator 2.3.4</p>	<p>Verifiers & Guidance:</p>
<p>(Not applicable to SLIMF)</p> <p>Dispute resolution procedures shall make provision for the requirement that where the future tenure or use rights of communities may be compromised, forest operations that are, or may be the direct cause of the dispute, will not be initiated or will be suspended until the dispute had been resolved.</p>	<p>Interviews with Forest Managers and consultation with representatives of local communities.</p> <p>Complete record of a history of disputes.</p>
<p>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:</p>	
<p>The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.</p>	
<p>Criterion 3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</p>	
<p>Indicator 3.1.1</p>	<p>Verifiers & Guidance:</p>
<p>Indigenous people who have customary or legal title to land and resources are identified and their entitlements recognised in management plans and the areas concerned demarcated on maps</p>	<p>Management plans and maps.</p> <p>Consultation with representatives of indigenous peoples.</p> <p><i>ILO 169 (Indigenous and Tribal People's Convention, 1999)</i></p> <p><i>Refer to the Forest Act regarding restricted entry into forest land.</i></p>
<p>Indicator 3.1.2</p>	<p>Verifiers & Guidance:</p>
<p>Rights identified in terms of Indicator 3.1.1 are respected.</p>	<p>Consultation with representatives of indigenous peoples.</p>
<p>Indicator 3.1.3</p>	<p>Verifiers & Guidance:</p>
<p>There is documented evidence that free and informed consent has been given by affected communities to allow forest management activities that may affect their use rights of the FMU.</p>	<p><i>Affected communities should have the financial, technical and logistical capacity to enable "free and informed consent"</i></p> <p>Consultation with representatives of indigenous peoples.</p> <p>No evidence of disputes.</p> <p>Evidence that agreed payments for use right and/or resources are being made.</p>

Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples	
Indicator 3.2.1	Verifiers & Guidance:
Any impacts of forest management on indigenous communities' resources or tenure rights are identified and recorded	Records or impact assessments. Consultation with representatives of indigenous peoples
SLIMF: Any impacts of forest management on indigenous communities' resources or tenure rights are identified and known by the Forest Manager	
Indicator 3.2.2	Verifiers & Guidance:
Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights	Records of meetings. Consultation with indigenous peoples
Indicator 3.2.3	Verifiers & Guidance:
Forest Management will not proceed without clear evidence of the free and informed consent of the indigenous peoples claiming such land, territory or customary rights, accepting impacts identified in terms of Indicator 3.2.1. Where disputes arise post facto, operations affecting these rights will be suspended until such dispute had been resolved	Consultation with representatives of indigenous peoples. Records of dispute resolution
Indicator 3.2.4	Verifiers & Guidance:
Actions are taken to prevent or mitigate adverse impacts	Field inspections and records of corrective actions
Criterion 3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples [and other sections of the community] shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.	
Indicator 3.3.1	Verifiers & Guidance:
Sites of special cultural, historical, ecological, economic or religious significance are identified, described and mapped in co-operation with affected or interested stakeholders.	Interviews with Forest Managers and consultation with stakeholders. Records and maps. Refer also to Indicator 7.1.1
SLIMF: Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.	<i>See Zimbabwe Forestry Code (June 2006), Table 2 which lists socially valuable woodland sites and trees species in Zimbabwe.</i>
Indicator 3.3.2	Verifiers & Guidance:

<p>Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested stakeholders</p> <p>SLIMF:</p> <p>Clear management objectives have been identified.</p>	<p>Management plans and documents.</p> <p>Consultation with stakeholders</p> <p>SLIMF:</p> <p>Interviews with the Forest Manager and field observations</p> <p>Consultation with traditional leaders e.g. Chiefs, as well as local community representatives</p>
<p>Indicator 3.3.3</p> <p>Such areas are identified in working plans and demarcated in the field as appropriate</p>	<p>Verifiers & Guidance:</p> <p>Operational plans and maps and field observation</p>
<p>Indicator 3.3.4</p> <p>All operators and contractors can identify such sites in the field and measures are in place to prevent any form of damage or disturbance, other than such agreed with stakeholders.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with operators and field observations.</p> <p>Consultation with stakeholders</p>
<p>Indicator 3.3.5</p> <p>Appropriate rights of access to these areas is permitted</p>	<p>Verifiers & Guidance:</p> <p>Consultation with stakeholders</p>
<p>Criterion 3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</p>	
<p>Indicator 3.4.1</p> <p>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations , which is being, or may be, utilised commercially by the forest organisation, is documented</p> <p>SLIMF:</p> <p>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations , which is being, or may be, utilised commercially by the forest organisation, have been identified</p>	<p>Verifiers & Guidance:</p> <p>Documented records.</p> <p>Consultation with indigenous peoples.</p> <p>SLIMF:</p> <p>Interviews with Forest Manager and indigenous peoples/local communities</p>
<p>Indicator 3.4.2</p> <p>Indigenous peoples shall be fully informed of the intent and nature of the use of their traditional knowledge by the assessed organisation. Such use will not proceed until indigenous peoples have agreed with free consent</p>	<p>Verifiers & Guidance:</p> <p>Records of meetings with representatives of indigenous peoples.</p> <p>Consultation with representatives of indigenous peoples.</p> <p>Agreements.</p> <p>Refer to subsection (i), section 116, Part XII of the Environmental Management Act.</p>
<p>Indicator 3.4.3</p>	<p>Verifiers & Guidance:</p>

<p>If such traditional knowledge is used for profit by the assessed organisation (or any other organisation under an agreement with the assessed organisation) compensation is formally agreed before such knowledge is used</p>	<p>Agreements. Consultation with representatives of indigenous peoples <i>Refer to subsection (j), section 116, Part XII of the Environmental Management Act. (any use of traditional knowledge should be compensated)</i></p>
<p>Indicator 3.4.4 All agreed compensation is paid</p>	<p>Verifiers & Guidance: Financial records <u>SLIMF:</u> Interviews with indigenous peoples/local communities</p>
<p>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.</p>	
<p>Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services</p>	
<p>Indicator 4.1.1 People in local communities are given opportunities in employment, training and contracting <u>SLIMF:</u> Local workers and contractors should be used wherever possible</p>	<p>Verifiers & Guidance: Interviews with Forest Managers and workers. Consultation with representatives of local communities and labour unions. Training strategies. Job advertisements in local publications <i>Refer to section 5 of Part II of the Labour Act</i></p>
<p>Indicator 4.1.2 In large scale organisations, contracts are awarded through a transparent process on the basis of clear criteria; justification for final selections is documented</p>	<p>Verifiers & Guidance: Interviews with contractors. Policies and procedures of the assessed organisation. Documentation on contracting of services.</p>
<p>Indicator 4.1.3 In large scale organisations training and/or other appropriate forms of assistance to local people and workers to meet the organisation's long-term staffing requirements are developed and supported where appropriate</p>	<p>Verifiers & Guidance: Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit. Long-term training plans. Interviews with Forest Managers and workers. <i>There is appropriate training and other support for workers and emerging contractors</i></p>
<p>Indicator 4.1.4 (Not applicable to SLIMF) Support is provided for local infrastructure and facilities at a level appropriate to the scale of the forest resources</p>	<p>Verifiers & Guidance: <i>Service provision and support for local infrastructure, facilities should, as a minimum, be consistent with meeting management plan objectives over the long term (e.g. provision of basic health, education and training facilities where these do not exist) as well as avoiding or mitigating any negative social impacts of the operations.</i> Consultation with representatives of local communities</p>

	Provision of training; schooling; medical; facilities; housing; accommodation <i>Refer also SI 74 of 1999 & Part V of the Manpower Planning and Development Act</i>
Indicator 4.1.5	Verifiers & Guidance:
Where possible and practicable, communities are given controlled access to forest and non-forest products on the FMU	Interviews with Forest Managers and local communities. Evidence of controlled harvesting activities <i>Chapter 19.05 of the Forest Act of 1996 allows national citizens and local communities to harvest forest resources in limited quantities for their own consumption or income generation.</i>
Indicator 4.1.6	Verifiers & Guidance:
Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels <u>SLIMF:</u> Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security	<i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i> Employment policies and procedures. Interviews with Forest Managers, workers and Labour Union representatives. <u>SLIMF:</u> Interviews with workers and contractors
Indicator 4.1.7	Verifiers & Guidance:
All employees, contractors and sub-contractors must be paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region Natural Forests: <i>4.1.7.1: The local authority has appropriate mechanisms for ensuring that reasonable levels of income from timber harvesting accrue directly to local communities</i> <i>4.1.7.2: The local authority has appropriate mechanisms for consulting local communities regarding the disbursement of income from timber harvesting</i>	Benefits may include social security payments, pension, accommodation, food, etc. Records of payment Interviews with Forest Managers, workers and Labour Union representatives. <i>Refer to http://en.wikipedia.org/wiki/(name_of_country)_for_minimum_wages_per_country</i> <i>Refer to Part II - section 6(1)(a), V, X, of the Labour Act and current Collective Bargaining Agreements</i>
Indicator 4.1.8	Verifiers & Guidance:
No workers should be engaged in debt bondage or other forms of forced labour	Interviews with Forest Managers, workers and Labour Union representatives <i>Refer to Part V, sections 20(1)(a), (b), (c), and section 14 of the Constitution of Zimbabwe.</i>
Indicator 4.1.9	Verifiers & Guidance:
Persons under 15 years are not employed in any forestry work	<i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3.</i> Interviews with Forest Managers, workers and Labour Union representatives Observations in the work place.

	<i>Refer to the Labour Relations Amendment Act, where the minimum age is legislated as 16</i>
Indicator 4.1.10	Verifiers & Guidance:
Persons under 18 years should not be employed at night or to carry out heavy work or hazardous operations, e.g. pesticide application, harvesting, except for the purposes of training	Where children and young persons are to be removed from employment in order to comply with this requirement, criterion 4.4 on social impact assessment and mitigation will apply. Organisations are expected to carry out a social impact assessment of the displacement of children from the workplace and effectively mitigate that impact e.g. provide suitable alternative sources of family income and ensure the children have access to adequate education facilities.
Criterion 4.2	Forest management <u>should</u> meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families
Indicator 4.2.1	Verifiers & Guidance:
Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families and comply with such. For large scale organisations a written safety and health policy and management system are in place	Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry. Interviews with Forest Managers, workers and union representatives. Guidelines/regulations are readily available. Labour directives and inspection reports. Company OHS records
Indicator 4.2.2	Verifiers & Guidance:
Forest Managers have systematically assessed the risk associated with all tasks and equipment and prescribed appropriate safe procedures, the use of personal protective equipment (PPE), emergency procedures and where appropriate, key responsibilities. In large scale organisations , compliance with this requirement shall be supported by documentation SLIMF: All work done in the forest must comply with health and safety laws and regulations	Interviews with Forest Managers, workers and union representatives. Documented risk assessments. SLIMF: Equipment is available to workers Interviews with Forest Managers and workers Field observations <i>Specifically see the ILO Technical guidelines for Safety and health at the Forestry Worksite, 12 General provisions, and clauses 243-276.</i> <i>Risk assessment should include risks of exposure of workers to excessive UV radiation (ILO CoP on S&H in Forestry Work, 1998)</i> <i>Refer to SI 68 of 90, 3rd schedule.</i> <i>NSSA inspector audit reports/SHE Procedures/Appointed staff – safety reps and first Aiders</i>
Indicator 4.2.3	Verifiers & Guidance:
All workers have had relevant training in safe working practice and where required or appropriate, hold the necessary skills certificates.	Interviews with Forest Managers and workers. Training schedules and records Copies of skills certificates. <i>Refer to SI 68 of 90 – 3rd Schedule, RGN 203 of 76 – section 6, and SI 263 of 76 – section 10.</i>

