

**FSC**

FSC-SECR-0012

**Forest Stewardship Council
Arbeitsgruppe Deutschland e.V.**

German FSC-Standard and Small Forest Standard

This German FSC-Standard is based entirely on the international FSC Principles and Criteria and thus forms the exclusive basis for FSC certification of forest management in Germany.

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Amendment to V 2-0 from July 6th 2010:

- Comment on the use of „highly hazardous pesticides” in Appendix II, 6.6

Amendment to V 2-1 from August 8th 2010:

- Correction on the reference to the Federal Nature conservation Act in Appendix II, 6.2.1 b)

Amendment to V 2-2 from February 2nd 2011:

- Amendment in 4.3.5, “contractors and wage agreements”
- Comment on “contractors and wage agreements” in Appendix II, 4.3.5
- Amendment of a cross reference in 5.3.2 to 4.3.5
- Comment on “quality safeguarding for contractors”

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Introduction

Basics of Certification

The Forest Stewardship Council (FSC) is an international organisation promoting environmentally appropriate, socially acceptable and economically viable management of the Earth's forests. Forests should be preserved as eco-systems whilst long-term timber use should be ensured. Work in the forest should be conducted safely and fairly. As a powerful marketing instrument, the FSC label should prove a great incentive for forest owners. Simultaneously, it should make it possible for forestry and timber enterprises to transmit to consumers in a credible manner the ecological and social responsibility they have assumed for the conservation of the forests. FSC certified products allow the consumers in turn to express their own ecological and social responsibility through their purchasing habits.

The bounds for FSC-certification are determined by the 10 principles and 56 criteria of the FSC that apply to all Earth's forests. In the context of national discussion processes, indicators and verifiers are developed to check the FSC principles and criteria in a specific country. The result is a national FSC standard that is adapted to the prevailing ecological, economic and social circumstances. This is done in the present draft of the German FSC Standard through the FSC Arbeitsgruppe Deutschland (FSC working group Germany).

For the FSC accreditation, the FSC authorises certification bodies. These are monitored regularly. These organisations evaluate forest enterprises and certify that their management meets the respective national standard drafted by the FSC. Parallel to that, the FSC verifies the conformity of national standards with international guidelines and accepts them as a binding basis for FSC-certification. The strength of the FSC-certification lies in the neutral and independent assessment and control of forest owners as well as the internationally consistent testing system.

The certification process is voluntary and is implemented at the initiative of the forest owner. FSC certification is available to all interested enterprises, regardless of starting situation, as the overriding factor is the evaluation of forest management rather than forest condition. The FSC and the certification bodies accredited by the FSC do not demand the immediate and absolute fulfilment of all principles and criteria. Of critical importance are the steps undertaken by the forest owner towards a continual improvement of the enterprise as a whole in the context of the objectives described. To this end, the forest owner develops management concepts in cooperation with the certifier targeting the achievement of defined objectives. The realisation of these concepts and the attainment of the immediately achievable requirements are the focus of the evaluation by the certifier.

Structure and validity

The wording of the internationally valid FSC principles is in bold type. Each principle is accompanied by a short reference to the circumstances prevalent in Germany and the relevance is explained. This is followed by criteria which express more clearly the content of the principles (indicated in the text by a two part cipher, e.g. 6.4). With the help of the indicators the forest enterprise's adherence to the objectives contained within each principle can be evaluated in the national context. These are indicated by three part ciphers (e.g. 6.4.1). The third part cipher, the subindicator goes more into details of the indicator above.

Additional indicators and verifiers were developed for the purposes of this standard for application in forest enterprises covering an area less than 100 ha. In certain cases an evaluation of the criterion for small forest enterprises is dispensed with (see the Small Forest Standard). Relevant indicators are marked with the following symbol . The manner of the evaluation of verifiers was substantiated for these small forest provisions. These are marked

with the terms site inspection, documentation (doc.), enterprise-internal interview (int.) and consultation with external representatives of interested parties (con.).

Technical terms and their precise meanings in the context of the German FSC Standard are explained in appendix I. Addenda to the criteria are contained in appendix II. To avoid placing small forest enterprises at a disadvantage over large forest owners the FSC envisages beyond the Small Forest Standard the possibility of the joint certification of a number of small forest owners (group certification). The provisions for group certification are described in greater detail in appendix III.

The FSC Arbeitsgruppe Deutschland e.V. sees itself as a discussion forum on responsible forestry in the tradition of the follow-up process of the Rio summit and Agenda 21. The national FSC standard has been discussed in an open and transparent manner within the FSC Arbeitsgruppe Deutschland e.V. and with other interested parties since October 1997. Comments and the outcomes of discussions have been largely incorporated into the standard. The objective of all activities carried out in conjunction with the German FSC Standard is to achieve a broad social consensus amongst the organisations and individuals involved.

Compliance with the standards

The principles and criteria are generally not the focus of the evaluation. The evaluation of whether or not a forest owner is in compliance with the principles and criteria is derived solely from the evaluation of the indicators in the standard. To evaluate a criterion, each indicator with all its subindicators if existing must be assessed. An indicator is only met if all subindicators are fulfilled. The observance of the indicators for the Small Forest Standard  is checked with the aid of verifiers (dash). Non-compliances of all indicators that are identified by the certification body will be recorded in the evaluation report. Each non-compliance is evaluated to determine whether it constitutes a minor or a major non-compliance at the level of the associated FSC-Criterion. Where major non-compliances of a criterion are identified, a certificate cannot be issued until these have been removed.

Major non-compliances of a criterion exist when regular or systematic infractions of an indicator occur over a long period, or when the consequences of a non-compliance impact upon a large area. Major non-compliances also exist when the forest enterprise is aware of the non-compliance yet fails to take timely and appropriate remedial action. Major non-compliances call into question the ability of the enterprise to meet the relevant criterion. Non-compliances adjudged to have occurred wilfully and with the knowledge of the certificate holder must always be treated as Major non-compliances. If Major non-compliances are identified within certified enterprises corrective action must occur within three months or the certificate is suspended.

Minor non-compliances are short term, unintentional and non-systematic breaches, where the magnitude of the infraction of the indicator is small. Minor non-compliances do not pose a threat to the overall fulfilment of the relevant criterion. Where violations of this kind are identified corrective action must occur within twelve months and steps must be taken to prevent a repeated breach. If a minor violation is not corrected within twelve months it becomes a severe violation.

The Small Forest Standard

To make FSC certification more accessible to small forest owners, the FSC Arbeitsgruppe Deutschland e.V. has developed a standard designed with the needs of small forest owners in mind (indicated herein by the symbol ). The relevant indicators shall only be applied to forest enterprises comprising an area of less than 100 ha and replace here the indicators of the German FSC-Standard. The Small Forest Standard also incorporates the group certification instrument.

Certain indicators were simplified or associated with others. This results in a significantly lower outlay of documentation for both the certifier and the forest enterprise. Consequently, the workload and the costs incurred by small forest enterprises and the FSC certification process can be reduced.

For improved readability and ease of use, the Small Forest Standard also exists in an independent format containing exclusively the requirements applicable to small forest owners. The evaluation requirements are presented in a revised format to facilitate ease of operation within the forest enterprise. The Small Forest Standard can be obtained from the website of the FSC Arbeitsgruppe Deutschland e.V.

Important addenda to the Small Forest Standard also exist, for example the simplified enterprise description as a basis for planning and such are contained in pamphlets detailing the requirements placed upon FSC certified enterprises. These make up part of the independent Small Forest Standard and are also available from the website of the FSC Arbeitsgruppe Deutschland e. V. The purpose of these documents is to provide assistance to small forest owners and to ease the practical implementation of the FSC certification requirements.

Formation and further development

The FSC Arbeitsgruppe Deutschland e.V. was established as a forum in 1997. Membership of the association includes numerous environmental organisations, trade unions, forest owners and representatives of trade and industry, which ensures a pragmatic and socially acceptable forest standard.

The FSC Arbeitsgruppe Deutschland e.V. set up a Standard Development Team for the derivation and revision of the German FSC-Standard, comprised of two representatives each from the environmental chamber, the social chamber and the economic chamber. This Standard Development Team generated the formulations for the present German FSC-Standard. The board ratified the Standard and the members of FSC Working Group Germany voted at the General Assembly on 1st October 2008 for the presented revised German FSC-Standard.

Since 2005 the FSC standard has been revised, this means it was reworked with broad stakeholder participation. The revision process aimed to strengthen the alliance of the FSC Arbeitsgruppe Deutschland and to further develop the present standard. The revised standard shall withstand a functional examination, meet the International FSC guidelines, shall be realisable for open-minded forest development units, serve as an ecological and social example and therefore continue to uphold the standard for responsible forest management in Germany.

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.

Explanation:

The FSC Principles and Criteria supplement legal regulations and promote a continual improvement of forest management towards environmental responsibility, social compatibility, and economic viability.

- 1.1 Forest management shall respect all national and regional laws and administrative requirements *see Appendix II*
- 1.1.1 Applicable state and federal laws, state and federal orders, and communal regulations are available and have to be met.
-  1.1.1 The management, forest workers and contractors are aware of and comply with the legal requirements pertinent to their respective areas of responsibility.  *A.1.1*
- Required authorisations for planned operations (afforestation, road construction, quarrying for the provision of construction materials, installation of wind energy facilities, intrusions in nature and the landscape as defined under the BNatSchG, forest clearance) (doc.).
 - The management is familiar with the principal legal requirements (int.).
 - The highest responsible agencies (agency subdivisions in forestry, environmental protection, hunting and water) and or other interest groups attest that there are no previous or outstanding violations (con.).
- 1.1.2 The sovereign responsible agencies (agency subdivisions in forestry, environmental protection, hunting or water) attest that there are no previous or outstanding violations.
-  This indicator is not examined in the small forest standard. *see 1.1.1/ A.1.1*
- 1.1.3 Insofar as doubts involving alleged legal violations exist, these can be invalidated.
-  This indicator is not examined in the small forest standard.
- 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid. *see Appendix II*
- 1.2.1 The enterprise demonstrates that it is in good standing with the responsible fiscal authorities or proves its exemption from taxes.
-  1.2.1 All applicable and legally prescribed fees, royalties, and taxes are paid.  *A.1.2*
- Tax documentation (doc.).
 - Invoices, receipts (doc.).
 - Pay slips, where applicable (doc.).
- 1.2.2 Invoices for timber sales correctly state value-added taxes and contributions to the Timber Sales Promotion Fund. *see Appendix I "Timber sales promotion fund"*
-  This indicator is not examined in the small forest standard.
- 1.2.3 Pay slips correctly state social welfare contributions for all employees. *see 4.2.4*
-  This indicator is not examined in the small forest standard.
- 1.3 In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological *see Appendix II*

Diversity, shall be respected.

- 1.3.1 The forest enterprise is aware of FFH-Areas and proposed areas. *see Appendix I "FFH-Areas", see 6.2, 9.1, and 9.3*
-  This indicator is examined through  7.1.9 in the small forest standard *see 7.1.9/
 G.1.1f
*see 4.1, 4.3**
- 1.3.2 The Forest Enterprise complies with treaties ratified by the German Government.
- 1.3.2.1 The Forest Enterprise is aware of regarding area units and requirements derived from international agreements. These requirements are implemented in the enterprise management.
-  This indicator is examined through  7.1.9 in the small forest standard *see 7.1.9/
 G.1.1f*
- 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. *see Appendix II*
- 1.4.1 Potential conflicts between existing laws and this guideline are reported to the FSC Working Group Germany in cases where the conflict cannot be resolved by the certifier.
-  1.4.1 This indicator applies in the small forest standard accordingly.
- 1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.
- 1.5.1 In cases of unauthorized forest use by a third party, the forest owner notifies the responsible agencies..
-  1.5.1 This indicator applies in the small forest standard accordingly.  A.1.3
- 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria. *see Appendix II*
-  1.6.1 The forest owner commits to the long-term management of the forest in accordance with the standard.  A.III.1
see Appendix I
- Signed contract with an FSC-accredited certification body (doc.).
 - The long-term orientation of management in accordance with this standard is incorporated into the management plan (doc.).
- 1.6.2 The present “German FSC Standards” are recognized by the signatories to this agreement.
-  This indicator is not examined in the small forest standard. *see 1.6.1/
 A.III.1*
- 1.6.3 The forest owner informs its employees, contractors and the public about the FSC certification.
-  1.6.3 The forest owner informs its employees and contractors about the FSC certification.
- Discussion with those people engaged in forest work (int.)

Principle 2: Tenure and Use Rights and Responsibilities

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

Explanation:

A clear legal definition of ownership and utilization claims is required for responsible and sustainable management of forest resources. Besides ownership rights, this also includes legally established or contractually regulated forest use rights (e.g., grazing, timber harvest, hunting rights) as well as customary rights (e.g., use of non-timber forest products).

- 2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated. *see Appendix I "Use rights"*
- 2.1.1 The forest owner provides documents and maps which clearly indicate property rights and ownership.
-  2.1.1 A legally valid proof of forest property rights and ownership is on file. * A.II.1*
- Proof of ownership in the form of an excerpt from the land register or a land tax assessment notice (doc.).
 - In the case of group certification:
 - Cartographic representations of the ownership situation (doc.).
- 2.1.2 The forest owner provides documents concerning existing use rights (e.g., game tenancy agreements, mineral extraction rights).
-  2.1.2 The management is aware of existing use rights and customary use of the forest on the part of the locally resident population. Such uses are possible without restriction provided that the vitality of the forest is not adversely affected. * A.II.2
see Appendix I "Customary rights"
Examples are old selection and firewood rights*
- The management declares other alternate uses (int.).
 - In the event of possible restrictions a well founded rationale is provided (doc.).
 - The stakeholder process provides no indications of restrictions on the customary uses (con.).
- 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. *see Appendix I "Local population"*
- 2.2.1 Well-established, customary forest uses (by the local population and the public) are respected even when not embodied in law as long as they are not contrary to the goals of this standard. *see 4.1.3*
-  This indicator is examined through  2.1.2 in the small forest standard. * A.II.2*
- 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.
- 2.3.1 If no friendly agreement is reached in conflicts over tenure claims and user rights, then the arbitration process as regulated by law shall be applied. *See Appendix I for "Arbitration"*
-  2.3.1 Appropriate mechanisms are employed to resolve disputes over tenure and use rights. * A.II.3
see Appendix II*
- Discussion with the management about possible demands of third parties (int.).

- Survey of neighbors (con.).

2.3.2 The forest enterprise can document previous or existing conflicts and their arbitration.



This indicator is not examined in the small forest standard.

Principle 3: Indigenous Peoples' Rights

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

According to the definition by the United Nations, there are no indigenous peoples in the Federal Republic of Germany. Therefore, this principle is not applicable in its present form.

Aspects of this principle which relate to the interests of the local population are covered under Principle 2 (customary rights), Principle 4 (community interests), and Principle 9 (preservation of sites of cultural or historic significance).

*see Appendix I
"Indigenous
peoples"*

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.

Explanation:

Based on their knowledge and capacities, the employees represent an important success factor. Adequate consideration of their interests, and the promotion and incorporation of their knowledge and capacities into the work process will enhance sustainable management operations. Socially beneficial personnel policy is an integral part of comprehensive sustainability of forest management.

By providing information, forest management processes become more transparent to the local population. Thus, forestry enterprises contribute to enhancing the public's appreciation of forest utilization.

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

see 5.4.1

4.1.1 The forest owner considers proposals from local workers and contractors when giving out contracts.

4.1.1.1 Local contractors are identified and contacted.

4.1.1.2 Requirements contained in tender documents do not disadvantage local contractors.

 4.1.1 The forest owner considers proposals from local workers and contractors when giving out contracts.

 F.II.1

– Contacts exist between the management and local contractors (doc.).

– Contracts with forest workers and contractors (doc.).

– Invoices from contractors (doc.).

– Local contractors are familiar to the management (int.).

4.1.2 Employees are regularly able to pursue continuing education and advanced training opportunities and the employer supports them in these undertakings.

4.1.2.1 The employer offers all employees information about and opportunities to participate in education and training programs, including workplace safety training.

4.1.2.2 The employees are satisfied with the information and the chances for participation.

 4.1.2 Employees active within the concern or in the forest are appropriately trained or possess equivalent practical experience.

 E.II.1
see Appendix II

– No indication of insufficient qualifications during the observation of activities (site inspection).

– References/certificates for education and training programs, for example, chainsaw training, agricultural vocational training (preferably training for a forestry career) (doc.).

– Discussions with employees and subcontractors about the type and quality of activities in the forest (int.).

– Discussion with forest owner (small forest concern) about the type and quality of activities in the forest (int.).

4.1.3 The forest can be entered by the local population for recreational uses.

see. 2.2.1

 This indicator is not examined in the small forest standard.

4.1.4 The forest can be used by local schools and training centers for the purposes of

further education.

 This indicator is not examined in the small forest standard.

4.1.5 The forest enterprise offers training positions and internships for local applicants where feasible.

 This indicator is not examined in the small forest standard.

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

4.2.1 Forest operation is organized and carried out in order that workplace healthcare and safety is provided. *See Appendix I for "Rescue Chain", "benzene-free fuel," certified forest engineering work equipment"*

4.2.1.1 Accident prevention rules, laws and regulations are observed, particularly specifications for individual protective clothing and equipment. The rescue chain is ensured according to the country-specific guidelines.

4.2.1.2 Work assignments and risk assessments are existent and documented according to the guidelines of the labour protection laws.

4.2.1.3 Only benzene-free fuels are used for two-stroke engines in the forest enterprise. For non-commercial self-employed workers the forest enterprise works towards the use of benzene-free fuels.

4.2.1.4 The Forest Enterprise shall use certified forest-engineering work equipment as far as possible. For non-commercial self-employed workers the forest enterprise works towards such use.

 4.2.1 Accident prevention rules are observed, including specifications for individual protective clothing and equipment.  *E.I.1*

- Accident prevention rules are observed (site inspection).
- Protective clothing and equipment are provided (site inspection).
- Proof of participation in safety training and first aid courses (doc.).
- Discussion with those people engaged in forest work about the relevant requirements (int.).

4.2.2 All forest operations are adequately monitored and inspected to ensure correct compliance with safety regulations and the forest management plan.

4.2.2.1 Compliance with health and safety regulations on the worksite and the results of the forest work are regularly checked.

4.2.2.2 Safety-related support is ensured. Workplace safety personnel are designated and their duties are clearly defined.

4.2.2.3 Consultations with employees are solicited and documented.

4.2.2.4 Inspections by the accident insurance providers are documented.

 This indicator is not examined in the small forest standard.

4.2.3 All forest operations are carried out by forest owners, contractors and their employees with adequate vocational training, preferably obtained through professional education in forestry or equivalent practical experience (exception: trainees).

4.2.3.1 The enterprise encourages professional training in accordance with the Vocational Promotion Act.

 This indicator is examined through  4.1.2 in the small forest standard. *see E.II.1/*

4.2.4 Forest management and hired contractors comply with social welfare regulations. In particular, they will demonstrate: *see Appendix II*

4.2.4.1 Contractual relationships with appropriate accident insurance providers.

4.2.4.2 Liability insurance coverage.

4.2.4.2 Compliance with the provisions of social insurance law.

4.2.4.3 Work permits for employees from non-EU member states.

4.2.4.4 Maintenance of personnel files for all employees of the forest enterprise.

4.2.4.5 Documents shall be provided on request.

 4.2.4 This indicator applies in the small forest standard accordingly.

 E.I.1

– Social welfare contributions and fees for the appropriate professional associations are paid where required (doc.).

– Liability insurance coverage (doc.).

– Work permits for employees from non-EU member states (doc.).

4.3 The rights of the staff to organize and voluntarily negotiate with the employers are guaranteed according to conventions 87 and 98 of the International Labour Organisation (ILO).

see Appendix II

4.3.1 Forest management guarantees the employees' right to join trade unions and organizations.

 4.3.4. All employees have the right to join a trade union or other representative organization.

 E.III.1

see Appendix II
pamphlet I

– Employees confirm that no restrictions have been put in place by the employer (int.).

4.3.2 Forest management guarantees employees attest that they have no fear of sanctions from the employer.

 This indicator is not examined in the small forest standard.

4.3.3 Forest management guarantees at company meetings or similar events, employees are kept informed about business developments which affect them.

 This indicator is not examined in the small forest standard.

4.3.4 Forest management guarantees trade unions will be kept informed and consulted about the certification through a consultation process.

 This indicator is not examined in the small forest standard.

4.3.5 Forest enterprises, hired contractors and subcontractors abide, at a minimum, by the applicable wage agreements, as negotiated for work of this kind by trade unions and employers' associations at the location of the work in question.

4.3.5.1 Actual wages correspond to negotiated wage agreements.

 This indicator is not examined in the small forest standard.

4.3.3 Employees in enterprises which meet the requirements of the Works constitution Act and the Employees Representation Act can represent their interests in the enterprise and participate in business developments relevant to them.

4.3.3.1 The employees confirm that they participate appropriately.

 This indicator is not examined in the small forest standard.

4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.

4.4.1 Whenever possible, personnel are employed year-round and receive long-term contracts. Deviations from this rule must be justified.

 This indicator is not examined in the small forest standard.

4.4.2 Layoffs are to be justified by the enterprise and carried out in ways that mitigate their

social impact.

4.4.2.1 In case of layoffs due to changes in business conditions, management and employees will consensually prepare a Social Plan.

 This indicator is not examined in the small forest standard.

4.4.3 The social impacts of forest management practices are assessed.

4.4.3.1 Accident and absenteeism statistics are compiled and evaluated annually.

4.4.3.2 Changes in workforce structure and employment levels are documented and evaluated.

4.4.3.3 Suggestions and comments from consultations with directly interested parties are documented.

 This indicator is not examined in the small forest standard.

4.4.4 Results of studies to assess the social impact of forest management practices are incorporated in forest management plans and the resulting measures.

 This indicator is not examined in the small forest standard.

4.4.5 Sites of special culture, economic or religious significance for the public and historic forest sites are clearly identified and protected by forest management.

 4.4.4 Sites of special cultural, historical or religious significance for the public are clearly identified and protected by appropriate measures decided upon in cooperation with relevant local representatives.

- Known sites or indications thereof are mapped or documented (doc.).
- The management provides details of an appropriate form of management for the identified sites (int.).

 *F.1.3*
Examples:
 – archaeological sites
 – sites related to well known art or literature
 – historical boundaries
 see Appendix II and 7.4.1

4.4.6 Neighboring property owners and representatives of particular interests are kept informed of forest operations that materially affect them.

4.4.6.1 Their participation can be verified.

4.4.6.2 Agreements are integrated into the forest management plan.

4.4.6.1 Their comments are solicited and actions are considered to address these comments

4.4.6.2 Any Agreements reached are integrated into the forest management plan.

 4.4.6 Neighboring property owners and relevant local representatives are informed of measures that may materially affect them or the public and are their comments are solicited.

- Copies of letters or notices pertaining to upcoming operations (doc.).
- Proof of constructive handling of complaints (doc.).
- Discussions with neighboring property owners (con.).