	NSSA inspector audit reports. <i>First Aid certificates from St Johns or Red Cross.</i>
Indicator 4.2.4	Verifiers & Guidance:
Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry	Interviews with Forest Managers and workers <i>Zimbabwe is a signatory to ILO. The FMU should have proof of access to the ILO Code of Practice on Safety and Health in Forestry Work (ILO1998).</i>
Indicator 4.2.5	Verifiers & Guidance:
All necessary tools, machines, substances and equipment, including appropriate PPE, are available at the worksite and are in safe and serviceable condition	Interviews with Forest Managers and workers. Field observations. <i>Refer to RGN 302 of 76, RGN 303 of 76, RGN 263 of 76 – sections 23 & 24, SI 68 of 90 – section 56 & 3rd schedule section 1, RGN 262 of 76 - section 13.</i> <i>UV Protection provided for workers based on risk assessment.</i> <i>An adequate supply of safe drinking water must be available at the worksite. For Physical work in hot climates, 1litre per person per hour may be required.</i> <i>First Aid kits must be available on site and adequately equipped</i>
Indicator 4.2.6	Verifiers & Guidance:
Managers take all reasonable measures to ensure that workers use the PPE that is provided	Interviews with Forest Managers and workers. Field observations
Indicator 4.2.7	Verifiers & Guidance:
Health and safety records (including risk evaluations, accident records) are maintained and up-to-date SLIMF: Basic record is kept of health and safety related incidents	Records of accidents, incidents, instructions to supervisors and workers <u>SLIMF:</u> Records Interviews with Forest Manager and workers <i>Refer to Factory and Works Act – section 14, RGN 263 of 76 – sections 11, 28 & 29, and SI 68 of 90 – 3rd schedule & sections 47 & 48</i> <i>Training records as per SI 68 of 90 – 3rd schedule.</i> <i>Health monitoring as per SI 68 of 90 – section 11 & 3rd schedule.</i> <i>Accident Register , NSSA inspector audit reports</i>
Indicator 4.2.8	Verifiers & Guidance:
All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.	<i>Refer to section 56, and 3rd schedule – section 1 (e) & (f) of SI 68 of 90</i> Interviews with Forest Managers, NSSA and workers NSSA inspectors audit reports
Indicator 4.2.9	Verifiers & Guidance:

<p>Where located and provided on the FMU worker accommodation and nutrition comply, as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.</p> <p>4.2.9.1: The use of rivers/streams for washing (personal hygiene and clothes) is discouraged</p> <p>4.2.9.2: Consideration should be given to cultural traditions in the design and type of facilities provided</p>	<p>Interviews with Managers and workers</p> <p>Inspection of facilities</p> <p><i>Refer to sections 82 and 85 of Part IX of the Public Health Act in relation to "Nuisances".</i></p> <p>Interviews with Ministry of Health officials</p> <p><i>Potable water quality monitoring records</i></p> <p><i>Field observations, verification of compliance to Sections 82 & 85 of the Public Health Act</i></p>
<p>Indicator 4.2.10</p> <p>There is evidence of a programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect forest workers or their families.</p> <p>For large scale organisations there is contribution towards or provision of a prevention and control programme for any illnesses and diseases endemic to the area that affect forest workers or their families</p> <p><u>SLIMF:</u></p> <p>There is evidence of a basic programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect workers or their families</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and workers.</p> <p>Interviews with social NGOs.</p> <p>Records of support.</p> <p>Health statistics for the region.</p> <p><u>SLIMF:</u></p> <p>Interviews with forest manager and workers</p> <p><i>Refer to section 17 & 18 of Part III of the Public Health Act in relation to notifiable diseases, Part III in relation to infectious, endemic and epidemic diseases, and Part IV in regard to Venereal Diseases, which would include HIV/AIDS</i></p> <p><i>There should be evidence of implementation of an HIV/AIDS strategy on the forest management units.</i></p>
<p>Criterion 4.3 The rights of the workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</p>	
<p>Indicator 4.3.1</p> <p>Workers are free to organise and or join a trade union of their choice without fear of intimidation or reprisal. This will at a minimum comply with the requirements of the ILO Convention No. 87: Convention concerning Freedom of Association and Protection of the Right to Organise</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives.</p> <p><i>Proof of access to ILO Convention No. 87.</i></p> <p><i>Refer to Part II of the Labour Relations Act</i></p> <p>Interviews with Ministry of Labour (regulating authority) representatives.</p> <p><i>Check that labour unions are included on the stakeholder's list (see 4.4.3).</i></p>
<p>Indicator 4.3.2</p> <p>Workers are free to organise and bargain collectively. This will at a minimum comply with the requirements of International Labour Organisation convention 98, Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, workers and labour union representatives</p> <p><i>Proof of access to ILO Convention No. 98.</i></p> <p><i>Refer to section 8 of Part III, Part X, and Part XII of the Labour Relations Act</i></p>
<p>Indicator 4.3.3</p>	<p>Verifiers & Guidance:</p>

<p>There is an effective mechanism in place to provide information to, and enable the participation of workers in decision-making where this directly affects their working terms and conditions</p> <p>SLIMF:</p> <p>Workers or their representatives are accepted as participants in decision making</p>	<p>Interviews with Forest Managers, workers and labour union representatives</p> <p><i>Refer to section 25(a) of the Labour relations Amendment Act, as refers to Workers Committees, Workers Councils, National Employment Councils, and Collective Bargaining Agreements. Refer Part VI, VII, VIII, IX, X, XI, XII and XIII.</i></p>
<p>Criterion 4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</p>	
<p>Indicator 4.4.1</p> <p>In conjunction with the local stakeholders affected and in accordance with the scale and intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are evaluated.</p> <p>For large scale organisations, these impacts shall be documented</p> <p>SLIMF (Small Forests):</p> <p>Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</p> <p>The forest manager must try to avoid negative impacts of operations.</p> <p>SLIMF (Low Intensity Forests):</p> <p>The forest manager proactively seeks assistance from external organizations to carry out an assessment of social impacts and/or social impact monitoring and uses the results to plan future management.</p>	<p>Verifiers & Guidance:</p> <p><i>New operations will normally be subjected to formal impact assessments and these assessments must include the social environment. For ongoing operations it will be necessary to maintain communication with stakeholders and thus ensure the Forest Manager is aware of any current and/or potential impacts. Management plans must provide mitigatory measures to address such impacts, e.g. problems with dust or noise caused by operations are known and planning is adjusted to reduce or negate such</i></p> <p>Interviews with Forest Managers and local communities.</p> <p>SLIMF (Small Forests):</p> <p>Discussions with neighbours and forest manager</p> <p>Copies of newspaper advertisements, letters, posters and signs used to inform people of operations.</p> <p>SLIMF (Low Intensity Forests):</p> <p>Copies of Social Impact Assessment reports</p> <p>Evidence of changes in management following results of an Social Impact Assessment or monitoring of social impacts.</p> <p><i>Refer to The Zimbabwe Forest Code (June 2006), Chapter 2 "Socio-economic benefit of forests and woodlands"</i></p>
<p>Indicator 4.4.2</p> <p>(Not applicable to SLIMF)</p> <p>Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local communities.</p> <p>Management plans</p> <p><i>Refer to The Zimbabwe Forest Code (June 2006), Chapter 2 "Socio-economic benefit of forests and woodlands"</i></p>
<p>Indicator 4.4.3</p> <p>An up-to-date list of stakeholders is maintained</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders</p>
<p>Indicator 4.4.4</p> <p>(Not applicable to SLIMF)</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>

<p>There is adequate and ongoing consultation with stakeholders (local people, workers and relevant organisations); in particular, stakeholders are aware that forest management plans and monitoring results are available for inspection, if high impact operations are planned, and that the FMU is being evaluated/monitored for certification</p> <p>4.4.4.1: A responsible person(s) is appointed/identified to attend to stakeholder issues.</p>	<p><i>Refer to The Zimbabwe Forest Code (June 2006), Chapter 2 "Socio-economic benefit of forests and woodlands"</i></p>
<p>Indicator 4.4.5</p> <p>Issues raised by stakeholders are treated constructively and objectively</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.4.6</p> <p>In <u>large scale operations</u>, communications with stakeholders on issues that require action and follow-up should be documented</p>	<p>Verifiers & Guidance:</p> <p>Documentation of communication</p>
<p>Criterion 4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage</p>	
<p>Indicator 4.5.1</p> <p>Every reasonable effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p>Indicator 4.5.2</p> <p>(Not applicable to SLIMF)</p> <p>Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for <u>large scale operations</u>.</p>	<p>Verifiers & Guidance:</p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p>PRINCIPLE 5. BENEFITS FROM THE FOREST:</p> <p>Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</p>	
<p>Criterion 5.1 Forest management should strive towards economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest</p>	
<p>Indicator 5.1.1</p> <p>Optimal use is made of the potential annual yield of forest products</p>	<p>Verifiers & Guidance:</p> <p>Annual plan of operations, budgets and financial statements.</p> <p>Yield estimates</p>
<p>Indicator 5.1.2</p>	<p>Verifiers & Guidance:</p>

<p>Current and future budgets include specific provision for environmental and social, as well as all operational costs</p> <p>SLIMF</p> <p>The Forest Manager is aiming to be in an economically viable situation which permits long term forest management</p>	<p><i>Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, payments for environmental services rendered and subsidies.</i></p> <p>Financial planning records and statements.</p> <p>Interviews with Forest Managers</p>
<p>Indicator 5.1.3</p> <p>Where necessary, investments are made to maintain the ecological productivity of the forest</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and environmental NGOs.</p> <p>Plans and maps.</p> <p>Observation of ecosystems.</p>
<p>Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	
<p>Indicator 5.2.1</p> <p>(Not applicable to SLIMF)</p> <p>Where possible, the owner/manager promotes the development of markets for and sustainable harvesting of common, lesser known plantation-grown or natural forest species and non-timber forest products</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and consultation with local communities.</p>
<p>Indicator 5.2.2</p> <p>Local processing and markets are provided access to forest products available from the FMU, unless there is a justifiable reason for not doing so</p> <p>SLIMF</p> <p>Local processing is used where it is viable.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and consultation with local communities.</p> <p>Evidence of opportunities to support local processing and markets.</p> <p>SLIMF:</p> <p>Details of sales of timber and information about local processing options.</p>
<p>Criterion 5.3 Forest management <u>should</u> minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	
<p>Indicator 5.3.1</p> <p>Strategic and tactical/operational harvest planning and harvest operations should be carried out in accordance with national best practice guidelines (where these do not exist or are inadequate, for tropical high forest the FAO Model Code of Forest Harvesting Practice will apply)</p> <p>SLIMF:</p> <p>Wood waste and damage to the remaining forest during harvesting and on site processing are minimised.</p> <p>5.3.1.1: Strategic Plans (at least one rotation in the case of plantation forestry) are available.</p> <p>5.3.1.2: Tactical Plans (3-5 years) are available.</p>	<p>Verifiers & Guidance:</p> <p>Harvest plans</p> <p>Forest Managers' knowledge of local BOPs</p> <p>SLIMF:</p> <p>Field inspections</p> <p>Harvest records and sales volumes</p> <p><i>Refer to The Zimbabwe Forest Code (June 2006) for harvest planning. See P38, Chap 3 for concession harvest plans.</i></p> <p><i>Consult Guideline for Forest Engineering Practices in South Africa (FESA, May 1999) for comprehensive detail on strategic and tactical/operational harvest planning.</i></p>

<p>5.3.1.3: The Annual Plan of Operations (APO) balances compartments and harvesting systems over a year. The APO incorporates the elements recommended in the guidelines.</p> <p>5.3.1.4: An operational harvesting plan is prepared for each harvesting site (compartment) and the physical plan encompasses the elements recommended in the guidelines.</p> <p>ZW SLIMF:</p> <p>5.3.1.5: Strategic plans for at least on rotation are available, demonstrating sustainability.</p> <p>5.3.1.6: The Forest Manager can explain the Annual Plan of Operations in relation to the long term Strategic Plan.</p>	
<p>Indicator 5.3.2</p> <p>Harvesting techniques are designed to avoid log breakage, timber degrade and damage to the forest stand</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, supervisors and workers.</p> <p>Observation of harvesting operations</p>
<p>Indicator 5.3.3</p> <p>Waste generated through harvesting operations, is minimised whilst leaving adequate organic material on the forest floor for soil conservation</p> <p>5.3.3.1: Concessionaires are required to remove slash to a distance of two meters from any living stem of a commercial timber species.</p>	<p>Verifiers & Guidance:</p> <p><i>When timber products are removed from the stand sufficient material in the form of tops, branches and solid wood should remain behind to assist the natural nutrient cycle.</i></p> <p>Observation of harvesting and on-site processing operations.</p>
<p>Indicator 5.3.4</p> <p>Harvested and processed wood and/or products processed on-site are transported from the forest before any deterioration occurs</p>	<p>Verifiers & Guidance:</p> <p>Observation of harvesting operations.</p> <p>Records of timber deliveries</p>
<p>Criterion 5.4 Forest management <u>should</u> strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</p>	
<p>Indicator 5.4.1</p> <p>The forest is managed for more than one product, considering both timber and non-timber forest products, where appropriate</p> <p><u>SLIMF (Small Forests):</u></p> <p>Not applicable</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Forest management should aim to avoid dependence on a single forest product. Local initiatives involving the use, processing and or marketing of forest products are encouraged.</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers.</p> <p>Forest management planning</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Sales records.</p> <p>Discussions with local communities and the forest manager</p>
<p>Indicator 5.4.2</p> <p>The utilisation of non-timber forest products by local community enterprises is encouraged</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and consultation with local communities.</p>