 *F.III.1*
Examples of such operations are:
 – Transport of round wood by heavy vehicles.
 – Danger posed by hanging or unstable tree parts.

4.5 Appropriate mechanisms are 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 the local population. Measures are taken to avoid such loss or damage.

4.5.1 Forest management takes steps to prevent loss or damage from forest operations. In case of disputes, affected parties are free to seek legal redress.

see. 1.1.2
 see Appendix II

 4.5.1 Appropriate measures for the avoidance of and, where required, the compensation for damage to materials or the health of third parties are in place.

 *F.III.2*
 see Appendix II

- Documentation of regular road safety checks (doc.).
- The enterprise is covered by employer's liability insurance or private insurance in case of potential damage claims (doc.).

4.5.2 The enterprise is covered by employer's liability insurance or private insurance in case of potential damage claims.

 This indicator is not examined in the small forest standard.

4.5.3 Forest management regularly checks that the enterprise is meeting its duty to safeguard the public and keeps records of checks.

 This indicator is not examined in the small forest standard.

4.5.4 The handling and resolution of disputes are documented

 This indicator is not examined in the small forest standard.

Principle 5: Benefits from the Forest

Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.

Explanation:

The forest owner has the responsibility for the economic opportunities and risks resulting from his commitment to an ecologically responsible, socially beneficial, and economically viable forest management. This principle establishes the importance of the economic viability of an ecologically operating individual enterprise as well as the important role of the forestry and timber industry as a whole in the economic development of a viable rural area.

Economically sustainable forest management shall in the long run secure and create income and jobs in structurally poor rural areas. Regional and local "value adding" shall be promoted.

5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.

5.1.1 Forest management has at its disposal adequate funding to carry out the planned management operations, the responsible care and preservation of the forest.

-  5.1.1 The forest enterprise strives at the very least for a balance between income and expenditures and has at its disposal adequate funding to carry out the management operations planned.
 - Sufficient funds estimated on the basis of operational records and/or local comparison values (assortment yield, prices, harvesting and extraction expenses, silviculture expenses, administration expenses) including possible grants (doc.).
 - The necessary investments/operations in the forest are executed (doc.).

 B.1.2
see Appendix II

5.1.2 The financial plan ensures that sufficient funds are available to carry out the management plan.

-  This indicator is not examined in the small forest standard.

5.1.3 As part of the enterprise's bookkeeping, all relevant business proceedings from the sale of goods and services (protective and recreational functions) are documented in accounting statements

-  This indicator is not examined in the small forest standard.

5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products. see 5.4

5.2.1 The widest possible range of forest products and the production of high quality timber are strived for.

-  5.2.1 The widest possible range of forest products and the production of high quality timber of marketable dimensions are strived for.
 - Differentiation of the sales figures according to timber assortments (doc.).
 - Consideration of sales figures during preparation of the next felling plan (doc.).
 - The quantity of harvested timber used by the enterprise for its own purposes is documented, where applicable (doc.).

 B.II.1
see Appendix II

5.2.2 By customized processing the most high-value range of products possible are

marketed.

 This indicator is examined through  5.2.1 in the small forest standard. 

5.2.3 Sales figures are separated by category and considered during preparation of the next felling plan.

 This indicator is not examined in the small forest standard.

5.2.4 Forest management promotes the development of markets for lesser known timber species and products.

5.2.4.1 Information pertinent to sales and marketing is available in the enterprise.

5.2.4.2 Offers for lesser known timber species are expressively made.

 5.2.4 Forest management promotes local marketing and processing.  F.II.2

– Information pertinent to sales is available in the enterprise (doc.).

– Information pertaining to the assessment of local marketing options, for example, community marketing through forestry cooperatives (int.).

5.2.5 Secondary forest products and forest services are utilized and marketed where possible, insofar as this does not interfere with lawful use or the vitality of the forest.

*see Appendix I
"Non-timber
Forest Products"
"Services", see
6.3.10, 8.2.2*

5.2.5.1 Rendered services and sales of secondary products are documented.

 B.II.2

 5.2.5 This indicator applies in the small forest standard accordingly.

5.3 Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.

*See Appendix I
for "waste"*

5.3.1 Forest management undertakes and documents appropriate measures for protection of remaining stands, forest regrowth, soil and water quality, and wild animal life.

*See Appendix I
for "Non-solid
volume"*

5.3.1.1 Forest management will minimize damage from felling and removal, damage to fallen logs, natural regrowth and soils.

*See Appendix II,
see 6.2.1, 6.5.5,
6.3.8*

5.3.1.2 Tree harvesting and thinnings are guided by current best practices.

5.3.1.3 Removal of unused biomass is minimized; non-solid volume remain in the forest, as far as possible.

5.3.1.4 The protective measures are specified in the management plan and agreements with contractors.

5.3.1.5 Biodegradable chainsaw oils and hydraulic fluids are used in the managed forest area.

5.3.1.6 All machines with hydraulic oil unit have to provide so-called "emergency kits" (binder, collecting vessel or the like) on board for a case of damage.

 5.3.1 Timber waste and damage to the stand and ecosystem resulting from felling, processing and extraction operations are minimized.  B.III.1

– The extent and degree of felling and extraction damage, damage to felled stems, natural regrowth and soils (site inspection).

– Implementation of management techniques minimizing damage to the stand and soils (site inspection).

– Contractors are familiar with FSC standards (doc.).

– Biodegradable chainsaw, hydraulic and lubricating oils are used in the forest management area, and, insofar as possible, environmentally friendly fuels (int.).

5.3.2 The forest enterprise uses practices, for quality safeguarding in the context of awarding, assigning and controlling of contractors that are adequate to ensure the compliance with the FSC standards, in particular the criterion 4.2, 4.3.5 and 6.5.

see Appendix II

5.3.2.1 Corresponding arrangements are made and implemented

 This indicator is not examined in the small forest standard.

- 5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product. *see 5.2.1*
- 5.4.1 Forest management addresses the needs of regional industry and small businesses (e.g. regarding lot size) by considering the offer of small orders and secondary forest products to encourage regional value adding. *see 4.1.1*
- 🚧 5.4.1 This indicator applies in the small forest standard accordingly.
- Information pertinent to sales is available in the enterprise (doc.).
- 5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.
- 5.5.1 In forest areas with primary functions, forest management will take measures to maintain and if necessary enhance these functions. *see 6.2, 9.1
see Appendix I
"Protective and recreational functions "*
- 🚧 5.5.1 In forest areas with primary functions, forest management will take measures to ensure these functions.
- Measures endangering primary functions of forests are not implemented (int.)
- Forest management will maintain or enhance the aesthetic value of the forest. *see 6.3.13*
- 5.5.2.1 Measures to maintain forest margin structures are taken.
- 5.5.2.2 Noteworthy discrete objects, such as trees designated as monuments and unusually striking individual trees are known and protected even when not designated as natural monuments.
- 🚧 5.5.2 Forest margins and noteworthy discrete objects are maintained or their value enhanced. *🚧 F.1.2
Examples of noteworthy objects:
– noteworthy vantage points
– natural monuments
– exceptional individual trees*
- Forest margin structure (site inspection).
 - Measures for the maintenance of potential noteworthy discrete objects (int.).
- 5.5.3 The forest enterprise does not induce impairment of water quality and aquatic life forms in water bodies which result in impairment of water usage.
- 🚧 5.5.3 This indicator applies in the small forest standard accordingly. *🚧 F.III.3*
- Information from users of water bodies about the state and quality of water and embankment areas (con.).
- 5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained.
- 5.6.1 Planned harvests do not exceed sustainable harvesting rates. *see Appendix II*
- 🚧 5.6.1 This indicator applies in the small forest standard accordingly. *🚧 B.I.1
see Appendix II*
- Harvested areas and areas where harvest is planned (site inspection).
 - Documents pertaining to the actual cut (doc.).
 - A long-term set of targets exists, which may not be compromised (doc.).
 - Yield values serve as comparative values (int.).
- 5.6.1 A concept for developing large and valuable timber stocks while approximating tree species composition, dynamics and structure of natural forest plant associations serves as basis to derivate prescribed cut.



This indicator is not examined in the small forest standard.

Principle 6: Environmental Impact

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

Explanation:

Close-to-nature forest ecosystems approximating the tree species composition, timber stock, dynamics and structure of natural forest plant association serve as models for the intended managed forests. Ecologically stable forest ecosystems are a prerequisite for the preservation and enhancement of biological diversity as well as for the productive capacity of the natural system as a whole.

Forest cultivation follows the provisional principle. By fully keeping the standards in its entirety it is ensured that during the regular cultivating process, environmentally damaging methods can be excluded or reduced to a minimum.

Those processes naturally occurring in forest ecosystems will be utilized. The use of the forest and the preservation of the functioning of the ecosystem are not mutually exclusive. Non-utilized forest ecosystems are essential for the conservation of biological diversity, and may serve also as study and reference sites. Old trees and groves, retention of standing or fallen dead wood, and habitats linked to the natural decay processes in the forest form integral parts of a sustainable, close-to-nature forest management.

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

see 7.1.3

6.1.1. The forest enterprise is aware of the general and scientifically recorded consequences of actively intervening in the ecosystem. The results of the inventory from 7.1.3 require special consideration.

6.1.1.1 The forest enterprise can present his knowledge of the consequences.

 6.1.1 Prior to forest management operations the possible negative impacts upon the environment are determined and the operation is executed in such a way as to minimize the impacts.

 D.1.1

see Appendix II

– Permits for operations (afforestation, road construction, quarrying for the provision of construction materials, intrusions in nature and the landscape as defined under BNatSchG) are on file in the enterprise (doc.).

– The management can demonstrate its knowledge of possible negative consequences (int.).

– The management can demonstrate the precautions and countermeasures applied (int.).

6.1.2 If there are more environmentally friendly measures, the forest owner integrates those into management systems, as long as it is economically sound.

 This indicator is examined through  6.1.1 in the small forest standard.

see 6.2.1

6.1.3 The forest enterprise initializes a professional assessment about the impacts of its management when impairment of as important identified areas (according to 6.2.1) can not be put out of question. The forest enterprise refrains from measures that are expected to follow up with severe impairment.

6.1.3.1 The forest enterprise can prove that appropriate assessments are taken and

that measures are integrated into the management system accordingly.

 This indicator is not examined in the small forest standard.

6.1.4 For measures, that are not part of forest cultivation but are undertaken by the forest enterprise or third parties in the forest, the necessary administrative authorizations have to be existent.

see Appendix II

 This indicator is not examined in the small forest standard.

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.

6.2.1 Populations of endangered flora and fauna species and their habitats as identified in 7.1.3, legally-protected and ecologically sensitive areas as well as all relevant and available environment-oriented baseline-surveys are known and considered during management. For forest enterprises with forest operating plans it is furthermore necessary to:

*see Appendix I
"ecologically sensitive areas",
"environment-oriented baseline-surveys",
"operating plan",
"environment-oriented spatial and sectoral planning",
"endangered species",
see 9,
see Appendix II
see 6.4.2, 7.1.13*

6.2.1.1 Have the respective areas described, known and depicted on maps.

6.2.1.2 Know about relevant and accessible environment-oriented spatial and sectoral planning.

6.2.1.3 Regularly obtain information about endangered species and habitats are regularly obtained.

 6.2.1 Populations of endangered flora and fauna species as identified in  7.1.3 and designated protected areas are identified by the enterprise.

 *D.II.1*

– The forest enterprise can verify its awareness of endangered species and designated protected areas (int.).

– The forest enterprise regularly obtains information about endangered species and habitats, and protected areas (int.).

– The forest enterprise can present information pertinent to the precautionary measures applied (site inspection).

6.2.2 When forest operations pose a threat to legally protected rare species, forest management methods are to be modified accordingly (e.g. scope and timing of activities).

see Appendix II

6.2.2.1 Affected areas are familiar to the enterprise. Relevant maps are available on forest district level.

6.2.2.2 Recommendations from local experts regarding modifications to forest operations will be requested and considered.

 6.2.2 This indicator applies in the small forest standard accordingly.

 *D.II.2*

– If the impact of an operation cannot be determined, specialist consultancy is required (int.).

– Inspection of modified management measures (site inspection).

6.2.3 Natural micro-sites or micro-sites created by long-term human activity which are forest free are protected to ensure habitat diversity.

 6.2.3 This indicator applies in the small forest standard accordingly.

 *D.II.4*

see Appendix II

– On site observation (site inspection).

When other forest uses (e.g. hunting, fishing, gathering or recreation) adversely affect endangered species or habitats, forest management will take steps to ensure that these

see Appendix II

activities are correspondingly altered.

- 6.2.4 When other forest uses (e.g. hunting, fishing, gathering or recreation) adversely affect endangered species or protected areas, forest management will take steps to ensure that these activities are correspondingly altered.
 - The management can demonstrate the corresponding alteration of alternative forest uses (int.).

D.II.3

6.3 Ecological functions and values of the forest are maintained intact, enhanced, or restored including:

a) Forest regeneration and succession

b) Genetic, species, and ecosystem diversity

c) Natural cycles that affect the productivity of the forest ecosystem

6.3.1 The goal of silviculture management and harvesting strategies is the existence of forest stands appropriate to the region approximating the tree species composition, dynamics and structure of natural forest plant association.

see Appendix I for "appropriate to the region", "natural forest plant association"

- 6.3.1 This indicator applies in the small forest standard accordingly.
 - Management plan and operational reports, for example in the form of a forest diary (template available from the FSC AGD) (doc.).

6.3.2 The choice of tree species is guided by the composition of the natural forest plant association.

see 6.9.1,

- 6.3.2 This indicator applies in the small forest standard accordingly.
 - Management plan and operational reports, for example in the form of a forest diary (template available from the FSC AGD) (doc.).

C.II.1

6.3.3 Natural regeneration is given priority. If it is expected that even-aged, pure stands detrimental to the site will develop due to natural dynamics; appropriate measures will be taken to ensure a viable proportion of tree species from native forest plant association.

see Appendix I "detrimental to the site", "even-aged pure stands", "viable proportion"

- This indicator applies in the small forest standard accordingly.

C.I.1

6.3.4 Natural succession and differentiation processes are used in forest development. Natural succession is incorporated into afforestation and reforestation.

see Appendix I "Succession"

- 6.3.4 Natural succession and structure differentiation processes are used in forest development.
 - Natural succession is incorporated into afforestation and reforestation measures.

C.I.2

6.3.5 Artificial regeneration is restricted to:

see 6.9.1

- 6.3.5.1 the development towards eco system-stable forests
- 6.3.5.2 advance planting and under planting
- 6.3.5.3 afforestation and reforestation
- 6.3.5.4 the enhancement of species diversity

- 6.3.5 This indicator applies in the small forest standard accordingly.
 - Investigation of the sites to be regenerated (site inspection).
 - Description of the measures for the promotion of regeneration in the management plan (doc.)

C.I.1

Seeds and wild saplings from FSC certified enterprises are preferably used for regeneration measures. Furthermore, planting material from low-pesticide production (abandonment synthetic pesticides, growth regulators and herbicides) is preferred as far as available on the

see Appendix II

market and economically feasible. The forest enterprise can provide relevant supporting documents.

 This indicator is not examined in the small forest standard.

6.3.7 Assurance and verification of the origin of seed and plant stock in compliance with the forest reproductive material law (FoVG) is effected with a professionally acknowledged method that is suitable in practice.

see Appendix II

6.3.7.1 The method of verifying is bindingly integrated in the operational sequences and the execution is documented.

 This indicator is not examined in the small forest standard.

6.3.8 Wild game populations are managed in ways that permit natural regeneration of tree species of natural forest plant associations without human assistance.

*see Appendix II,
see 5.3.1*

6.3.8.1 The forest owner states, how he wants to implement this.

6.3.8.2 Browsing and debarking damages are assessed regularly through acknowledged methods (e.g. through browsing reports or indicator fences).

6.3.8.3 Hunting plans incorporate these results.

 6.3.8 This indicator applies in the small forest standard accordingly.

 *D.IV.1
see Appendix II*

– Browsing impacts are assessed regularly (for example, browsing reports, self-regulation) (doc.).

– The management aims to incorporate the browsing impact in hunting plans and is aware of the extent to which the targets set down in the hunting plan are being met (int.).

6.3.9 Forest owners, who are self-hunting proprietors, shall advocate for the use of such hunting munitions which minimize the entry of harmful substances, avoids health risks by consumption of game and meets the highest animal protection and safety standards.

see Appendix II,

 6.3.9 This indicator applies in the small forest standard accordingly.

– The Forest owner states how he advocates for the use of proper munitions (int.)

6.3.10 If the game is marketed as FSC certified, it has been shot with “unleaded munitions”.

see 5.2.5

 This indicator applies in the small forest standard accordingly.

6.3.11 Stands of tree species detrimental to the site are developed over time towards close-to-nature forest stands.

*see Appendix I
"detrimental to the site", "over time",
"Close-to-nature Forest Stands"*

6.3.11.1 The stocks and areas detrimental to the site are known.

6.3.11.2 A concept for development approximating the tree species composition is available and will be implemented step by step.

 6.3.11 Stands of tree species detrimental to the site are transformed over time into close-to-nature forest stands. Measures undertaken target an improvement of the soil structure, soil fertility and biological activity.

 *C.II.2
see Appendix II*

– Stands observed (site inspection).

– The affected stands and stand types are known; the procedure for conversion in different stand types is set down (int.).

6.3.12 Harvesting is done through felling of single trees or selected groups; clear-cutting is on principle avoided.

*see Appendix I
"group", "clearcut",
"conversion"*

The following justifiable exceptions may be granted in isolated cases after prior consultation with the certifier:

6.3.12.1 The conversion of statically unstable, non-natural stands.

6.3.12.2 Smallest forest enterprises (maximum size 5 hectares) may harvest quantities of timber extractable only through clear-cutting due to exceptional circumstances, namely that the enterprise is unable to use

other felling methods for internal structural reasons. Even in these cases the cutting area is not to exceed 1 hectare. Adjacent cleared areas are included in this calculation if they meet the definition of forest areas under applicable state forest law.

- 🌲 6.3.11 Harvesting is carried out through the felling of single trees or selected groups; clear-cutting is avoided.
- Investigation of relevant sites (site inspection).

🌲 C.III.1
see Appendix II

6.3.13 A strategy for the maintenance and proliferation of a sustainable coexistence of all structures and dimensions of biotope trees and dead wood is determined and integrated into the management plan. This also includes regulations about the biotope trees that remain permanently in the forest and are left to their natural aging process; over time a benchmark of an average 10 biotope trees per hectare is aspired to.

see Appendix I
"Management plan", "biotope trees", "deadwood", "trees of exceptional economic value"

6.3.13.1 Biotope trees are in particular large living trees with cavities, trees with woodpecker holes, non-coniferous trees that sporadically appear in coniferous forests as well as extraordinary thick trees, insofar as in each case no trees of exceptional economic value are affected. Furthermore, trees that have been split or broken apart by storms or lightning strikes, as well as dead trees that have split or fallen due to advanced decomposition shall remain in the forest.

6.3.13.2 Gradual conversion of the working strategy and goals will be proved in appropriate form.

6.3.13.3 Biotope trees will be marked in the course of forestry measures with the exception of the sporadic non-coniferous trees that appear in coniferous stands. The marking takes place at the latest by the start of the goal diameter harvest or by 2/3 of the rotation age.

6.3.13.4 Dead standing trees remain in the forest until decay.

- 🌲 6.3.13a The forest enterprise determines how to maintain and proliferate biotope trees and dead wood.
- Procedure for the maintenance and proliferation of biotope (habitat) trees and dead wood (int.).
 - Observation in the field (site inspection).

🌲 D.III.1

- 🌲 6.3.13b Trees with woodpecker holes or other natural cavities are exempt from forestry use and left to age and decay naturally, insofar as the trees in question are not of exceptional economic value, or are in a forest site (e.g., subsection) where more than 10 trees per hectare would have to be protected.
- Observation in the field (site inspection).

🌲 D.III.2
see Appendix I
"trees of exceptional economic value"

- 🌲 6.3.13c As a rule, solitary trees that have been split or broken apart by storms or lightning strikes, as well as dead trees that have split or fallen due to advanced decomposition, remain in the forest
- Observation in the field (site inspection)

🌲 D.III.3

6.3.13 Whole-tree harvesting is not practiced.

see Appendix I
"Whole tree harvesting"

- 🌲 6.3.13 This indicator applies in the small forest standard accordingly.
- No pertinent reference in the management plan (doc.).

🌲 C.III.2

6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources.

6.4.1 Forest enterprises with forest land of more than 100 hectares shall designate 5% of their forest land as area with special function for nature conservation. Concerning private forests, in long-term 2% of forest land is to remain uncultivated or is to take out of

see Appendix I
"forest land", see Appendix II

management, also in dependence of an economic compensation by third parties.

6.4.1.1 Local experts are included in the selection of these areas.

6.4.1.2 If suitable, reference areas can be included.



This indicator is not examined in the small forest standard.

6.4.2 Representative examples of natural or cultivated forest plant associations that are available in the forest enterprise are accounted as “reference areas” for the respective forest growth region. In regard to a closer to nature use of commercial forests these areas serve as learn and sample areas. The single areas are usually 100 hectares in size and at minimum 10 hectares. They are suitable to support the forest owner achieving the goals of 6.3.1.

see Appendix I for “growth region”, “cultivated forest plant associations”, “reference areas”, see 6.3.1



This indicator is not examined in the small forest standard.

6.4.3 Federal and state forests as well as communal forests from a size of at least 1000 hectare forest land convert at least 5% of their forest land into reference areas within five years after FSC certification.



This indicator is not examined in the small forest standard.

6.4.4 Reference Areas outside of the own forest enterprise can be charged insofar as they are:

- unmanaged and bindingly exempt from usage and
- representative for the forest enterprise and
- located in the same growth area and
- at least 10 hectares in size.



This indicator is not examined in the small forest standard.

6.4.5 Reference areas are systematically surveyed, evaluated and maintained as study and control sites with a view to promoting more ecologically appropriate use of managed forests.

see 7.1.4, 8.1.2

6.4.5.1 Reference areas are monitored by the forest enterprise through annual inspections.

6.4.5.2 Evaluation includes specifically the aspects of stock, closeness to nature, composition of tree species as well as biotope and dead wood.

6.4.5.3 From the inventory data of the reference area conclusions are derived that serve as guidelines.

6.4.5.4 Reference areas are made available by the forest enterprise for scientific studies as needed.

6.4.5.5 On demand, the forest enterprise provides the results of its evaluation to the forest enterprises according to 6.4.6.



This indicator is not examined in the small forest standard.

6.4.5 Forest enterprises that don't fall under 6.4.3 orientate themselves in terms of management to the respective reference area that lies closest to them and acquire the relevant knowledge.



This indicator is not examined in the small forest standard.

6.5 Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.

see 5.5 and 6.3 see Appendix II

See 5.3.1 and 5.3.2.

Fundamentals and Road Construction

6.5.1 The skid trail network is mapped out to support long-term forest cultivation as specified in 6.3. The trail network accommodates local conditions and minimizes the forest soil area used by vehicles. Driving takes place only on the designated system of opening up; an exception is the driving according to 6.5.6.