	Evidence of NTFP sales or licenses or permits issued. <i>Chapter 19.05 of the Forest Act of 1996 allows national citizens and local communities to harvest forest resources in limited quantities for their own consumption or income generation.</i>
Criterion 5.5 Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	
Indicator 5.5.1	Verifiers & Guidance:
Forest managers are aware of the range of forest services and resources	Interviews with Forest Managers
Indicator 5.5.2	Verifiers & Guidance:
Forest management practices minimise negative impacts on services and other forest resources	Interviews with Forest Managers
Indicator 5.5.3	Verifiers & Guidance:
Forest management practices maintain and where appropriate, enhance the value of forest services and resources: <ul style="list-style-type: none"> ▪ Monitoring evidence that services and resources are maintained ▪ Practices to enhance services and resources are evident. 	Interviews with Forest Managers
Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.	
Indicator 5.6.1	Verifiers & Guidance:
Data on forest growth, regeneration and volumes harvested and thinned are reported regularly and analysed in comparison with predicted volumes and growth data (data accuracy is appropriate to scale and intensity of management) SLIMF (Small Forests): Harvest levels are sustainable over the long term (a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely. SLIMF (Low Intensity Forests): Harvest limits are established at sustainable levels, based on conservative estimates of tree growth and yield rates. The harvest limits are stated in the management plan. Natural Forests: 5.6.1.1: Calculations are based on up-to-date inventory information, and growth & yield data	Evidence of enumerations, yield calculations and harvesting planning <u>SLIMF:</u> Management plan Field observations of harvesting sites compared to areas planned for harvesting. Maps of tree location Harvest and sales records and plans over the relevant time span. Data on likely or actual growth rates of species harvested. <i>Refer to Zimbabwe Forestry Code, June 2006 for inventory methods</i> <i>Natural Forest concessions:</i> <i>The demands of the timber industry have naturally led to the progressive reduction of the minimum utilisable diameters from the initial limits to the current average of 31 cm dbh for all commercial species. The FMU must justify their selected diameter limit which may not be smaller than 31 cm.</i> <i>Forest inventories are carried out as prescribed in the procedures manual (Kweshu and Mkosana, 1992). The manual</i>

<p>5.6.1.2: Controls include a defined cutting cycle, diameter limits and AAC determination, all based on considerations of sustained yield.</p>	<p><i>states the steps to be followed in preparing and conducting an inventory.</i></p>
<p>Indicator 5.6.2</p> <p>Sustainable harvest and thinning intensities and frequencies have been calculated for the FMU based on the most up-to-date available information and do not exceed calculated replenishment rates over the long term.</p> <p>Natural Forests:</p> <p>5.6.4.1: Future implementation of the required cutting cycle is demonstrable from long-term management plans, incorporating inventory data, growth and yield information, and projected harvest levels.</p>	<p>Verifiers & Guidance:</p> <p>Timber resource planning</p> <p><i>Refer to Zimbabwe Forestry Code, June 2006 for inventory methods</i></p>
<p>Indicator 5.6.3</p> <p>Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</p>	<p>Verifiers & Guidance:</p> <p>Management plans</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>Criterion 6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.</p>	
<p>Indicator 6.1.1</p> <p>(Not applicable to SLIMF)</p> <p>The owner/manager has systematically identified and assessed the potential environmental impacts of all activities (including on-site processing facilities) carried out in the forest; the impacts of forest plans have been considered at the landscape level, taking account of the interaction with adjoining land and other nearby habitats. For <u>large scale organisations</u>, the results of these impact assessments shall be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>For all operations or activities carried out on the FMU, there should be an evaluation of the possibility of the following potentially negative impacts being caused: soil erosion and compaction; changes to soil productivity; changes to invasive exotic, native or naturalised flora or fauna species abundance, diversity or distribution. Habitat fragmentation, pesticide, lubricant, nutrient or fertiliser pollution (by runoff, spray drift or spillage) and sedimentation of watercourses or water bodies; changes to water flow and drainage regimes of watercourses, water bodies, visual changes to prominent landscapes. Working Instruction 01 regarding on-site processing plants must be used as reference.</i></p> <p>Interviews with Forest Managers, environmental NGOs and government conservation agencies.</p> <p><i>In the case of concessions, a management plan together with an Environmental Impact Assessment is required.</i></p>
<p>Indicator 6.1.2</p>	<p>Verifiers & Guidance:</p>

<p>Site-specific assessments of the potential environmental impacts of all forest operations are carried out prior to commencement of site disturbing operations, in a manner appropriate to the scale of the operations and the sensitivity of the site. Where such activities are considered “significant”, these site-specific assessments are documented. “Significant” activities shall include, but not be restricted to:</p> <ul style="list-style-type: none"> ▪ The building of new roads or substantial rerouting of existing roads; ▪ Any form of flow restriction in streams and rivers; ▪ Aforestation; ▪ Change in genus in the reforestation of more than 100 ha during the same planting season within an operational/management unit, where an FMU comprises more than one; ▪ Recreational activities and associated infrastructure ▪ Communication masts and associated infrastructure ▪ Power lines ▪ Water lines ▪ Change of natural vegetation to commercial or any other use. ▪ Erection of new fences ▪ Use of natural areas and products for commercial gain or any other purpose ▪ New waste disposal sites; ▪ Implementation of new/modified activities/products that may have significant impacts on the environment. <p><u>SLIMF (Small Forests):</u></p> <p>Before starting any operation, the possible negative environmental impacts are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Before starting any operation, the possible negative environmental impacts at the site and landscape levels are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p>Natural Forest Concessions:</p> <p>6.1.2.1: An approved environmental impact assessment (EIA) precedes all harvesting operations. The EIA aims at establishing all possible impacts of the timber harvesting operation and recommends ways of mitigating these impacts. The EIA is reviewed and approved by the Department of Natural Resources in the Ministry of Environment and Tourism.</p>	<p>A “significant activity is an activity that has the potential to cause environmental impacts that are:</p> <ul style="list-style-type: none"> ▪ Permanent or long term; or ▪ Affects a wide environment <p>An EIA is the formal procedure that is followed to collect, organise, analyse, interpret and communicate data that are relevant to making a decision. The procedure can however be followed as an informal assessment for a project such as the planning of a harvesting operation. The purpose of an EIA is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</p> <p>Principles that a formal EIA should comply with are:</p> <p>Informed Decision Making: Decision-making should be based on reliable information.</p> <p>Accountability: Responsibilities must be clearly defined.</p> <p>Environment in the Broadest Sense: The environment includes all aspects (i.e. physical, social, political, economic, visual).</p> <p>Open Consultation: Consultation with all interested and affected parties must be done in a transparent manner.</p> <p>Specialist Input: Specialists in the particular field must support impact assessments.</p> <p>Alternatives: Consider all possible alternatives in terms of location and activities.</p> <p>Mitigatory Measures: Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</p> <p>Consider all Stages: The assessment should consider all stages of the development, from the planning phase through to closure.</p> <p>Interviews with Forest Managers also testing their basic knowledge of EIAs.</p> <p>Records of assessments and decisions.</p> <p>Environmental management plans.</p> <p><u>SLIMF:</u></p> <p>Manager’s knowledge of the site and impacts of operations</p> <p>Field observations</p> <p>Management plan</p> <p>Documented environmental statement or assessment where legally required</p> <p><i>Site disturbing activities also include the construction of permanent depots, irrigated log decks, toilets, quarries and other mining activities (including sand mining from riparian zones), construction of river crossings, mechanical land preparation, etc</i></p> <p><i>Refer to Part XI of the Environmental Management Act, refer to the 1st schedule for projects requiring an EIA. This schedule will be used to determine “significant” impacts in Zimbabwe. Other “Significant” impacts maybe identified through site specific assessments.</i></p>
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Indicator 6.1.3	Verifiers & Guidance:
<p>All potential environmental impacts identified during assessments are considered during operations and planning and ensure that adverse impacts are avoided or mitigated</p> <p>6.1.3.1: A buffer zone of 30m (approximately one tree length) should be maintained around cliffs or significant rocky outcrops which are larger than 0.25 ha.</p> <p>6.1.3.2: At establishment, a buffer of at least 30m should be allowed for indigenous forests. Where the indigenous forest invades the buffer zone, maintain the plantation boundary as demarcated. Should there be potential for damage of the forest edge, then the buffer must be increased in size.</p>	<p>See also requirements 6.5.1 and 6.5.2.</p> <p>Interviews with Forest Managers, supervisors and workers also testing their knowledge of minimum requirements.</p> <p>Field observations and operational plans. For <u>large scale operations</u>, these provisions and controls will be documented in plans.</p> <p><i>Results of environmental impact assessments have been integrated into management systems in compliance with section 99 of Part XI of the Environmental Management Act.</i></p> <p><i>Also refer to the Environmental guidelines for Commercial Forestry Plantations in South Africa (August 2002 or later edition).</i></p>
Indicator 6.1.4	Verifiers & Guidance:
<p>Timely corrective actions are considered and implemented to address both past and potential non-conformances.</p>	<p><u>Corrective Actions:</u></p> <p><i>The first objective is, whenever there is a non-conformance:</i></p> <ul style="list-style-type: none"> ▪ <i>action is taken to correct any damage to the environment that may have occurred (corrective action); and</i> ▪ <i>measures are instituted to prevent the non-conformance from recurring (preventative action).</i> <p><i>The second objective is to ensure that preventative action is taken where there is obvious potential for an activity to develop into a non-conformance with subsequent environmental impact(s).</i></p> <p><i>The third objective is to ensure that CARs are reviewed periodically to identify persistent problem areas and to ensure that such problem areas are appropriately addressed, in either a corrective or a preventative manner.</i></p> <p>Interviews with managers.</p> <p>Comparison of quality of ongoing operations and associated record of past CARs.</p>
Indicator 6.1.5	Verifiers & Guidance:
<p>Corrective action requests (CARs) are recorded and closed out appropriately</p> <p>SLIMF:</p> <p>Timeous corrective actions are taken</p>	<p><u>Records of CARs</u></p> <p><u>SLIMF:</u></p> <p>Interviews with the forest Manager and workers and field observations</p>
Indicator 6.1.6	Verifiers & Guidance:
<p>Non-native plant (non-tree) and animal species are introduced and/or native species re-introduced only if consultation with acknowledged experts and regulatory authorities establishes that they are non-invasive and will bring environmental benefits; where appropriate, local stakeholders are consulted prior to any introduction; all introductions are closely monitored</p>	<p>Interviews with Forest Managers, environmental NGOs and government agencies.</p> <p>Research briefs.</p> <p>Licences and permits.</p>

Criterion 6.2		Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.	
Indicator 6.2.1		Verifiers & Guidance:	
Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented		<i>Where survey data are incomplete, it should be assumed that relevant species ARE present.</i>	
<u>SLIMF (Small Forests):</u>		Interviews with Forest Managers, local experts and government agencies.	
Where known, rare, threatened and endangered species and their habitats are protected.		Refer also to 7.1.7	
<u>SLIMF (Low Intensity Forests):</u>		<u>SLIMF (Small Forests):</u>	
Where known, rare, threatened and endangered species and their habitats are mapped and protected.		Manager's knowledge of rare, threatened and endangered species in the area.	
		Records from other sources of species found on the site.	
		Field observations of nesting and feeding areas of rare, threatened and endangered species.	
		<u>SLIMF (Low Intensity Forests):</u>	
		Manager's and workers' knowledge of rare, threatened and endangered species in the area.	
		Reports of training for forest workers on protection issues.	
		Field observations of nesting and feeding areas of rare, threatened and endangered species.	
		Reports of the conservation status of the FMU from other sources.	
		<i>See Appendix B for reference to the RT&E species of Zimbabwe (e.g. List of RTE species can be found under www.redlist.org)</i>	
Indicator 6.2.2		Verifiers & Guidance:	
Where appropriate, there is co-operation with acknowledged experts, conservation organisations and regulatory authorities in identifying conservation zones and protection areas for rare, threatened and endangered species present; these habitats are demarcated on maps, and, where necessary, on the ground		Records and maps.	
<u>SLIMF:</u>		Interviews with Forest Managers, local experts and government agencies.	
Other features which are important for conservation are identified and protected.		<u>SLIMF:</u>	
		Maps showing conservation features	
		Field observations and interviews with forest manager	
		<i>Refer to section 116 of Part XII of the Environmental Management Act.</i>	
		<i>Check stakeholder's list for environmental representation.</i>	
Indicator 6.2.3		Verifiers & Guidance:	
Rare, threatened and endangered species are protected during operations		Operational plans.	
		Interviews with Forest Managers, local experts and government agencies.	
Indicator 6.2.4		Verifiers & Guidance:	
(Not applicable to SLIMF)			