See Appendix I for "long-term", "forest soil", see 6.5.6, 7.1.11

6.5.1.1 This rule is presented in writing and stipulated in agreements with contractors.

6.5.1.2 Controls and penalties for violations are fixed.

-  6.5.1 The extraction trail network accommodates local conditions and minimizes the forest floor area used by vehicles. Driving takes place only on the designated system of opening up; an exception is the driving according to 6.5.6.
- This rule is presented in writing and stipulated in agreements with contractors (doc.).
 - Controls and penalties for violations are fixed (doc.).
 - The chosen interval between extraction trails is based on ecological, economic and social aspects (doc.).
 - Construction of new roads and trails is minimized. In cases where a more efficient extraction trail system is required, expansion of existing roads is given preference over new construction (management plan) (doc.).
 - The management is aware of the accepted principles of sustainable forest access (see annotations) (int.).
 - Information concerning and justification for planned possible forest road construction measures (int.).

 C.IV.1/3

6.5.2 Road construction and maintenance is based on accepted principles of sustainable forest access.

 This indicator is examined through  6.5.1 in the small forest standard.



6.5.3 New road construction will be minimized. If a more elaborate system of opening-up is necessary, expansion of existing roads is given preference over new construction.

 This indicator is examined through  6.5.1 in the small forest standard.



Opening up by skid and road trails

6.5.4 A permanent forest road and skid trail system considering local and concrete conditions is set up for soil and stand preserving timber. The forest enterprise aims for skid trail gaps of 40 meters. Necessary divergences are to be explained professionally comprehensible by the forest enterprise. Skid trail gaps less than 20 meters are excluded.

- Skid trails are clearly marked prior to harvesting.

-  6.5.4 A permanent forest road and skid trail system considering local and concrete conditions is set up for soil and stand preserving timber. Skid trail gaps less than 20 meters are excluded. Gaps of 40 meters are aimed for.
- Skid trails are clearly marked prior to harvesting (site inspection).
 - Information on the type, density and planning in future of the opening-up is provided by the management (int.).

 C.IV.2

6.5.5 Low-impact driving and skidding is ensured through the selection of suitable machinery and equipment as well as appropriately timed operations.

see 5.3.1

6.5.5.1 Appropriate steps are specified in the annual planning process and take advantage of best available technology.

-  6.5.5 Low-impact driving and skidding is ensured through the selection of suitable machinery and equipment.
- Observation in the field (site inspection).
 - Appropriate steps are specified in the annual planning process (doc.).

 C.V.1
Suitable equipment includes, for example, wide tires, low pressure

- The management takes advantage of the best available technology (int.).

tires and glide tracks.

Soil Cultivation

6.5.6 Soil cultivation activities do not impact mineral soils. If individual cases require exposure of mineral soil, it is in limited areas to promote regeneration towards the natural forest plant association. Driving offside the opening-up is acceptable in following urgent cases:

see Appendix I for "mineral soil"

- A thick raw humus layer hinders the regeneration.
- Browsing by game is not causing absence of regeneration.
- It is ensured, that a successful regeneration is not endangered because of browsing by game.
- Alternative practices like horse use are technically or financially not feasible.
- As little forest soil as necessary is driven on.
- Soil damage is minimized through appropriately timed operations and best available technology.
- The type and scope of soil cultivation activities are documented and carried out according to a management concept.

 6.5.6 This indicator applies in the small forest standard accordingly.

 C.V.2

- A thick raw humus layer hinders the regeneration (site inspection).
- Browsing by game is not causing absence of regeneration (site inspection).
- It is ensured, that a successful regeneration is not endangered because of browsing by game (site inspection).
- Alternative practices like horse use are technically or financially not feasible (int.).
- As little forest soil as necessary is driven on (site inspection).
- Soil damage is minimized through appropriately timed operations and best available technology (site inspection).
- The type and scope of soil cultivation activities are documented and carried out according to a management concept (doc).

Water and Wetlands Protection

6.5.7 Adjacent to water courses and bodies of water, the development of continuous stocking with tree species from native forest plant associations is promoted.

see 6.3.1

6.5.7.1 Tree species which do not belong to native forest plant associations are removed over time.

 6.5.7 This indicator applies in the small forest standard accordingly.

 D.V.1

6.5.6 No area drainage systems are constructed or maintained.

 6.5.6 This indicator applies in the small forest standard accordingly.

 D.V.2

- Observation in the field (site inspection).
- Confirmation by the management (int.).

6.6 Forest management promotes the research, development and use of environmentally friendly, non chemical methods of pest management. On principle, forest management uses neither fertilizers nor chemical pesticides in forests. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain; as well as any pesticides banned by international agreement, are prohibited. If

see Appendix II
see Appendix I
"biocides"

chemicals are used, proper equipment and training is provided to minimize health and environmental risks.

6.6.1 Fertilization to increase productivity is not applied. Liming is permitted when soil analyses recommend compensation for acid deposits.

see Appendix II

- Their necessity will be justified according to the site type and according to the criterion of pH-factor (CaCl₂), base saturation and C/N-relation in the mineral soil.
- The output quantity is determined according to the acid input.
- Nitrogen output can be largely ruled out.
- Damage to flora and fauna can be minimized through appropriate output procedure.

 6.6.1 Fertilization to increase productivity is not applied. Soil protection measures, e.g. liming, are permitted when soil analyses recommend compensation for acid deposits.

 *D.VII.1*

- Presentation of soil analyses prior to liming (doc.).

6.6.2 On principle, chemical biocides and biological control agents are not employed.

*see Appendix I
"biological control agents", "highly hazardous pesticides"
see Appendix II*

Exceptions are official pest-control orders.

6.6.2.1 In this case, the certifier is notified prior to the biocide application. The rationale for the use of biocide is provided and the biocide application is documented for subsequent review. The date of the biocide application and the date of the timber sale will be verified.

6.6.2.2 For highly hazardous pesticides use, a derogation is existent.

6.6.2.3 Where alternatives exist, biological control agents (e.g., *Bacillus thuringensis*-preparations) are preferred.

6.6.2.4 Alternate proposals for the intended purpose were evaluated; biodegradable preparations were expressly requested.

6.6.2.5 Wood which has been treated with chemical biocides may only be marketed as FSC-certified after six months have elapsed from the date of the final biocide application.

 6.6.2 On principle, chemical biocides and biological control agents are not employed. In the event of exceptions:

 *D.VII.2
see Appendix II*

- The enterprise must have obtained an official order (doc.)
- For highly hazardous pesticides use, derogation is needed (doc.)
- The certifiers are notified prior to the biocide application (doc.)
- Proof that alternate proposals for the intended purpose were evaluated: biodegradable preparations were expressly requested (doc.)
- The date of the biocide application and the date of the timber sale are recorded (doc.)

6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.

6.7.1 Off-site disposal is carried out in conformance with laws and regulations.

see Appendix II

 6.7.1 The disposal of chemicals, containers, liquid and solid non-organic wastes, including fuel and oil, is carried out in an environmentally friendly manner outside the forest and in conformance with laws and regulations.

 *D.VII.3*

- Observation in the field (site inspection).
- Disposal is documented (doc.).
- The management makes known the standard practice in the enterprise (int.).

- 6.8 Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited. *See Appendix I "biological control agents", "genetically modified organisms"*
- 6.8.1 Genetically modified seeds and seedlings are not used. *D.VI.3*
-  6.8.1 This indicator applies in the small forest standard accordingly.
- Documentation on the appropriation of plant material (doc.).
 - Information is provided by the management (int.).
- 6.8.2 Managers ensure that only biological control agents approved by the Julius Kühn Institut, Bundesforschungsinstitut für Kulturpflanzen are used, and that the application complies with terms stated by the Agency. *see Appednix I "Julius Kühn Institut, Bundesforschung sinstitut für Kulturpflanzen"*
-  6.8.2 This indicator applies in the small forest standard accordingly.
- 6.8.3 Managers use appropriate techniques and methods for any application of biological control agents so as to minimize the use and avoid damage or detriment to human health or to the environment.
-  6.8.3 This indicator applies in the small forest standard accordingly.
- 6.8.4 If biological control agents are used, comprehensive records of use are maintained by the forest manager, and the impacts of such use are monitored.
-  6.8.4 This indicator applies in the small forest standard accordingly.
- 6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts. *see Appendix I for "exotic species"*
- 6.9.1 Tree species that are not part of natural forest associations (including exotic species) are positioned as single trees or small groups to an extent which does not jeopardize the long-term development of the stands into natural forest associations. *see Appendix I for "stocking goal", "exotic species", "group", "long-term", "nurse crop", "temporary mixture", see Appendix II*
- 6.9.1.1 If the proportion of tree species that are not part of natural forest associations exceeds 20% of the planned stocking goal for the specific forest management unit, the forest enterprise professionally justifies that the development towards the natural forest plant association is not at risk.
- 6.9.1.2 Such proof is not necessary for nurse crop that is not part of natural forest associations, if at most 20% of the stocking unit is taken over as temporary mixture.
-  6.9.1 Tree species that are not part of natural forest associations (including exotic species) are positioned as single trees or small groups to an extent which does not jeopardize the long-term development of the stands into natural forest associations. *D.VI.1*
- Stand establishment and regeneration measures are detailed in the management plan (doc.).
- 6.9.2 Positioning of tree species that are not part of natural forest associations (including exotic species) in areas that fall under principle 9, is only feasible insofar as it is explicitly permitted by the respective environmental sector planning (e.g. protective area regulation, Natura 2000 management plan).
-  This indicator is not examined in the small forest standard. *see 9.2.1*
- 6.9.2 On afforestation-sites the proportion of tree species that do not belong to the natural forest association is limited to 20% in impermanent mixture. *D.VI.2*
-  6.9.2 This indicator applies in the small forest standard accordingly.

- Observation of afforestation measures (site inspection).
- Stand establishment measures are detailed in the management plan (doc.).

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

- a) entails a very limited portion of the forest management unit; and
- b) does not occur on high conservation value forest areas; and
- c) will enable clear, substantial, additional, secure, long term conservation benefits

See 10.2.1

6.10.1 The conversion of forest stands is only permitted under the condition that:

a) the clearing is permitted by an official and validate land-use planning decision (urban land-use planning or other planning permission)

b) and the loss of forest is compensated according to forest and nature conservation

6.10.1.1 A detailed rationale for planned or executed clearance measures subject to environmental impacts and where necessary expert evaluation is provided.

6.10.1.2 The necessary permits are on file in the enterprise or

6.10.1.3 In the case of a clearance order arising from a public process, (e.g. regional planning procedure, development plan) an official order is on file in the enterprise.

6.10.1.4 Survey of neighboring property owners.

6.10.1.4 Conversion to Christmas tree plantations and ornamental twig plantation and non forest land is limited to 5% maximum of the FMU. See also 10.2.1.

 6.10.1 Forest clearance only occurs in exceptional circumstances and is subject to the careful evaluation of the ecological impacts and the fulfillment of the following conditions:

 *D.VIII.1*
see Appendix I
"forest clearance"

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

b) it does not occur in High Conservation Value Forests; and

c) it provides for clear, substantial, additional, secure and long-term conservation benefits across the forest management unit.

- Observation in the field (site inspection).
- A detailed rationale for planned or executed clearance measures subject to environmental impacts and where necessary expert evaluation is provided (doc.).
- The necessary permits are on file in the enterprise (doc.) or
- In the case of a clearance order arising from a public process, (e.g. regional planning procedure, development plan) an official order is on file in the enterprise (doc.).
- Survey of neighboring property owners (con.).

6.10.2 HCVF-stands are not converted.

see 9.1

 This indicator is examined through  6.10.1 in the small forest standard.