<p>Conservation zones and protection areas, representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</p> <p>Landscape scale conservation considerations are evident in field activities, staff/contractor actions and/or in coordination with adjoining landowners, conservation organizations or government conservation agencies.</p>	<p>Where less than 10% of the total area of large FMUs has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation with local experts and/or government agencies.</p> <p>For smaller FMUs the conservation zones and protection areas should exist within the FMU or in nearby landscapes.</p> <p>Plans and maps and records of completed work.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p><i>Harvesting Concessions: In an attempt to reduce the impact of fire in Kalahari Sands forests the following fire control measures are prescribed:</i></p> <p><i>a) Controlled burning of fireguards and, around selected areas of productive forest</i></p> <p><i>b) Maintenance of fire lines by disking or hand scuffling.</i></p> <p><i>c) For permanent control, the construction of a network of fire lines to be kept clean of vegetation and patrolled.</i></p> <p><i>d) Manning of fire lookout points for observation and communication.</i></p>
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<p>Indicator 6.2.5</p>	<p>Verifiers & Guidance:</p>
<p>Conservation management and protection activities are demarcated on maps, implemented and their impact monitored.</p> <p>For <u>large scale organisations</u> these will be also be documented in plans.</p> <p><u>SLIMF:</u></p> <p>Conservation management and protection activities have been determined and are demarcated on maps</p>	<p>Plans and maps, including annual plan of operations.</p> <p>Field observations</p>

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<p>Indicator 6.2.6</p>	<p>Verifiers & Guidance:</p>
<p>Authorised hunting, fishing, grazing and collecting activities are managed to ensure they do not exceed sustainable levels and inappropriate activities are prevented</p>	<p>Policies and procedures.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observations and records of collection.</p>

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<p>Criterion 6.3</p> <p>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</p> <ul style="list-style-type: none"> ▪ Forest regeneration and succession. ▪ Genetic, species and ecosystem diversity. ▪ Natural cycles that affect the productivity of the forest ecosystem. 	
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<p>Indicator 6.3.1</p>	<p>Verifiers & Guidance:</p>
<p>The status of the FMU with regard to:</p> <ul style="list-style-type: none"> ▪ regeneration and succession ▪ genetic, species and ecosystem diversity 	<p><i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i></p>

<ul style="list-style-type: none"> ▪ natural cycles <p>is known or estimated.</p> <p>6.3.1.1: The alien invasive species on the FMU are identified</p>	<ul style="list-style-type: none"> ▪ <i>Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</i> ▪ <i>Impacts of past management e.g. logging, collection of NTFPs, soil erosion</i> ▪ <i>Distribution and status of plant communities;</i> ▪ <i>Conservation status of native floral and faunal assemblages, species and their habitats;</i> ▪ <i>Spread of invasive species</i> ▪ <i>Ongoing soil erosion</i> ▪ <i>Water quality</i> <p>Records and maps</p> <p>Interviews with Forest Managers and local experts.</p>
<p>Indicator 6.3.2</p> <p>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</p> <p>Natural Forests:</p> <p>6.3.2.1: Selection criteria for seed trees to be retained are defined, including density, quality and size.</p> <p>6.3.2.2: Seed trees are appropriately identified during harvesting</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers and local experts</p>
<p>Indicator 6.3.3</p> <p>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained and where appropriate, there is a programme for restoration of degraded sites</p> <p>6.3.3.1: Formal plans for vegetation management include the control and eradication of weeds and alien invader plants. Evidence of implementation of these plans, and evidence of progress.</p> <p>6.3.3.2: Plans are available for the restoration of wetlands and riparian zones which have historically been degraded through poor land-use or historical infringement by commercial tree species or agricultural crops. Evidence of implementation of these plans.</p> <p>ZW SLIMF:</p> <p>6.3.3.3: The Forest Manager is aware of degraded wetlands and riparian zones and can explain plans to ameliorate such. Progress with this work is evident.</p>	<p>Verifiers & Guidance:</p> <p><i>Enhancement, maintenance and restoration activities should be prepared to provide for the restoration of degraded natural areas, weed infestation, erosion, borrow pits, waste sites, quarries, etc.</i></p> <p>Interviews with Forest Managers, local experts.</p> <p>Plans and maps and field observations.</p> <p><i>Degradation of wetlands may be through draining of the wetland. Overgrazing and too frequent burning degrades most vegetation types. Annual burning impacts on negatively reptile populations.</i></p> <p><i>Check that wetlands are protected in compliance with section 113 of Part XII of the Environmental Management Act.</i></p>
<p>Indicator 6.3.4</p> <p>In natural and semi-natural forest, natural regeneration is preferred where adequate for the meeting of management objectives; where artificial regeneration is planned, environmental impact has been assessed (refer Criterion 6.1)</p>	<p>Verifiers & Guidance:</p> <p>Plans and maps</p> <p>Interviews with Forest Managers, local experts</p>

6.3.4.1: Coppicing of stumps is encouraged through cutting technique and there is active coppice management.	
Criterion 6.4 Representative samples of existing ecosystems within landscapes shall be protected in their natural state and recorded on maps, appropriate to the scale of operations and the uniqueness of the resource.	
Indicator 6.4.1	Verifiers & Guidance:
For the protection and recording of representative samples of existing ecosystems in the landscape, refer to Criterion 6.2.	
Criterion 6.5 Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.	
Indicator 6.5.1	Verifiers & Guidance:
<p>All environmentally sensitive forest operations are identified (see 6.1) and written guidelines defining acceptable practice are available to forest managers and supervisors; operational guidelines must meet or exceed national or regional best practice requirements</p> <p>SLIMF:</p> <p>All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.</p>	<p><i>Forest operations include: site preparation, fire belt management, planting, weed control, stand management, harvesting and extraction, road surfacing material extraction and excavation site closure, road network design, road design, construction, maintenance and closure.</i></p> <p>Records, plans and maps.</p> <p>Interviews with Forest Managers and field observations.</p> <p>SLIMF:</p> <p>Interviews with Forest Managers and field observations</p> <p>Maps showing new roads and locations of new and ongoing operations</p> <p><i>Local standards, best operating practices and guidelines available for Zimbabwe are included in Annexure A. Forest managers must be aware of and have access to these guidelines.</i></p>
Indicator 6.5.2	Verifiers & Guidance:
<p>Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning</p> <p>6.5.2.1: Clearfelled areas must be re-planted within a maximum of 2 years.</p>	<p><i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p> <p><i>6.5.2.1: See Code of Timber Harvest Practice (FC 2006)</i></p> <p><i>Due to erodible and fragile soils, ensure that slope restrictions for afforestation (slopes of 35-60% and >60%) apply (refer Environmental Guidelines for Commercial Forestry Plantations in SA, 2002).</i></p>
Indicator 6.5.3	Verifiers & Guidance:
<p>Buffer zones are maintained along watercourses and around water bodies. These buffer zones are demarcated on maps and comply with specifications made in national and regional best practice guidelines</p> <p>SLIMF:</p>	<p><i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p> <p>The size of buffer zones in plantation forestry should be assessed against</p>

<p>Buffer zones are maintained along watercourses and around water bodies and comply with national and regional best practice guidelines</p> <p>6.5.3.1: Depots/landings should not be situated within 40m of a river, stream or wetland. <u>Temporary</u> landings alongside roads that are within 40 metres of a stream or wetland shall be managed to prevent siltation into such stream or wetland. (This only applies if the application of wetland delineation results in a buffer of < 40m).</p>	<p><i>Guidelines for Environmental Conservation Management in Plantation Forests in Zimbabwe (TPF, 1997) are somewhat outdated and Zimbabwe is represented on the South African Working Groups. The following is therefore recommended:</i></p> <p><i>The determination of buffer zones should be based on the latest version of the "Wetland/Riparian habitats: A Practical Field procedure for Identification and delineation". This requires that a 20m buffer strip should be established from the outer edge of the temporary zone of a wetland or from the outer edge of a riparian zone.</i></p> <p><i>Also refer to the Environmental guidelines for Commercial Forestry Plantations in South Africa (August 2002 or later edition). All buffers must be kept weed free.</i></p>
<p>Indicator 6.5.4</p> <p>Operators are aware of and able to implement adequate emergency procedures for clean up following accidental oil and chemical spillages</p>	<p>Verifiers & Guidance:</p> <p>Operational plans, interviews with staff and field observations. No evidence of significant spillages.</p>
<p>Criterion 6.6 Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</p>	
<p>Indicator 6.6.1</p> <p>There is an up-to-date list of all pesticides used in the organisation that documents trade name, and active ingredient. Where not provided by the product label, authorised applications, application methods and rates will also be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i></p> <p>Records of chemicals in use. Receipts and invoices. Procedures for the safe and appropriate use of chemicals</p>
<p>Indicator 6.6.2</p> <p>Prohibited pesticides are not used except where:</p> <ul style="list-style-type: none"> ▪ a derogation of policy has been obtained from the FSC Secretariat; or ▪ a temporary exemption has been authorised in terms of FSC-IP-0001, by the SGS Programme Director/Manager, prior to use. 	<p>Verifiers & Guidance:</p> <p>□ Chemical records</p>
<p>Indicator 6.6.3</p> <p>Where chemicals are used on an ongoing basis the owner/manager must prepare and implement a strategy that will have at least the following components:</p> <ul style="list-style-type: none"> ▪ reduction of use is a stated as a long-term objective; 	<p>Verifiers & Guidance:</p> <p><i>Usage, and reduction targets should be expressed on a per hectare basis and sub-divided according to operations and catchment/drainage basin; targets should be quantitative</i></p> <p><i>Some organisations may be allowed to increase use of certain chemical pesticides in the short or medium term, where the use of these pesticides is justified on social or environmental grounds, see 6.6.</i></p>

<ul style="list-style-type: none"> ▪ a range of methods for pesticide control providing justification for chemical-use as an option; ▪ procedures that promote the optimal use of chemicals (timing, follow-up, equipment, etc) ▪ clear measurable targets for long term chemical use; with reduction as the objective; <p>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</p> <p>SLIMF:</p> <p>Record is kept of the amount of chemicals used on the FMU and there is indication that alternative methods are being considered leading to a reduction in use of the long term</p>	<p>This requirement applies to nurseries located on the certified FMU.</p> <p>Documented long term strategy</p> <p>Chemical use records.</p> <p><i>Usage, and reduction targets should be stated and targets should be quantitative.</i></p>
<p>Indicator 6.6.4</p> <p>(Not applicable to SLIMF)</p> <p>Where pesticides are the preferred method of control for environmental or social reasons, the consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts</p>	<p>Verifiers & Guidance:</p> <p><i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i></p> <p>Interviews with Forest Managers and local experts.</p> <p>Documented justification.</p>
<p>Indicator 6.6.5</p> <p>All transport, storage, handling, application and emergency procedures for clean up following accidental spillages of chemical pesticides comply, as a minimum, with the ILO publications ‘Safety & Health in the Use of Agrochemicals: A Guide’, and ‘Safety in the Use of Chemicals at Work’</p>	<p>Verifiers & Guidance:</p> <p>Procedures and records.</p> <p>Interviews with staff</p> <p><i>Refer to section 74 of the Environmental Management Act</i></p> <p><i>See Chemical Application Section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002)</i></p>
<p>Criterion 6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed in an environmentally appropriate manner at off-site locations.</p>	
<p>Indicator 6.7.1</p> <p>The owner/manager should ensure that non-organic wastes (e.g. oil, tyres, containers, etc.), including those generated by contractors working on the FMU are recycled where possible</p>	<p>Verifiers & Guidance:</p> <p>Field observations and interviews with staff</p>
<p>Indicator 6.7.2</p> <p>The owner/manager should ensure that waste that cannot be re-cycled, including that generated by contractors working on the FMU, is disposed of in environmentally appropriate ways.</p>	<p>Verifiers & Guidance:</p> <p><i>Waste includes:</i></p> <ul style="list-style-type: none"> ▪ <i>Surplus chemicals</i> ▪ <i>Chemical containers</i> ▪ <i>Plastic waste</i> ▪ <i>Fuels and lubricants</i> ▪ <i>Worn vehicle tyres</i> ▪ <i>Used vehicle batteries</i> ▪ <i>Waste produced from processing operations</i>

	<ul style="list-style-type: none"> ▪ <i>Domestic</i> <p>Evidence that waste has been disposed off in an acceptable manner.</p> <p><i>Check if permits are necessary for waste sites on the FMU</i></p>
Indicator 6.7.3	Verifiers & Guidance:
The owner/manager should ensure that the handling and disposal of chemicals and chemical containers, including that generated by contractors working on the FMU, should comply, as a minimum, with the ILO publications 'Safety & Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'	Interviews with staff
Indicator 6.7.4	Verifiers & Guidance:
On-site facilities for easy collection of waste are provided	Presence of waste receptacles or other
	<i>Waste sites (landfill sites) need an operational management plan (including rehabilitation) and need to be monitored (see 8.2.10).</i>
Criterion 6.8	Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.
Indicator 6.8.1	Verifiers & Guidance:
The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing excessive cost	Interviews with Forest Managers. Policies and procedures.
Indicator 6.8.2	Verifiers & Guidance:
Any use of biological control agents must be supported by documented justification which details: alternative methods of pest or disease control considered, ecological impact assessment, relevant organisations and regulatory authorities consulted	Documentation
Indicator 6.8.3	Verifiers & Guidance:
All activities where biological control agents are used are documented and monitored	Documentation
Indicator 6.8.4	Verifiers & Guidance:
No genetically modified organisms are used in management, production or research programmes within the FMU.	Interviews with staff. Records of biological material sources and supplies
Criterion 6.9	The use of exotic species shall be controlled and actively monitored to avoid adverse ecological impacts
Indicator 6.9.1	Verifiers & Guidance:

Exotic species are assessed for adverse ecological impacts and such impacts avoided	Records of scientific studies. Interviews with Forest Managers
Indicator 6.9.2	Verifiers & Guidance:
Unwanted regeneration is monitored, and if necessary controlled	Monitoring records
Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: <ol style="list-style-type: none"> a) entails a very limited portion of the forest management unit; and b) does not occur on high conservation value forest areas; and c) will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. 	
Indicator 6.10.1	Verifiers & Guidance:
Forest conversion, if any, is limited to small areas (and its extent is acceptable to conservation organisations, regulatory authorities) and/or is of negligible environmental impact	<p><i>Clear felling and replanting of a natural or semi-natural forest with a mixture native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i></p> <p><i>The clearance of isolated single trees or pockets of natural vegetation less than 0.001 ha to consolidate plantation blocks or for essential infrastructure development is only permitted where acknowledged experts and regulatory authorities have been consulted and find it acceptable.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans, maps & field observations.</p> <p><i>Forest conversion in Zimbabwe shall be subject to an EIA in compliance with section 97 and section 3 of the 1st schedule of the Act.</i></p>
Indicator 6.10.2	Verifiers & Guidance:
Conversion and afforestation do not occur in conservation zones, protection areas (see 6.2) or areas retained as representative of existing ecosystems (see 6.2)	<p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Plans and maps.</p> <p>Field observations.</p>
Indicator 6.10.3	Verifiers & Guidance:
Conservation benefits of conversion to non-forest land use or afforestation or compensatory conservation activities planned have been identified and assessed in cooperation with acknowledged experts; in the case of compensatory conservation activities, their extent is acceptable to conservation organisations, regulatory authorities	<p><i>Conversion may, for example, have a net conservation benefit where an area is converted back to its original natural or semi-natural habitat type such as open wetland or grassland.</i></p> <p>Interviews with Forest Managers, local experts and government agencies.</p>
Indicator 6.10.4	Verifiers & Guidance:
Conservation benefits are substantial, additional, secure, and long term	<p>Scientific evidence and interviews with Forest Managers and local experts</p>

Criterion 6.9 P&C V5

The Organization* shall not convert natural forest* or High Conservation Value* areas to plantations* or to non-forest land use, nor transform plantations on sites directly converted from natural forest to non-forest land use, except when the conversion:

- a) affects a very limited portion* of the Management Unit*, and
- b) will produce clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and Page 18 of 33 FSC Principles and Criteria for Forest Stewardship FSC-STD-01-001 V5-3 EN
- c) does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.

Indicator 6.9.1 – P&C V5

There is no conversion of natural forest or High Conservation Value Areas to plantations, or to non-forest land-use, nor transformation of plantations on sites directly converted from natural forest to non-forest land-use, except when it:

- 1) Affects a very limited portion of the Management Unit, and
- 2) Will produce clear, substantial, additional, secure, long-term conservation and social benefits in the Management Unit, and
- 3) Does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.

Verifiers & Guidance:

This Criterion & Indicators is added into the SGS Generic Standard P&C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete

Interviews with Forest Managers, local experts and government agencies.

Plans and maps.

Field observations.

Criterion 6.10 – P&C V5

Management Units* containing plantations* that were established on areas converted from natural forest* between 1 December 1994 and 31 December 2020 shall not qualify for certification, except where:

- a) the conversion affected a very limited portion* of the Management Unit and is producing clear, substantial, additional, secure long term conservation* benefits in the Management Unit, or
- b) The Organization* which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or
- c) The Organization which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in the applicable FSC Remedy Framework.

Indicator 6.10.1 P&C V5

Based on Best Available Information, accurate data is compiled on all conversions between 1 December 1994 and 31 December 2020 within the Management Unit.

Verifiers & Guidance:

This Criterion & Indicators is added into the SGS Generic Standard P&C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete

Indicator 6.10.2 P&C V5

Areas converted from natural forest to plantation between 1 December 1994 and 31 December 2020 are not certified, except where:

- 1) The conversion affected a very limited portion of the Management Unit and is producing clear, substantial, additional, secure long-term conservation benefits in the Management Unit, or
- 2) The Organization which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or

Verifiers & Guidance:

This Criterion & Indicators is added into the SGS Generic Standard P&C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete

<p>3) The Organization which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in the applicable FSC Remedy Framework, or</p> <p>4) The Organization qualifies as a small-scale smallholder.</p>	
<p>Criterion 6.11 – P&C V5</p> <p>Management Units* shall not qualify for certification if they contain natural forests* or High Conservation Value* areas converted after 31 December 2020, except where the conversion:</p> <ul style="list-style-type: none"> a) affected a very limited portion* of the Management Unit, and b) is producing clear, substantial, additional, secure long-term conservation* and social benefits in the Management Unit, and c) did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values. 	
<p>Indicator 6.11.1 P&C V5</p> <p>Based on Best Available Information, accurate data is compiled on all conversions of natural forests and High Conservation Value Areas after 31 December 2020 within the Management Unit.</p>	<p>Verifiers & Guidance:</p> <p><i>This Criterion & Indicators is added into the SGS Generic Standard P&C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>
<p>Indicator 6.11.2 P&C V5</p> <p>Areas where natural forests or High Conservation Value Areas have been converted after 31 December 2020 are not certified, except where the conversion:</p> <ul style="list-style-type: none"> 1) Affected a very limited portion of the Management Unit, and 2) Is producing clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and 3) Did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values. 	<p>Verifiers & Guidance:</p> <p><i>This Criterion & Indicators is added into the SGS Generic Standard P&C V4 based on the FSC ADVICE-20-007-22 effective from 1.7.2023 and until a revised Forest Stewardship Standard (FSS) incorporating the changes resulting from M37/2021 becomes effective in a country and the transition period towards that Forest Stewardship Standard is complete</i></p>

PRINCIPLE 7. MANAGEMENT PLAN:

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

Criterion 7.1 The management plan and supporting documents shall provide:

- a) management objectives;
- b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;
- c) rationale for rate of annual harvest and species selection;
- d) provisions for monitoring of forest growth and dynamics;
- e) environmental safeguards based on environmental assessments;
- f) plans for the identification and protection of rare, threatened and endangered species;
- g) maps describing the forest resource base including protected areas, planned management activities and land ownership;
- h) description and justification of harvesting techniques and equipment to be used.

<p>Indicator 7.1.1</p>	<p>Verifiers & Guidance:</p>
<p>There is a management plan (or overview linking different planning documents)</p> <p>SLIMF:</p> <p>Management plans may consist of brief notes and a map</p>	<p>Management plan</p> <p>SLIMF:</p> <p>Checking the plan exists and contains all the information required.</p> <p>Field checks that the plan has been implemented in the past and is currently still followed.</p>
<p>Indicator 7.1.2</p>	<p>Verifiers & Guidance:</p>
<p>Management objectives are clearly described</p> <p>SLIMF:</p> <p>An outline is provided of objectives and how these will be achieved</p>	<p>Management plan</p>
<p>Indicator 7.1.3</p>	<p>Verifiers & Guidance:</p>
<p>Forest resources, attributes of any high conservation value forest, environmental limitations, special characteristics of the forest, land use and ownership status, socio-economic conditions, and adjacent lands are described</p> <p>SLIMF:</p> <p>The forest is broadly described</p>	<p>Management plan</p>
<p>Indicator 7.1.4</p>	<p>Verifiers & Guidance:</p>
<p>Rate of harvest, species selection, management prescriptions (for production and conservation zones) and operational techniques are documented and justified</p> <p>SLIMF:</p>	<p>Management plan</p> <p>SLIMF:</p> <p>Harvest limits are established at sustainable limits and are based on conservative estimates of tree growth and yield.</p>

Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided	Silvicultural prescriptions take into account factors such as DBH, seed trees for each species, etc.
Indicator 7.1.5	Verifiers & Guidance:
Provisions for monitoring forest growth and dynamics are described	Management plan
SLIMF: The plans include provisions for monitoring forest regrowth	
Indicator 7.1.6	Verifiers & Guidance:
Refer Criterion 6.1 for description of environmental safeguards	
Indicator 7.1.7	Verifiers & Guidance:
Refer 6.2 for conservation planning and provision for RTE species.	
Indicator 7.1.8	Verifiers & Guidance:
Refer Criterion 6.6 for pest management	
Indicator 7.1.9	Verifiers & Guidance:
Any control of wild animals is based on a written strategy, which describes and justifies objectives, cull targets, control methods and precautions; control is carried out in consultation with all relevant stakeholders.	Written strategy and communication with interested and affected parties.
SLIMF: Refer Criterion 6.2	Interviews with Forest Managers and consultation with local stakeholders, experts and government agencies. <i>Specifically check for control of indigenous animals such as baboons, antelope, rodents that may cause damage to commercial tree species.</i>
Indicator 7.1.10	Verifiers & Guidance:
There are appropriate maps (at a scale appropriate for planning and supervision activities) showing the forest resource base including protected areas, watercourses, roads and other features important for forest management. Maps should be prepared prior to commencement of harvesting and road construction	Maps and associated records
SLIMF: There are appropriate maps showing the forest resource base including protected areas, watercourses, roads and ownership.	
Indicator 7.1.11	Verifiers & Guidance:
Harvesting techniques and equipment are described and justified	Management plan and operational controls.
SLIMF:	Interviews with staff

The plan describes harvesting methods and silviculture to ensure responsible management	<i>Conformance with recommendations in the FESA Harvesting Code of practice (May 1999)</i>
<p>Indicator 7.1.12</p> <p>For large scale operations, planning includes short (operational/annual), medium (tactical/3-5 yearly) and long (strategic, rotation/harvesting cycle) term plans covering all operations and these shall be documented.</p> <p>For small-scale operations a long-term plan covering harvesting operations will be documented. The requirement for documented planning in small-scale operations will be decided by the scale, duration and intensity of the operation.</p> <p>SLIMF:</p> <p>Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p> <p><i>Strategic (long term), tactical (3-5 years) and annual weed control programmes are in place refer criteria 6.9.</i></p>
<p>Indicator 7.1.13</p> <p>Plans are being implemented and any deviation from prescription or rate of progress is adequately justified; overall objectives will still be achieved and the ecological integrity of the forest maintained</p> <p>SLIMF:</p> <p>Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained</p>	<p>Verifiers & Guidance:</p> <p>Management plan and operational controls.</p> <p>Interviews with staff</p>
<p>Criterion 7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic considerations.</p>	
<p>Indicator 7.2.1</p> <p>In large scale organisations, staff members with responsibility for the overall compilation and updating of the management plan are identified</p>	<p>Verifiers & Guidance:</p> <p>Company procedures</p>
<p>Indicator 7.2.2</p> <p>(Not applicable to SLIMF)</p> <p>New scientific and technical developments in production forestry and biodiversity conservation are available at the FMU or Forest Managers have access to this information</p>	<p>Verifiers & Guidance:</p> <p>Publications</p> <p>Interviews with Forest Managers</p>
<p>Indicator 7.2.3</p> <p>There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of policies, procedures and plans.</p> <p>SLIMF:</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, scientific evidence.</p> <p>Evidence of revised planning</p>