6.10.4 In each individual case of permissible conversion the long-term ecological benefits through compensation for the forest enterprise are clearly evaluated and also the rationales are documented and justified.

 This indicator is examined through  6.10.1 in the small forest standard.

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.

Explanation:

The forest owner shall develop an operational management system for managing his forest enterprise consisting of planning, implementation, and monitoring. The system is based on relevant data and information gained from the forest inventories and from ongoing observation and documentation. For an effective management, the results of the comparison between current and desired state should be included in the planning.

- 7.1 The management plan and supporting documents shall provide: see Appendix II
- a) Management objectives.
 - b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.
 - c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. see 10.2.1
 - d) Rationale for rate of annual harvest and species selection. see 5.6
 - e) Provisions for monitoring of forest growth and dynamics.
 - f) Environmental safeguards based on environmental assessments. see 5.3.1, 6.1, 9.3
 - g) Plans for the identification and protection of rare, threatened and endangered species. see 6.2.1, 6.2.2 and 6.3.12
 - h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.
 - i) Description and justification of harvesting techniques and equipment to be used. see 6.5.5
- 7.1.1 Clear, attainable and measurable goals for forest management and measures for medium and long-term operational planning are set in accordance with the economic, ecological, and social criteria in this guideline. see Appendix I "long-term"
-  This indicator applies in the small forest standard accordingly.  G.I.1a
- 7.1.2 The survey of the current state (inventory) is prepared using current, standard, statistically sound methods, preferably through permanent sample survey plots. see Appendix I "inventory"
-  7.1.2 The planning of management operations is documented. Operating plans and reports contain the points a)-h) detailed above. The following aspects are highlighted during certification in order to test the enterprise's adherence to the criteria:  G.I.1
see Appendix I "operating report" and "operating plan"
- appropriate realization of past and current management operations contained within the management plan (site inspection)
 - in accordance with state specific regulations (see annotations), the following planning alternatives are in place in their entirety:
 - description of the enterprise (doc.)
 - operating report (doc.)
 - operating plan (doc.)
- 7.1.3 The inventory identifies indicators for assessing performance under the criteria set see 6.2.1

forth in this guideline, particularly in the areas of site suitability, approximation of natural states, dead wood, populations of endangered flora and fauna species and their habitats, damage from wild game populations and damage from felling and skidding. Data from habitat and site maps, as well as from landscape and forest function maps, are included in the inventory if available. The inventory also includes a description of the employment situation with reference to Principle 4 and forest history.

 7.1.3 Description of the managed forests.

 G.I.1b

Details include:

- site suitability, naturalness, threatened and endangered species, dead wood, damage from wild game populations, and damage from felling and extraction (doc.)
- data from biotope and site maps, as well as from landscape and forest function maps are attached to the inventory where available (doc.)
- the survey of the current state (inventory) is prepared using up to date, standard, statistically sound methods (int.)

7.1.4 In reference areas inventory collects furthermore information on aspects such as timber stock, tree species composition, old growth and biotope wood.

 This indicator is not examined in the small forest standard.

7.1.5 Forest management measures are explained with reference to specific treatment units and goals and objectives.

 7.1.5 Description of the silvicultural procedures and harvesting techniques.

 G.I.1c

- Forest management operations are explained with reference to the management objectives and the specific stand types (doc.).
- Determination of stand level-based harvesting techniques in the felling plan (doc.).
- Derivation of a stand level-based target species composition taking into consideration site conditions (doc.).

7.1.6 The desired species composition is determined using site parameters for each treatment unit with reference to natural forest plant associations.

 This indicator is not examined in the small forest standard.

7.1.7 Sustainable annual harvesting levels are determined, justified and documented.

 7.1.7 Determination of the annual cut according to quantity and assortments.

 G.I.1d

- Sustainable annual harvesting levels are determined, justified and documented (doc.).

7.1.8 Comparisons of actual with previous forest states provide information on changes in regeneration dynamics, stand structure and treatment units.

 7.1.8 Forest development and increment.

 G.I.1e

- Comparisons between current and past forest states provide information on changes in standing volume, regeneration dynamics, stand structures and treatment units (doc.).

7.1.9 The forest management plan specifies precautionary environmental protection measures in accordance with Principles 5 and 6 (use of motor vehicles, chemical use, clear cutting, road construction etc.).

 7.1.9 Precautionary measures for the protection of the environment, endangered species and habitats.

 G.I.1f
see Appendix II

- Precautionary measures for the protection of the environment and endangered species, e.g. in the context of motor vehicle use, chemical use, clear-cutting,

road construction, etc. (doc.).

- Calamity management plans are in place, especially for major storms or insect outbreaks (doc.).
- Fire prevention and extinguishing plans are in place (doc.).
- Protected and/or especially valuable biotopes/forest areas are known and documented (doc.).
- Concrete measures for the maintenance and enhancement of features worthy of conservation (doc.).
- Potential dangers to the environment typical of the region in question are identified (int.).
- Fire alert and fire preparedness plans are implemented during months of high fire risk (int.).

7.1.10 Potential dangers to the environment typical of the region are identified.

 This indicator is not examined in the small forest standard.

7.1.11 Calamity management plans are in place, especially for major storms or insect outbreaks. Driving is minimized and area driving is excluded.

 This indicator is not examined in the small forest standard.

7.1.12 Fire prevention and extinction plans are in place; fire alert and fire preparedness plans are implemented during months of high fire risk.

 This indicator is not examined in the small forest standard.

7.1.13 Ecologically sensitive sites, such waters, wetlands, rock outcrops, etc., as well as conservation zones, are recognizable on maps.

 7.1.13 Clear and detailed maps.

 G.I.1g

- Locations of planned forest management operations can be clearly identified by consulting a plan or a map of the managed area (doc.).
- Ecologically sensitive sites, such waters, wetlands, rock outcrops, etc., as well as conservation zones, are identifiable on maps (doc.).

7.1.14 Locations of planned forest management operations can be clearly identified by consulting the schedule of annual work and managed area maps

 This indicator is not examined in the small forest standard.

7.1.15 For property maps see 2.1.1

7.1.16 Planned techniques for harvesting in different treatment units are integrated into the annual harvest plan.

 This indicator is not examined in the small forest standard.

7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.

7.2.1 Management plans are checked at the latest every 10 years on condition that they are reviewed completely or partially, or updated.

7.2.1.1 Refined technical review is to be verified.

-  7.2.1 Management plans are checked at the latest every 10 years on condition that they are reviewed completely or partially, or updated. The results of monitoring carried out within the forest enterprise are incorporated.
- Date of the last update of the management plan (doc.).

 G.II.1

- Reporting on the monitoring carried out (doc.).
- Identification and utilization of alternate sources of information relating to exemplary forest management procedures (int.).

The management planning is reviewed, if necessary adjusted according to the findings of 8.1.1.

see 7.1.9, 8.2

 7.2.2 This indicator applies in the small forest standard accordingly.

7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

See 4.1.2, 4.2.1, 4.2.2 and 4.2.3

 This indicator is examined through  4.2.1 in the small forest standard.

 E.I.1

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.

see Appendix II to Crit. 7.1

7.4.1 A summary of most significant parts of the management plan including main issues listed in criteria 7.1 and measures taken according to 9.3.3. is made available on request. Confidential data do not have to be revealed.

s. 4.4.6, 8.5.1

 This indicator is examined through  8.5.1 in the small forest standard.

 F.IV.1

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.

Explanation:

The internal documentation and evaluation of an enterprise shall be conducted in a fashion which allows the certification organization to assess compliance with these guidelines. Will be checked from native speaker.

8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.

The forest enterprise collects and records data necessary to assess the success of the stated management objectives and the possible affects of the operations carried out. see 7.2

 This indicator applies in the small forest standard accordingly.  G.III.1

8.1.2 Internal monitoring of forest management includes and documents the following: see 5.6.2, 6.3.11, 6.4.5

- Execution of the forest management plan and evaluation in regard to compliance with the German FSC standard
- Unexpected impacts on business management and operations
- Resulting adjustments to the forest management plan
- Gradual implementation according to 6.3.11

 This indicator is examined through 8.2.2 and 8.2.3 in the small forest standard.  G.III.1

8.2 Forest management collects all necessary data for monitoring. At a minimum, data will be collected on: see 7.2.

- a) Yield of all forest products harvested see 7.1c – e
- b) Growth rates, regeneration and condition of the forest
- c) Composition and observed changes in the flora and fauna see 7.1b
- d) Environmental and social impacts of harvesting and other operations see 4.4, 6.1 and 7.1f
- e) Costs, productivity, and efficiency of forest management

8.2.1 Timber accounting indicates volumes and grades of timber sold.

 8.2.1 The yield of all forest products harvested is documented.  G.III.1a

- Harvested and sold timber volumes and assortments (doc.).
- The volume of harvested secondary forest products (doc.).

8.2.2 The volume of harvested secondary forest products is documented. see 5.2.5, 6.3.10

 8.2.2 Forest enterprises with operation plans or operation reports collect data as listed in the criteria 8.2 a)-e) above.  G.III.1

8.2.3 Forest management planning or sample survey plot inventories, as well as site maps, provide information on observed flora and fauna according to treatment unit, species composition, stage of growth, site conditions, etc.

 This indicator is not examined in the small forest standard.

8.2.4 If wild game populations which have an impact on vegetation are present, fenced indicator plots are to be used as the basis for assessments of undisturbed flora and fauna compositions. see 6.3.a3

-  8.2.4 The composition and observed alterations of the flora and fauna are documented.  G.III.1c
- In the event of significant browsing damage fenced off indicator plots are established to analyze the flora and fauna populations (site inspection).
 - Stand types, tree species distribution, growth phases and site factors provide information about the associated flora and fauna (doc.).

8.2.5 Regarding social and cultural indicators the internal monitoring covers the following points:

- Workforce structure, levels of employment, workplace illness and accident statistics, enrolment of employees in education and training courses, number and background of hired contractors.
- Results of internal monitoring of accident prevention programs and adherence to traffic safety rules.
- Measures taken to conserve important cultural sites, and results of monitoring of these sites.
- When applicable, consultations with local interested parties.
- When applicable, results of studies and/or evaluations of the social impact of forest management on employees, contractors and forest users.

 This indicator is examined through 8.2.6 in the small forest standard.

8.2.6 Regarding environmental impact, the internal monitoring covers especially the evaluation of the survey according to 8.2.3 and the present indicator plots according to 8.2.4. see 5.3.1, 6.3.8

-  8.2.6 Environmental impacts and the social consequences of timber harvesting and other operations are evaluated.  G.III.1d
- Monitoring reports on measures taken for the maintenance or enhancement of features worthy of conservation and on the attainment of protection goals in forests with a high conservation value (doc.).
 - Measures taken to conserve important cultural sites, and the results of the monitoring of these sites (doc.).
 - Accident statistics, enrolment of employees in education and training courses, number and background of hired contractors (doc.).

8.2.7 Accounting statements provide appropriate data to assess business operations (program costs and returns, performance data by program area, etc.)

 This indicator is not examined in the small forest standard.

-  8.2.8 In order to examine the enterprise's adherence to the criterion, the following aspects are highlighted during certification:  G.III.1
- Deviations from the management plan and explanations for any such deviations (doc.)
 - Operations carried out (doc.)

8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody." see Appendix I
"Chain of
Custody"

8.3.1 Certified forest products are clearly marked.

-  8.3.1 Certified forest products can be traced back to their stand of origin and remain  G.IV.1

separated from uncertified products.

- Certified forest products are clearly marked and/or labeled (site inspection).
- Accounting statements document sales volumes, product origin (stand), date of harvest, and data on customers or other parties with whom the enterprise has a legal relationship (doc.).
- The transfer of ownership of the goods covered by the certificate is clearly defined (doc.).