There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of plans.	
Indicator 7.2.4	Verifiers & Guidance:
There is evidence that changing environmental, social and economic considerations have been included in the revision of the management plan	Interviews with Forest Managers, scientific evidence. Evidence of revised planning
Indicator 7.2.5	Verifiers & Guidance:
In large scale operations a timetable for the periodic revision of the management plan is documented and adhered to	Management revision timetable and status of current management plan
Criterion 7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan	
Indicator 7.3.1	Verifiers & Guidance:
Forest workers at all levels of skill and responsibility are appropriately educated and trained in the tasks they are assigned to and company policy and procedures. SLIMF: Forest workers at all levels of skill and responsibility are appropriately trained in the tasks they are assigned to.	Training records Interviews with workers and management Field observations <i>Natural Forest Concessions: Staff involved in planning and conducting forest inventories have requisite skills in cartography, aerial photography and photogrammetry, statistical analyses, data capture and processing, mensuration techniques and the management of inventory resources, i.e. finances, manpower and equipment.</i>
Indicator 7.3.2	Verifiers & Guidance:
(Not applicable to SLIMF) Managers and supervisors (including those employed by contractors) have received adequate education, training or experience to ensure that they are able to plan and organize forestry operations in accordance with organisations' plans, policies and procedures	Training records Interviews with staff
Indicator 7.3.3	Verifiers & Guidance:
All activities are supervised and monitored sufficiently to ensure that plans, policies, procedures and contract specifications (for contractors) are adequately implemented	Operational procedures Interviews with staff.
Indicator 7.3.4	Verifiers & Guidance:
Evidence of formal or informal training exists in the field	Interviews with workers and field observations
Indicator 7.3.5	Verifiers & Guidance:
In large scale organisations a formal long-term training plan should be available	Strategic training plan

Criterion 7.4		While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above.
Indicator 7.4.1	Verifiers & Guidance:	
There are publicly available statements that provide an up-to-date summary of the primary management plan elements listed in 7.1 at company level	Public Summary of Management Plan	
SLIMF:	<u>SLIMF:</u>	
The management plan, or a summary of it (which includes the information required by Indicators 7.1.2 to 7.1.11 is available for the public to see on request.	Management Plan is available	
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.		
Criterion 8.1		The scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment <u>should</u> determine the frequency and intensity of monitoring. Monitoring procedures <u>should</u> be consistent and replicable over time to allow comparison of results and assessments of change.
Indicator 8.1.1	Verifiers & Guidance:	
All activities that require monitoring are identified.	Interviews with Management and environmental specialists/stakeholders	
For <u>large scale organisations</u> these shall be documented in a monitoring programme.	Monitoring programme	
Indicator 8.1.2	Verifiers & Guidance:	
The frequency, intensity and expense of monitoring are defined and is appropriate to the scale and intensity of the forest management operations and the sensitivity of the receiving environment	Monitoring programmes	
SLIMF:	<u>SLIMF:</u>	
Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.	Manager's field notes	
	Manager's description of how monitoring is done.	
Indicator 8.1.3	Verifiers & Guidance:	
(Not applicable to SLIMF)	Monitoring procedures	
Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.	Interviews with Forest Managers and local experts	
Indicator 8.1.4	Verifiers & Guidance:	

Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties	Monitoring records, reports and archival system. Internal audit records CAR records
Indicator 8.1.5	Verifiers & Guidance:
Corrective actions identified through the monitoring process are appropriately implemented and closed out	Corrective action documentation
Criterion 8.2	Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: <ul style="list-style-type: none"> ▪ yield of all forest products harvested; ▪ growth rates, regeneration and condition of the forest; ▪ composition and observed changes in the flora and fauna; ▪ environmental and social impacts of harvesting and other operations; ▪ costs, productivity, and efficiency of forest management.
Indicator 8.2.1	Verifiers & Guidance:
Yields of all forest products harvested are recorded	Harvesting records
Indicator 8.2.2	Verifiers & Guidance:
A timber resource inventory is conducted, appropriate to the scale and intensity of forest management SLIMF: The manager knows what information they need in order to judge progress towards their objectives. The information is collected and recorded. In all cases this will include: <ul style="list-style-type: none"> ▪ Amount of products harvested ▪ Effects of operations as identified under C6.1 ▪ Changes in features identified under C6.2 ▪ At least annual monitoring of high conservation values identified under C 9.1 ▪ Invasive exotic species 	<i>Data are collected on growth rates, regeneration, and yield of all forest products harvested as well as the condition of the forest (data accuracy is appropriate to scale and intensity of management)</i> Documented inventory SLIMF: Discussions with forest manager. Evidence of the manager's knowledge of the forest and proactive approach to field observation and field notes Review of manager's field notes, observations or reports on HCVs. Available maps and reports from other sources
Indicator 8.2.3	Verifiers & Guidance:
Where non-timber products are used, a resource inventory is conducted, appropriate to the scale and intensity of forest management SLIMF: The sustainable harvest levels of non-timber forest products is known	Documented Inventory SLIMF: Interviews with the Forest Manager and field observations
Indicator 8.2.4	Verifiers & Guidance:
(Not applicable to SLIMF)	Data

Data are collected on the composition and observed changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species	<u>SLIMF:</u> Interviews with Forest Managers
Indicator 8.2.5	Verifiers & Guidance:
Indicators of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected	Data Interviews with Forest Managers and consultation with local communities
<u>SLIMF:</u> The forest manager is aware of the social impacts of operations and mitigate these where they are negative	<i>In the case of natural forest concessions, annual audits are supposed to be carried out (by the Forestry Commission) to ascertain if timber harvesting operations are following the Timber Harvesting Policy (Gonah, 1994) and the Code of Timber Harvesting Practice (Forestry Commission, 2006).</i>
Indicator 8.2.6	Verifiers & Guidance:
Data are collected on any wild mammals culled	Data
Indicator 8.2.7	Verifiers & Guidance:
Post-harvest monitoring is carried out to assess waste and damage to the site. For <u>large scale operations</u> this monitoring shall be documented.	Interviews with Forest Managers and supervisors. Field observations Post-harvest monitoring record
Natural Forests: 8.2.7.1: The adequacy of the regeneration of desired tree species is monitored, following harvesting 8.2.7.2: Permanent sample plots are established to monitor vegetation response and changes following harvesting	<i>Consult Guideline for Forest Engineering Practices in South Africa (FESA, May 1999) for guidelines on post-harvest monitoring.</i> <i>In the case of natural forest concessions, a checklist for pre- and post-harvesting inspection is mandatory.</i>
Indicator 8.2.8	Verifiers & Guidance:
The owner/manager records and analyses data on the costs, productivity and efficiency of forest management activities; the results of such analyses are incorporated into plans	Data and records
Indicator 8.2.9	Verifiers & Guidance:
Contractors' performance is monitored, including compliance with contract specifications. In <u>large scale organisations</u> , formal auditing of contractors shall be carried out on a regular basis and records thereof maintained	Interviews with Forest Managers and contractors. Audit documents
Indicator 8.2.10	Verifiers & Guidance:
Waste disposal sites within the FMU are regularly checked	Interviews with Forest Managers and field observations

Criterion 8.3		Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the “chain of custody.”	
Indicator 8.3.1	Verifiers & Guidance:		
There is a procedure for identifying all products (timber and non-timber) leaving the forest so that the recipient can easily determine the forest of origin. For <u>large scale organisations</u> this procedure shall be documented.	<i>The scope of a joint FM/CoC certificate covers harvesting and transportation of roundwood to the first point of sale, unloading or processing. On site processing e.g. charcoal burning, use of a mobile saw-bench, or purchase and harvesting of standing timber by a third party (e.g. sawmill, harvesting contractor, timber merchant) must be covered by a separate chain of custody certificate if the products are to be sold as certified.</i> Interview with Forest Managers Procedures.		
Indicator 8.3.2	Verifiers & Guidance:		
Documentation of origin and destination of all certified forest products is available for products held at landing areas, stacking areas and processing sites on the FMU	Delivery notes, receipts and stock records		
Indicator 8.3.3	Verifiers & Guidance:		
Sales invoices and other documentation related to sales of certified material include the chain of custody certificate number, in the correct format (SGS-FM/CoC-XXXX)	Sales invoices		
Indicator 8.3.4	Verifiers & Guidance:		
Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders	Sales records, invoices		
Indicator 8.3.5	Verifiers & Guidance:		
Use of the FSC trademark is in accordance with policy and has been approved by SGS	Samples of trademark use		
Criterion 8.4		The results of monitoring shall be incorporated into the implementation and revision of the management plan.	
Indicator 8.4.1	Verifiers & Guidance:		
The results of research and monitoring programmes are regularly analysed and incorporated into planning on a regular basis SLIMF: Refer Indicators 7.2.3 and 7.2.4	Interviews with local experts and Forest Managers. Forest planning documents		
Indicator 8.4.2	Verifiers & Guidance:		
There is evidence that monitoring results are used to improve forest management SLIMF:	Interviews with local experts and Forest Managers		

Refer Indicators 7.2.3 and 7.2.4	
Criterion 8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.	
Indicator 8.5.1 Regular summaries of monitoring results and analysis by FMU are available to the public <u>SLIMF:</u> Refer Indicator 7.4.1	Verifiers & Guidance: Public summary
PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS: Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.	
Criterion 9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management	
Indicator 9.1.1 The FMU has been adequately assessed (in consultation with conservation organisations, regulatory authorities and other local and national stakeholders) and any HCVPs and their biological and/or socio-economic or cultural attributes have been identified <u>SLIMF:</u> The FMU has been adequately assessed (in consultation with conservation organisations and regulatory authorities) and any HCVPs and their biological and/or socio-economic or cultural attributes have been identified	Verifiers & Guidance: <i>This requirement must be applied to all forests undergoing assessment. HCVPs possess one or more the following attributes:</i> <ul style="list-style-type: none"> ▪ Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values and/or large landscape level forests where viable populations of most/all naturally occurring species exist in natural patterns of distribution and abundance; ▪ Rare, threatened or endangered ecosystems; ▪ Forests that provide basic ecological services in critical situations (e.g. water quality or flow, protection against erosion or natural disasters such as cyclones or hurricanes, pollinators); ▪ Forests fundamental to meeting basic economic or bio-physiological needs of local communities or critical to local community cultural identity. Interviews with Forest Managers and local experts. Evidence of assessments.
Indicator 9.1.2 For <u>large scale organisations</u> the assessment procedure should be documented and records of consultation maintained	Verifiers & Guidance: Documented procedures and records
Criterion 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.	
Indicator 9.2.1	Verifiers & Guidance:

<p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations, regulatory authorities and other local and national stakeholders</p> <p>SLIMF:</p> <p>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations and regulatory authorities.</p>	<p>Management plans and maps</p> <p>Consultation with stakeholders and/or government agencies or evidence of input by these agents</p>
<p>Indicator 9.2.2</p> <p>When an HCVF has been identified for its socio-economic or cultural attributes, there should be joint analysis and decision-making with the stakeholders directly affected; all reasonable efforts should be made to establish co-management agreements with these stakeholders</p>	<p>Verifiers & Guidance:</p> <p>Interviews with Forest Managers, local experts and communities.</p> <p>Affected communities/persons are listed on the stakeholder list (refer Criterion 4.4).</p>
<p>Criterion 9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</p>	
<p>Indicator 9.3.1</p> <p>All biological and/or social attributes of any HCVF identified are described in the management plan</p>	<p>Verifiers & Guidance:</p> <p>Management plan</p>
<p>Indicator 9.3.2</p> <p>The plan describes the specific measures to be taken to enhance the identified attributes (see also Criterion 7.1)</p>	<p>Verifiers & Guidance:</p> <p>Management plan</p>
<p>Indicator 9.3.3</p> <p>All measures are described in the public summary of the plan</p>	<p>Verifiers & Guidance:</p> <p>Management plan</p>
<p>Indicator 9.3.4</p> <p>When an HCVF has been identified for biological values, management should:</p> <ul style="list-style-type: none"> ▪ maintain natural patterns of distribution and abundance of species, ▪ maintain natural evolutionary and ecological processes (biotic and abiotic, including disturbance), ▪ avoid fragmentation, and set aside core areas for strict protection 	<p>Verifiers & Guidance:</p> <p>Management plans and maps.</p> <p>Interviews with Forest Managers and local experts.</p> <p>Field observations.</p>
<p>Indicator 9.3.5</p>	<p>Verifiers & Guidance:</p>

<p>Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)</p>	<p>Management plans and maps. Interviews with Forest Managers and local experts</p>
<p>Criterion 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>Indicator 9.4.1</p>	<p>Verifiers & Guidance:</p>
<p>Monitoring indicators and frequency are defined in consultation with acknowledged experts, local and national stakeholders to monitor effectiveness of each measure described in the plan</p> <p><u>SLIMF:</u></p> <p>Refer Indicator 8.2.2</p>	<p>Interviews with Forest Managers and local experts</p>
<p>Indicator 9.4.2</p>	<p>Verifiers & Guidance:</p>
<p>Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management</p> <p><u>SLIMF:</u></p> <p>Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management</p>	<p>Records of monitoring</p>
<p>Indicator 9.4.3</p>	<p>Verifiers & Guidance:</p>
<p>Managers are aware of research developments which might contribute to management of HCVFs</p>	<p>Scientific evidence. Interviews with Forest Managers and local experts</p>
<p>Indicator 9.4.4</p>	<p>Verifiers & Guidance:</p>
<p>Managers are actively monitoring research developments which might contribute to management of HCVFs</p> <p><u>SLIMF:</u></p> <p>Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs</p>	<p>Scientific evidence. Interviews with Forest Managers and local experts</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.