8.3.2 Accounting will document volume of sales; forest site; harvest period; and data on customers or other parties with whom the enterprise has a legal relationship.

 This indicator is not examined in the small forest standard.

s.8.3.1/ G.IV.1

8.3.3 The transfer of ownership is clearly defined (regarding the goods covered by the certificate).

 This indicator is not examined in the small forest standard.

8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.

See 7.2.2

8.4.1 Deviations from the plan are noted and analyzed. External experts will be called in as needed.

 8.4.1 Deviations from the plan are noted.

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.

8.5.1 A summary of the results under 8.2 is made publicly available at the end of each planning period.

see 7.4.1

 8.5.1 A summary of the management plan and the results of internal monitoring is made available at the end of each planning period upon request by third parties.

 F.IV.1

- Copies of the summaries (doc.).
- Documentation of requests made by third parties and the replies made to any such requests (doc.).

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.

see Appendix I
"High
Conservation
Value Forests"

Explanation:

Forests with a high conservation value shall be preserved in their current state and managed in a way which overall maintains their characteristic attributes and functions.

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.

9.1.1 High Conservation Value Forests are identified.

 9.1.1 This indicator applies in the small forest standard accordingly.

- The forest enterprise can verify its awareness of High Conservation Value Forests (int.).
- The forest enterprise regularly obtains information about High Conservation Value Forests (int.).

9.1.2 High Conservation Value Forests are noted, surveyed, and depicted on maps.

 This indicator is examined through  6.2.1 and  7.1.9 in the small forest standard.  D.II.1/ G.I.1f

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

9.2.1 The forest enterprise has generated management instructions for forests with high conservation value.

see 6.9.1, 6.9.2

 This indicator is not examined in the small forest standard.

9.2.2 Consultations with stakeholders were conducted to identify High Conservation Value Forests.

 This indicator is examined through  6.2.1 in the small forest standard.  D.II.1

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.

see 7.1f and 7.1g

9.3.1 The management plan shows measures for the preservation and improvement of protection goals.

 This indicator is examined through  7.1.9 and  8.5.1 in the small forest standard.  G.I.1f/F.IV.1

9.3.3 All measures are described in the public summary of the management plan.

see 7.4.1

 This indicator is not examined in the small forest standard.

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

See 8.1.1

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.

see Appendix I
"Plantations"

Explanation:

Planted, even-aged pure stands are not the goal of close-to-nature sustainable forest management in Germany. The ecological impact of such stands is often negative. Existing pure stands are developed to approach close-to-nature forest stands in accordance with Principle 6.

Management of plantations in the German FSC-Standard is limited to Christmas tree and ornamental twig plantations. . According to the international FSC requirements, relevant indicators have to be developed relating to all FSC-Criteria.

10.1 The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan. see 10.2.1

10.1.1 Plantations can only be managed with the aim of Christmas tree and ornamental twig plantation.

 10.1.1 This indicator applies in the small forest standard accordingly.

10.1.3 Management goals of Christmas tree and ornamental twig plantation are depicted in the management plan.

 10.1.3 This indicator applies in the small forest standard accordingly.

10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.

10.2.1 Christmas tree plantations may be eligible for certification if they take up less than 5% of the forest land. The maximum size of each area is 5ha.

 10.2.1 Christmas tree plantations and cultures managed for the production of ornamental twig occupy less than 5% of an enterprise's forest land.  D.VI.4

- The area and its boundaries are clearly documented and illustrated cartographically (doc.).
- Operational planning is detailed in the management plan (doc.).

10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.

10.3.1 Christmas tree and ornamental twig plantations must be composed of species appropriate to the region preferably composed of a variety of species.

 10.3.1 This indicator applies in the small forest standard accordingly.

10.3.2 If multiple sites are available for such a plantation, the ones that are preferred interfere

least with the characteristic landscape.

 10.3.2 This indicator applies in the small forest standard accordingly.

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.

10.4.1 Local species are preferred over exotic species.

 10.4.1 This indicator applies in the small forest standard accordingly.

10.4.2 The Christmas tree plantations and those for the production of decorative foliage are prevented from growing into the main crop.

 10.4.2 This indicator applies in the small forest standard accordingly.

10.4.3 Exotic species are attentively monitored to avoid negative impacts on the forest ecosystem. The forest enterprise makes sure that negative impacts are avoided through the use of appropriate measures.

 10.4.3 The forest enterprise makes sure that negative impacts from exotic species are avoided through the use of appropriate measures.

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.

See 6.3.1 and 6.3.10.

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.

See 6.5.1, 6.5.2, 6.5.3 and 6.5.4

10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.

See 6.6.1, 6.6.2 and 6.3.3

10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.

See 10.4.2 and 10.4.3

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

see 6.3.1

10.9.1 No areas of the FMU that are managed as Christmas tree and ornamental twig plantations are on close-to-nature forest stands as of November 1994. The following exception applies:

10.9.1.1 There is clear evidence supported by social, environmental and economic stakeholders concerned that the current owner/manager was neither directly nor indirectly responsible for the conversion.

Appendix I: Glossary

All definitions given here are valid only "for the purposes of this guideline" and make no claims to general applicability.

Accreditation: The procedure in which an authorization body gives formal recognition that one body or person is competent to carry out specific tasks.

Appropriate to the Site: Tree species native to the respective natural forest plant associations, and those planted species which demonstrate satisfactory growth and sufficient resilience against abiotic and biotic pests, and which have no adverse impact on the site.

Arbitration: Out of court settlement of a legal dispute between disputing parties.

Benzene-free fuel: Benzene-free fuel mix that lowers contamination for the power saw operator. Can be used in all two stroke engines.

Biocides: Collective name for chemical or synthetic organic compounds used in pest control. Biocides or their derivatives may accumulate in the course of food chains.

Biological Control Agents: Living organisms employed in the active control of harmful organisms or specifically promoted to regulate the latter. As defined by this guideline (Criterion 6.6), use of these agents is limited to the deliberate, artificial mass employment of native or introduced beneficial organisms, including viruses, as a biological control measure. Excluded are measures such as the reintroduction of beneficial native species (e.g., birds or ants) or measures to promote such reintroduction.

Biotope Trees: Living trees which serve a special function as cavity or nesting trees, or supply a micro-habitat for epiphytes, insects, fungi, and other groups of old wood-dwelling organisms which deserve special protection.

Certified forest-engineering work equipment: Forest-engineering work equipment checked by a control authority concerning serviceability and labeled accordingly. It is up to the standard regarding occupational safety, ergonomics, environmental soundness and economic efficiency. In Germany, an according certificate can be obtained e.g. through the FPA/KWF serviceability-quality mark.

Chain of Custody: The channel through which products are distributed from their origin in the forest to their end-use. Manufacturers and merchants dealing with timber from FSC-certified forest enterprises have to receive proof from an FSC-accredited certification organization that the timber's process from the beginning up to the respective manufacturing or marketing step has been monitored continually, and that the timber originated from certified forest enterprises (chain of custody certificate).

Clear-cut: Clear cuts are areas where the forest stock has been widely removed through area felling or similar cutting systems, resulting in Open-land-like circumstances (guideline: one to two tree length in diameter; maximal diameter size 0.3 hectares). Open-land-like circumstances emerge, if the height of the regeneration is in average less than 2 meters.

The wide-spread clearing of heavily damaged trees required after certain natural calamities (pests, storm, fire, snow, etc.) does not constitute a clearcut as defined under this guideline. Biomass without economic value remains on the site, unless forest conservation causes prohibits that.

Close-to-nature Forest Stands: Stands of forests which are able to build up a large and valuable growing stock while approaching the species composition, dynamics and structure of natural forest plant associations.

Conversion: Development from forest stands that are not part of the natural forest association to close-to-nature forest stands.

Cultivated Forest Plant Associations: Cultivated forest plant associations are man-made ecosystems, usually based on artificially established forest stands, which strongly differ from the natural forest plant associations on a given site with respect to tree species composition, accompanying vegetation, and structure.

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

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

Deadwood: Standing or lying trees or tree parts that are dead.

Detrimental to the Site: Not appropriate to the site.

Ecologically sensitive areas: Apart from areas protected by law, these are mainly soils which are in danger of compaction, erosion or land slide and surface waters.

Endangered Species: Species populations are in danger of extinction in large parts of their distribution area in Germany. This includes species on the → "Red List" in categories 1 through 3.

Environment-oriented baseline-surveys: Especially site mapping habitat maps, Natura 2000-areas, and other environment protective impositions.

Environment-oriented spatial and sectoral planning: for example mapping of forest functions, regional planning, environment protective development plans etc.

Even-aged Pure Stands: Stands which – contrary to the site's potential – consist of just one single species due to forest management activities such as sowing, planting or large-scale natural regeneration, and which are structurally poor due to the lack of age differentiation.

Exotic Tree Species: Tree species introduced from outside of Central Europe, which therefore are not part of the local natural forest associations.

FFH Guideline: The "Guideline 92/43/EEC for the Preservation of Natural Habitats and Wild Fauna and Flora" ("Fauna-Flora-Habitat" or "FFH Guideline" for short), dated 21 May 1992, is currently the European Union's most comprehensive environmental protection measure. The goal of the FFH Guideline is to develop and preserve a Europe-wide network ("Natura 2000") of nature reserves for the protection of threatened habitats and highly endangered animal and plant species (see the definition of "High Conservation Value Forests").

Forest Clearance: Forest clearance refers to the large scale removal of the entire forest vegetation with subsequent conversion to an alternative land use type (e.g. agricultural use).

Forest land: The forest land comprises all areas of timber production as well as temporary unstocked areas (fail patches), in addition tracks, ditches, cable runs and forest aisles with less than 5 meters width and unstocked areas of insignificant size.

Forest Management Plan: see Management Plan

Forest soil: The forest land that is stocked or to be stocked with forest trees. Except in the sense of this standard are stocking grounds for wood, wildflower meadows, forest tracks, cable runs broader than 5 meters and similar areas.

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

Group (planting, harvest): A group is defined as an area of up to 500 square meters in size, or up to 30 meters in diameter, respectively (ca. one tree length).

Group Certification (cf. Appendix IV): Group certification means, that a group of forest enterprises is jointly certified instead of a single enterprise. This requires the designation of a group representative who adopts the responsibility toward the certification organization for compliance of all group members with FSC standards and certification requirements in their forest enterprises. The arrangement of the group certification system, i.e., the distribution and establishment of responsibilities among the representative body and the individual group members, is a group-internal matter which may be handled in a variety of ways.

Growth Region: Growth regions are regional units delineated from each other by their respective typical site mosaics. They are characterized by a relative uniform regional climate and the usually wide-spread predominance of one natural forest plant association. Growth regions represent sub-units of so-called *growth zones*, which are mainly delineated according to geomorphological aspects.

High Conservation Value Forests: forests especially worthy of environmental protection because they constitute rare ecosystems or habitats for particularly rare animal and plant species.

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

- a) Forest areas containing globally, regionally or nationally significant :

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

In Germany this refers to all the forests that are subject to a conservation status according to the nature conservation act and that are of national importance. These are established national parks, nature conservation areas, biosphere reserves and Natura 2000 areas.

- b) Forest areas that are in or contain rare, threatened or endangered ecosystems.

The Federal Environmental Protection Law (BNatSchG § 30) designates thermophile deciduous forests, bog forests, forest swamps, and riparian forests, Schlucht-, Blockhalden- und Hangschuttwälder, subalpine Lärchen- und Lärchen-Arvenwälder as deserving of environmental protection.