Criterion 10.1 The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

Indicator 10.1.1	Verifiers & Guidance:
The management plan of the plantation explicitly states the management objectives for the plantation itself, as well as for natural forest conversion and restoration (see also Criterion 7.1)	<p><i>“Natural forest” can be also be interpreted as natural vegetation.</i></p> <p>Forest Management Plan</p> <p>Interviews with Forest Managers and local experts.</p>

Indicator 10.1.2	Verifiers & Guidance:
The achievement of the objectives can be clearly demonstrated	<p>Interviews with Forest Managers and local experts.</p> <p>Field observations</p> <p><i>Trees are not planted where they cannot be adequately managed or harvested. This includes steep and inaccessible areas and marginal sites where the profitability is questionable.</i></p>

Criterion 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 within the natural landscape.

Indicator 10.2.1	Verifiers & Guidance:
Natural vegetation areas within the FMU are identified and demarcated on maps and such areas within the landscape are known and considered during planning	Maps

Indicator 10.2.2	Verifiers & Guidance:
For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2	

Indicator 10.2.3	Verifiers & Guidance:
Buffer zones are maintained along watercourses and around water bodies; these buffer zones are demarcated on maps and comply with specifications made in national and regional best practice guidelines. Refer indicator 6.5.3.	

Indicator 10.2.4	Verifiers & Guidance:

<p>The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.</p>	<p>Maps and field observations</p>
<p>Criterion 10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity <u>may</u> include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</p>	
<p>Indicator 10.3.1</p>	<p>Verifiers & Guidance:</p>
<p>Plantation planning and reestablishment make provision for diversity in species and/or provenances and/or clones to achieve optimal economic, ecological and social stability; restructuring of even-aged and/or stands low in diversity is carried out where necessary</p>	<p>Forest plans and maps Field observations</p>
<p>Indicator 10.3.2</p>	<p>Verifiers & Guidance:</p>
<p>Maximum clear-cut size is defined. Documented justification should be provided where there are potential adverse environmental or socio-economic impacts SLIMF: Maximum clear-cut size is defined and justified.</p>	<p>Policies and procedures. <u>SLIMF:</u> Interviews with Forest Managers and field observations</p>
<p>Criterion 10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</p>	
<p>Indicator 10.4.1</p>	<p>Verifiers & Guidance:</p>
<p>Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives SLIMF: The species chosen for plantations are suited to the site and matched to the objectives. 10.4.1.1: The weed potential and water use efficiency of species is taken into consideration in terms of the locality of the planting site. 10.4.1.2: Trees are not planted where they cannot be adequately managed or harvested. This includes steep and inaccessible areas and marginal sites where the profitability is questionable.</p>	<p>Scientific evidence and interviews with local experts <u>SLIMF:</u> Discussions with manager about plantation objectives Plans for future planting <i>See "Site-Species Matching" (Silvicultural Practices) section of the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i></p>
<p>Indicator 10.4.2</p>	<p>Verifiers & Guidance:</p>

Exotic species are used only where they outperform native species in meeting management objectives	Scientific evidence and interviews with local experts
Indicator 10.4.3	Verifiers & Guidance:
Information is available on seed sources and these can be traced to the stand data	Plant records
Criterion 10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.	
Indicator 10.5.1	Verifiers & Guidance:
There is sufficient evidence that an appropriate proportion of the overall forest management area is managed so as to restore the site to a natural forest cover. Refer Criterion 6.2	<u>SLIMF:</u> Field observations of conservation features Plans for future improvements
<u>SLIMF:</u> Improvements to the ecological value of the plantation are made where conservation features exist.	
Criterion 10.6 Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns	
Indicator 10.6.1	Verifiers & Guidance:
There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species;	Interviews with Forest Managers and local experts. Documented site information.
<u>Small growers</u> and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the managed area.	Evidence that site information is being used in planning of operations.
Indicator 10.6.2	Verifiers & Guidance:
Where soils are degraded from previous activities, there are plans to restore them	Soil degradation through erosion, oil and chemical spills, etc. Interviews with Forest Managers and field observations.
Indicator 10.6.3	Verifiers & Guidance:
Major water resources within the forest area are identified	Maps and interviews with Forest Managers
Indicator 10.6.4	Verifiers & Guidance:
For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5	10.6.4.1: See <i>Silvicultural Practices</i> section and Annexure C of the Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) should be consulted.
10.6.4.1: Land preparation methods are based on site conditions and conform to guidelines available.	

<p>10.6.4.2: Extraction methods are based on terrain conditions and conform to guidelines available.</p> <p>10.6.4.3: Road building methods are based on soil and terrain conditions and conform to guidelines available.</p> <p>10.6.4.4: Slope restrictions for afforestation (slopes of 35-60% and >60%) apply (refer Environmental Guidelines for Commercial Forestry Plantations in SA, 2002).</p> <p>10.6.4.5: Slash management is based on the Environmental guidelines provided, and burning restrictions apply.</p> <p>10.6.4.6: Tracers on fire breaks shall not be hoed where such is located on steep slopes and all visible erosion from earlier hoeing shall be controlled.</p>	<p>10.6.4.2: See Annexure F of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002), as well as the Guidelines for Forest Engineering Practices in South Africa (FESA, 1999).</p> <p>10.6.4.3: See Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) as well as the South African Forestry Road handbook (FESA, August 2004).</p> <p>10.6.4.4: See Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) – <i>Silvicultural Practices Planning</i> Section PS14. In the case of non-conforming existing plantation areas, there is evidence of corrective planning/mitigation.</p> <p>10.6.4.5: See Silvicultural Practices section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002), section 11.4 (PS14) for <u>slope restrictions</u>.</p>
<p>Criterion 10.7 Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management <u>should</u> make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</p>	
<p>Indicator 10.7.1</p> <p>The principle forest pests and diseases are identified.</p> <p>For <u>large scale organisations</u> these shall be documented.</p>	<p>Verifiers & Guidance:</p> <p><i>Document area of plantation negatively affected by pests and diseases.</i></p>
<p>Indicator 10.7.2</p> <p>In terms of pest and/or weed control and management, refer to Criterion 6.6</p>	<p>Verifiers & Guidance:</p>
<p>Indicator 10.7.3</p> <p>Appropriate control and remedial action is taken in the event of a pest or disease problem.</p> <p>For <u>large scale organisations</u> these actions shall be documented.</p>	<p>Verifiers & Guidance:</p> <p>Interview with Forest Managers and staff.</p> <p>Documentation</p>
<p>Indicator 10.7.4</p> <p>Where appropriate, adequate measures are taken to protect the forest from fire.</p> <p>For <u>large scale organisations</u> there is regular monitoring of fire readiness that test all procedures</p> <p>10.7.4.1: Fire breaks are a) wide and long enough to have a reasonable chance of preventing a veldfire from spreading, b) do not cause soil erosion and c) are reasonable free of inflammable material.</p>	<p>Verifiers & Guidance:</p> <p><i>These measure will include documented* procedures for fire suppression that include definition of responsibilities and reporting lines.</i></p> <p>Interviews with staff and records of training.</p> <p>Fire readiness and control procedures.</p> <p><i>Refer to Chapter on “Fire Protection” in the Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) for further legal obligations and environmental mitigation measures.</i></p>

10.7.4.2: Where, possible, fire breaks are wide enough to permit burning each half in alternate rotations where mowing cannot be practiced.

Criterion 10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations, shall include regular assessment of potential on-site and off-site impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species 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.

Indicator 10.8.1

Verifiers & Guidance:

For potential on-site impacts, see Criteria 6.1 and 6.5

Indicator 10.8.2

Verifiers & Guidance:

(Not applicable to SLIMF)

Potential biophysical off-site impacts shall be monitored on a regular basis. Evidence of consultation with affected parties in terms of these impacts should be available

Off-site impacts may include:

- Spread of exotic plantation species.
- Unwanted natural regeneration of native plantation species
- Effects on water resources
- Effects on soil fertility
- Impacts on the aesthetics of the landscape

Interviews with Forest Managers and local communities and/or experts.

Evidence of consultation.

Indicator 10.8.3

Verifiers & Guidance:

For exotic or invasive species issues, see Criterion 10.4

Indicator 10.8.4

Verifiers & Guidance:

For social impacts, see Criteria 2.1 and 2.2

Criterion 10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.

Indicator 10.9.1

Verifiers & Guidance:

The plantation does not occupy land converted from natural forest since November 1994

Clear felling and replanting of a natural or semi-natural forest with a mixture of native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.

Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence.

	Interviews with Forest Managers and Government Agencies. Plantations plans and maps.
Indicator 10.9.2	Verifiers & Guidance:
If the plantation was converted since November 1994, there is adequate evidence that the current manager/owner was not responsible	Legal evidence of ownership or use-right



APPENDIX A

REGULATIONS AND STANDARDS APPLICABLE IN ZIMBABWE

A.	NATIONAL LEGISLATION
	Forestry, Agriculture and Environment:
1.	Environmental Management Act [Chapter 20:27]: An Act to provide for the sustainable management of natural resources and protection of the environment; the prevention of pollution and environmental degradation; the preparation of a National Environmental Plan and other plans for the management and protection of the environment; the establishment of an Environmental Management Agency and an Environment Fund; to amend references to intensive conservation areas and committees and associated matters in various Acts; to repeal the Natural Resources Act [Chapter 20:13]; the Atmospheric Pollution Prevention Act [Chapter 20:03], the Hazardous Substances and Articles Act [Chapter 15:05] and the Noxious Weeds Act [Chapter 19:07], and to provide for matters connected with or incidental to the foregoing.
2.	Forest Act (Chapter 19:05 as amended in 1999)
3.	Parks and wildlife Act (Chapter 20:14)
4.	Water Act No. 31 of 1998
5.	Zimbabwe National Water Authority Act
	Cultural and social:
6.	Communal Lands Forest Produce Act (Chapter 20 of 1987)
7.	National Museums and Monuments Act
8.	Protected Places and Areas Act
9.	Companies Amendment Act, 2006
10.	Communal Land Act of 1982
11.	Land Acquisition Act
12.	Land Occupation Conditions Act
13.	Rural Land Act
14.	Land Survey Act
15.	Manpower Planning and Development Act
16.	The Labour Act
17.	Labour Relations Act Labour Relations Amendment Act No. 17 of 2002 SI 130 of 2003 – Labour Relations (General conditions of employment) (Termination of Employment) Regulations SI 131 of 2003 – Labour Relations (Protection against any acts of interference between workers organisations and employers organisations) Regulations SI 132 of 2003 – Labour Relations (Retrenchment) Regulations Collective Bargaining Agreements & General Conditions
18.	Man Power Planning and Development Act, SI 74 of 1999
19.	Public Health Act
20.	Factories and Works Act

	<p>RGN 262 of 1976 – Factory and works (Registration and control of factories)</p> <p>RGN 263 of 1976 – Factory and Works (General) Regulations</p> <p>RGN 279 of 1976 – Factory and Works (Boiler) Regulations</p> <p>RGN 302 of 1976 – Factory and Works (Machinery) Regulations</p> <p>RGN 303 of 1976 – Factory and Works (Pressure Vessels) Regulations</p> <p>RGN 304 of 1976 – Factory and Works (Electrical) Regulations</p> <p>SI 68 of 1990 – NSSA (Accident prevention and worker compensation scheme)</p>
B.	REGULATIONS PERTINENT TO FORESTRY RELATED TO AND EMERGING FROM NATIONAL LEGISLATION AND OTHER LEGISLATIVE INSTITUTIONS:
21.	National Environmental Policy and Zimbabwe National Environmental Education Policy and Strategies (supported by the Environmental Management Act)
22.	Environmental Impact Assessment Policy (supported by the Environmental Management Act)
23.	National Forestry Policy (supported by the Forest Act, Communal Lands Forest Produce Act and Control of hardwoods Export SI 112)
24.	Desertification Policy (supported by the Forest Act)
25.	Zimbabwe Policy for Wildlife (supported by the Parks and wildlife Act (Chapter 20:14)
26.	Wildlife Based Land Reform Policy (supported by the Parks and wildlife Act (Chapter 20:14)
27.	Draft Policy on Conservancies (supported by the Parks and wildlife Act (Chapter 20:14)
28.	Draft Policy on Forest Based Land Reform (supported by the Forest Act (Chapter 19:05 as amended in 1999)
29.	Plantation Development Policy (supported by the Forest Act (Chapter 19:05 as amended in 1999)
30.	Commercialisation Policy (supported by the Forest Act (Chapter 19:05 as amended in 1999)
31.	Indigenisation of Timber Concessions Policy (supported by the Forest Act (Chapter 19:05 as amended in 1999)
32.	Research Diversification Policy (supported by the Forest Act (Chapter 19:05 as amended in 1999)
33.	Benefit Sharing/ Resource Sharing Policy (supported by the Forest Act (Chapter 19:05 as amended in 1999)
34.	Labour Court Rules, 2006
C.	INTERNATIONAL AGREEMENTS PERTINENT TO FORESTRY*
35.	<u>Convention on Biological Diversity</u> : The CBD was signed by 150 government leaders at the 1992 Rio Earth Summit and entered into force in December 1993. There are currently 188 Parties to the Agreement. The three objectives of the Convention are: the conservation of biodiversity, the sustainable use of biological resources and the fair and equitable sharing of benefits arising from the use of genetic resources. The principles of the CDB are broad in scope and unlike CITES, the CBD does not contain detailed provisions on implementation. Accordingly, implementation of the CBD depends on the incorporation of the Convention and associated policies and guidelines into the national legislation of Member States.
36.	<u>Convention on the International Trade in Endangered Species (CITES)</u> : The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) was developed in the early 1970's in response to concerns that unregulated international trade in wild species of wild fauna and flora could have a detrimental impact on species and their ecosystems. It currently has 167 State Parties and regulates trade in about 30 000 species. Only a small number of these are actually endangered, the majority being species for which trade measures have been introduced to avoid conservation threat. Parties acceding to CITES agree to place controls on international trade in species that are listed in any of the Convention's three Appendices.
37.	Convention on Wetlands (Ramsar www.cites.org)

	<p>The Convention on Wetlands of International Importance, called the Ramsar Convention, is an intergovernmental treaty that provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources.</p> <p>Negotiated through the 1960s by countries and non-governmental organizations that were concerned at the increasing loss and degradation of wetland habitat for migratory waterbirds, the treaty was adopted in the Iranian city of Ramsar in 1971 and came into force in 1975. It is the only global environmental treaty that deals with a particular ecosystem, and the Convention's member countries cover all geographic regions of the planet.</p>
38.	<p>International Labour Organisation (ILO): with specific reference to</p> <ul style="list-style-type: none"> ▪ Code of Practice on Safety and Health in Forestry ▪ Convention 87: Freedom of Association and Protection of the Right to Organise. ▪ Convention 98: Application of the Principles of the Right to Organise and Bargain Collectively. ▪ Convention 138: Minimum Age for Working ▪ Guidelines for worker's health surveillance ▪ Guidelines for Labour Inspection in Forestry 2005 ▪ Guidelines for Occupational Health and Safety ▪ Protection of Worker's personal data
D.	<p>LOCAL STANDARDS AND BEST OPERATING PRACTICES</p> <p>Local standards have also been introduced by the forestry industry. Nationally or Industry endorsed local standards (Best Operating Practices) are listed below:</p>
39.	A practical field procedure for identification and delineation of wetlands and riparian areas. Final draft: February 2003. Department of Water Affairs and Forestry.
40.	Best Management Practices for Preventing and Controlling Invasive Alien Species. Symposium Proceedings, The Working for Water Programme, 22-24 February 2000.
41.	Engelbrecht, G. v. R. and Warkotsch, P.W. 1994. Chute Operating Manual – FESA Chute Project Group
42.	Environmental Guidelines for Commercial Forestry Plantations in South Africa (Forestry South Africa, Second Edition, August 2002).
43.	Guidelines for Environmental Conservation Management in Plantation Forests in Zimbabwe (Timber Producers Federation, 1997). The TPF (now dis-banded) guidelines are generally seen as outdated to be replaced by the Environmental Guidelines for Commercial Forestry plantations in South Africa.
44.	Nyoka, B.I. and Musokonyi, C. 2002. <i>State of forest and tree genetic resources in Zimbabwe. Prepared for the Second Regional Training Workshop on Forest Genetic Resources for Eastern and Southern African Countries, 6-10 December 1999, Nairobi, Kenya, and updated for the SADC Regional Workshop on Forest and Tree Genetic Resources, 5-9 June 2000, Arusha, Tanzania.</i> Forest Genetic Resources Working Papers, Working Paper FGR/35E. Forest Resources Development Service, Forest Resources Division. FAO, Rome (<i>unpublished</i>).
45.	FAO (2007). Management practices for the protection of forest reserves: the Case of Kalahari Sand teak forest reserves in western Zimbabwe. Based on the work by John Mudekwe. Forest Management Working Paper FM/31. Forest Resources Development Service, Forest Management Division. FAO, Rome (<i>unpublished</i>).
46.	Code of Timber Harvesting Practice (Draft Proposal) (Forestry Commission, 2006) (Ask SGS-FHW for this electronically)
47.	Between 1990 and 1998 the project " <i>The ecology and management of indigenous forests in Zimbabwe</i> was co-sponsored by the Zimbabwean and Swedish Governments. The project covered a number of issues related to silviculture including secondary succession in Miombo/Baikiaea woodland, population structure of <i>P. angolensis</i> , artificial regeneration of selected indigenous tree species and thinning and copping trials in <i>C. mopane</i> . This should be accessed in the case of certified concessions.
48.	Engelbrecht, G. v. R. and Warkotsch, P.W. 1994. Chute Operating Manual – FESA Chute Project Group
49.	Guidelines for Forest Engineering Practices in South Africa. Forest Engineering Working Group of South Africa (FESA), May 1999.

50.	The South African Forestry Road Handbook. FESA Working Group, August 2004. (Book, and available on CD (Francois Oberholzer 082 850 4330).
51.	The South African Cable-yarding Safety and Operating handbook (FESA).
52.	The South African Chainsaw Safety and Operating handbook January 2000. (FESA).
53.	S.A. Institute of Forestry, 1994 - Forestry Handbook
54.	Zaremba W, 1976 - Logging Reference Manual Vols. 1-3 Department of Forestry, Pretoria.

***International Law and Its Application in Zimbabwe**

Section 111B of the Constitution of Zimbabwe states that any convention, treaty or agreement acceded to, concluded, concluded or executed by or under the authority of the president with foreign states or organizations;

- a) Is subject to approval by parliament and
- b) Shall not form part of our law unless it has been incorporated into the law by or under an act of parliament.

This simply means that Zimbabwe is not bound by international unless the law is legislated by parliament into the local statutes of Zimbabwe. A mere signature on any Treaty or Convention is not enough to give binding effect to that Convention or Treaty in Zimbabwe. That is the dilemma in Zimbabwe right now. The government refuses to be bound by international laws, Protocols, Conventions or Treaties as they do not form part of Zimbabwe laws. This has caused headaches and difficulty for lawyers trying to argue their cases on the basis of International Treaties and Conventions or Protocols despite the fact that Zimbabwe might be party and signatory to such. The Judiciary finds it easy to dismiss such cases on the basis of Section 111B.

www.nyulawglobal.org/globalex/zimbabwe

APPENDIX B

LIST OF RARE THREATENED AND ENDANGERED SPECIES LISTED FOR ZIMBABWE

The following websites provide information about Zimbabwe's RT&E species:

www.iucnredlist.org (IUCN red lists)

www.panda.org

www.earthsendangered.com (this allows a search per country for species lists)

www.nationsencyclopedia.com (information per country)

www.animalinfo.org (information per country)

www.conservationoutdoors.org (species search per country)

www.nationalredlist.org (email info@nationalredlists.org)

Kalahari Sand Teak Forests:

Kalahari Sand (KS) Teak Forests are protected and under threat. These are also the forests where harvesting concessions are granted. For this reason, included below are the conclusions and recommendations from the following study:

FAO (2007): Management practices for the protection of forest reserves: the Case of Kalahari Sand teak forest reserves in western Zimbabwe. Based on the work by John Mudekwe. Forest Management Working Paper FM/31. Forest Resources Development Service, Forest Management Division. FAO, Rome (unpublished).

CONCLUSIONS

This case study gives the context in which protected KS teak forests are managed in Zimbabwe. It also highlights overriding issues with respect to the management of the forests. These issues are linked to ecological, socio-economic, scientific and institutional aspects. The KS teak forests are endemic to the fragile, deep, loose and well-drained Kalahari sand geologic formation. The loss of the Zambezi teak forests is especially worrying because unlike other savannah forest and woodland formations they are the more fragile forests in the sense that their soils (Kalahari sands) are easily degraded once the vegetation cover is removed. Different stakeholders are already accessing forest goods and services from the forests; what remains to be seen are arrangements that would involve these stakeholders in active management of the forests.

Management of the forests is guided by the forest policy for indigenous forests and implemented and regulated through the provisions of the Forest Act. The forests are managed on the basis of well-formulated management plans. Management is for the production of timber, wildlife and non-wood products and for biodiversity conservation. The principle of multiple land use is well imbedded in the management plans of the forest reserves. Considerable progress has been made in terms of research agendas aimed at improving forest management and protection. The problem lies in putting many of the research findings into practice.

There is need for a more holistic management approach to the KS teak forests by looking at the wider KS ecosystem, i.e. protected and unprotected KS teak forests on other land categories and similar KS teak forests in neighbouring countries, Angola, Botswana, Namibia and Zambia. A more embracing transfrontier project for the management of these unique forests is proposed.

RECOMMENDATIONS

- For the proper management of protected forests there is a need for the maintenance and regular updating of databases related to the various resources found in protected forests, e.g. timber, wildlife, non-timber products, domestic livestock, forest residents and of research activities taking place in the forests.
- It is important to match resource use needs as a process of continuous resource assessment in order to achieve resource use and management.
- Traditionally, foresters in tropical dry forests have often used silvicultural systems that were not specifically developed for these types of forest. It would be beneficial to base silvicultural treatments of such forests as the KS forest on practices ordinarily carried out by users and appropriate for the individual species. For example, most indigenous tree species are capable of coppicing and this characteristic needs to be understood better for wider application as a

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silvicultural tool. The protected forests are degrading and wasting because the necessary conditions for natural regeneration of the desired species are not understood. In most cases there are assumptions that the necessary conditions are similar for all species – which are wrong assumptions.

- Monitoring disturbances and recovery processes and taking necessary practical remedial measures are vital for the stability and sustainability of individual species. These aspects are only remotely considered in protected indigenous forests.
- The forest tenant system could be revisited given the available knowledge of joint forest management processes, conflict management, resource tenure and access.
- Participatory forestry initiatives need to be up-scaled to other forest reserves based on lessons learnt from pilot projects.
- The KS teak forests are not only found in Zimbabwe but also in Angola, Botswana, Namibia and Zambia. There should be a transfrontier management approach to this unique resource that potentially has immense social, economic and ecological importance in these countries.

End of Standard