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

In Deutschland sind dies Wälder in Wasserschutzgebieten oder solche, für die besondere Erosions-/Bodenschutzfunktionen festgesetzt sind.

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

In Deutschland sind dies Relikte historischer Bewirtschaftungsformen (Mittel- und Niederwälder, Hutewälder)

Highly Hazardous Pesticides: FSC identifies as "highly hazardous" pesticides which are/include: chlorinated hydrocarbons, chemicals identified by the World Health Organisation (WHO) as either "Extremely Hazardous" (Class 1A) or "Highly Hazardous" (Class 1B), pesticides which are banned by international agreements.

Indicator: Unit of measurement for judging whether a Criterion has been met.

Indigenous Peoples: In the Federal Republic of Germany, indigenous peoples as defined by the United Nations (UN Doc. E/CN. 4/Sub. 2/1986/7/Add. 4) do not exist:

"Indigenous communities, peoples and nations are those which share an historical continuity with the societies which developed on their present territories prior to conquest and colonization. They regard themselves as different from other groups within the societies which now occupy their territories, or parts thereof. They represent currently powerless societal units determined to preserve, develop and pass on to subsequent generations the land of their ancestors and their ethnic identity in order to ensure their continued existence as peoples, and in accordance with their own cultural structures, social institutions, and legal systems.

This historical continuity may be expressed by holding on to one or several of the following factors over a long period of time extending into the present:

- a) possession of ancestral territories, or parts thereof;*
- b) shared ancestry with the original inhabitants of these territories;*
- c) a specific culture in the general sense or specific manifestations thereof (such as religion, life in a tribal system, membership in an indigenous community, special dress, lifestyle, means of support, etc.);*
- d) a distinct language (either as the only language, as their mother tongue, as a common means of communication at home/within the family, or as the main, preferred, normal or colloquial language);*
- e) habitation in very specific areas in the country, or in particular regions in the world;*
- f) other relevant factors."*

There are four old-established minority groups in Germany, i.e., the Sorbs, Danes, Friesians, and the Sinti and Roma. However, none of these minorities are involved in any known conflicts with respect to forest use, nor have they made specific forest ownership claims.

Inventory: A procedure for gathering the data needed to characterize a forest's state of being. Assessments are conducted as part of inquiries into timber stocks, among other inquiries, and are carried out as the basis for management planning (See Appendix II to Criterion 7.1).

Julius Kühn Institut, Bundesforschungsinstitut für Kulturpflanzen:

Local Population: In accordance with the definition of the Employment Office, the population living no more than two hours away.

Long-term: The time scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover.

The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given forest ecosystem to approach a natural structure and composition.

Management Plan: see Operating Report and Operating Plan.

Mineral Soil: Mineral soil refers to the soil layer between the humus layer and the parent material.

Natural Forest Plant Associations: The forest plant and animal associations that could be expected to occur today based on natural, post-glacial development without human interference under the sole influence of local climate, soil, and terrain. The tree species of the natural forest plant associations include all species that are part of the succession spectrum of the respective forest plant association.

Non-solid Volume: Above-ground wood below 7 cm diameter.

Non-timber Forest Products: All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products (e.g., berries and mushrooms, game). In principle secondary products can also be FSC-certified. Individual cases require the agreement of the certifying authority.

Nurse crop: A forest designed or developed out of pioneer tree species that creates favourable conditions for the principal tree species that will be established subsequently on that area.

Operating Plan: Operating plans in Germany are required for forest enterprises over a certain size. The size varies by federal state from 30 to 150 hectares. Plans are typically prepared by enterprises of 50 hectares or larger. They serve as the basis for tax assessments and for the determination of sustainable levels of harvesting within a period of 10 years (see also "Operating Report" and Appendix II to Criterion 7.1).

Operating Report: Operating reports are obligatory in Germany up to an enterprise size of 30 to 150 ha, depending on the federal state. They count as management plan. Operating reports may be developed on the basis of expert assessment. In the context of group certification (cf. Appendix III), forest owners with less than 30 hectares of forest land are given the option to jointly develop an operating report. (cf. 'Inventory' and Appendix II, Criterion 7.1).

Over-time: see long-term

Periodic Current Mean Increment: The mean increment of usable solid volume timber per year during a planning period of usually ten years.

Plantations: The agricultural-like (orchards) planting of even-aged tree monocultures with fast-growing tree species (e.g., cultivated poplars), primarily for the purpose of timber production, and typically characterized by soil cultivation, regular planting or seed rows, fertilization, systematic thinning and final cutting as well as a relatively short rotation period.

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

Protective and Recreational Functions: Services of the forest with respect to continual ecosystem productivity, climate, water household, purity of air, soil fertility, landscape development, agriculture and infrastructure as well as recreational activities for the public.

Red List: A catalogue listing those species of plants and animals which are in danger of extinction, at least in considerable parts of their natural distribution areas. The lists are regularly updated and serve as a means to design appropriate conservation measures. To this end, the species are assigned to different categories: 0 = extinct or missing; 1 = in danger of extinction; 2 = highly threatened; 3 = threatened; 4 = potentially threatened (cf. Appendix II). Due to the differences in distribution and population density within the territory of Germany, additional species are listed in separate Red Lists by the individual federal states. In case of individual local measures, decisions ought to be based primarily on those state lists.

Reference Areas: Study and control sites that are not directly influenced by human activities. The natural development of forests observed on these sites serves as a means of orientation for managed forest use. Human impact on reference sites is strictly limited to the required hunting measures according to Criterion 6.3.a3 as well as public traffic safety measures.

To ensure the compatibility of observation results, reference sites should be representative for managed forest areas. Treatment units may be considered representative when they constitute greater than 10% of the managed forest area (timberland). Reference sites may also serve as conservation areas.

Rescue Chain: The time course of all assistance after an accident, consisting of emergency assistance, emergency call, first aid, transport and hospital. Organization of emergency assistance, emergency call and the locating of the injured by the rescuers are of immediate importance for the forest enterprise.

Service: Service in this instance refers to the use of the forest with respect to specific functions, such as formalized nature conservation and environmental education.

Stocking goal: Fraction of the tree species in the prevailing stock at the time of use.

Succession: The natural, continual development of existing plant associations or vegetation-free areas into more permanent, stable plant associations in the absence of human interference.

Sustainable Felling Rate: see Appendix II to Criterion 5.6

Temporary mixture: Addition of fast growing tree species that have their maturity noticeably before the other tree species of the treatment unit.

Trees of Exceptional Economic Value: Trees are considered to be of exceptional economic value under 6.3.c3 if they have log quality Grade A as defined by the EEC Council's "Sorting of Timber" guideline dated January 23, 1968. Deciduous trees with log quality Grade B may be harvested if, in their place, a corresponding number of trees are clearly excluded from future forest use and left to the natural aging process. The excluded trees must be as ecologically equivalent as possible to the harvested trees.

– Quality Grade A/EEC

Healthy wood of outstanding quality or with only insignificant flaws that do not affect its use.

– Quality Grade B/EEC

Wood of normal quality, including dry timber, with one or more of the following flaws: slightly bent or weak spiral growth, slight tapering, paucity of healthy branches of small to medium diameter, absence of thick branching, presence of diseased branches of small diameter, slightly abnormal pith, slight irregularities in circumference, or other scattered flaws offset by good general quality.

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

Viable Proportion of Tree Species: The viability of a tree species is guaranteed when its proportion relative to other species proves sustainable in subsequent generations due to natural regeneration only and without active promotion.

Waste: Waste is all moveable things that its owner disposes, intends to dispose or has to dispose. Biomass accumulated during wood harvest does not count as waste.

Whole Tree Harvesting: Silvicultural measures of thinning or cutting, which imply the harvest and removal of the total overground biomass of trees (stem, branches, twigs, bark, leaves) from the stand.

Appendix II: Addenda to Criteria and Indicators

to 1.1: Federal and State Laws, Ordinances

Referring in particular to: Legal rules and regulations pertaining to health and safety, stipulations of social legislation, forest laws and existing property and use rights, as well as road safety regulations under BGB § 823.

Due to complexities arising from the federal structure of the Federal Republic of Germany and Germany's obligations within the framework of the European Union, it is not possible to provide a comprehensive list of all laws, ordinances and regulations concerning German forest stewardship. Therefore, only an overview of the most important legal requirements can be given here. The respective current version is valid. Additional legal references are provided in the addenda to Criteria 4.2, 4.3 and 6.7.

FEDERAL LAWS

Bundeswaldgesetz (Federal Forest Law)

Gesetz zur Erhaltung des Waldes und zur Förderung der Forstwirtschaft (Bundeswaldgesetz – BWaldG) vom 2. Mai 1975 (BGBl. I S. 1037), zuletzt geändert durch Artikel 213 der Verordnung vom 31. Oktober 2006 (BGBl. I S. 2407)

Bundesnaturschutzgesetz (Federal Nature Conservation Law)

Gesetz über Naturschutz und Landschaftspflege (Bundesnaturschutzgesetz – BNatSchG), vom 29. Juli 2009 (BGBl. I S. 2542)

Bundesjagdgesetz (Federal Hunting Law)

Bundesjagdgesetz (BJagdG)

Fassung der Bekanntmachung vom 29. September 1976 (BGBl. I, S. 2849), zuletzt geändert durch Art. 5 G vom 26. März 2008 (BGBl. I S. 426, 439)

Baugesetzbuch (Federal Building Code)

Baugesetzbuch (BauGB)

in der Fassung der Bekanntmachung vom 23. September 2004 (BGBl. I S. 2414), zuletzt geändert durch Art. 4 G vom 24. Dezember 2008 (BGBl. I S. 3018, 3081 f.)

Forst-Handelsklassengesetz (Forest Trade Class Law)

Gesetz über gesetzliche Handelsklassen für Rohholz (Forst-HklG) vom 25. Februar 1969 (BGBl. I, S. 149)

Forstvermehrungsgutgesetz (FoVG)

vom 22. Mai 2002, zuletzt geändert durch Art. 214 der Verordnung vom 31. Oktober 2006 (BGBl. I Seite 2407)

Forstschäden-Ausgleichsgesetz (Forest Damage Compensation Law)

Gesetz zum Ausgleich von Auswirkungen besonderer Schadensereignisse in der Forstwirtschaft in der Fassung der Bekanntmachung vom 26. August 1985 (BGBl. I S. 1756), zuletzt geändert durch Artikel 18 des Gesetzes vom 19. Dezember 2008 (BGBl. I S. 2794)

Holzabsatzfondsgesetz (Timber Sales Promotion Funds Law)

Gesetz über den Holzabsatzfonds (Holzabsatzfondsgesetz - HAfG)

Fassung der Bekanntmachung vom 6. Oktober 1998 (BGBl. I, S. 3130 - 3133), zuletzt geändert durch Art. 2 G zur Änd. des AbsatzfondsG und des HolzabsatzfondsG vom 26.6.2007 (BGBl. I S. 1170)

Pflanzenschutzgesetz (Cultural Plant Protection Law)

Gesetz zum Schutz der Kulturpflanzen (Pflanzenschutzgesetz – PflSchG)

Fassung vom 14. Mai 1998 (BGBl. I, S. 971, ber. S. 1527, S. 3512), zuletzt geändert durch Art. 1 des Gesetzes vom 5. März 2007 (BGBl. I, S. 284)

Tierschutzgesetz (Animal Protection Law)

Gesetz zum Schutz von Tieren (Tierschutzgesetz – TierSchG)

in der Fassung der Bekanntmachung vom 18. Mai 2006 (BGBl. I S. 1206, 1313), zuletzt geändert 25. Januar 2008 (BGBl. I S. 47)

Gesetze zur Umsetzung von EG-Recht und internationalen Vereinbarungen (Laws concerning the implementation of EC law and international agreements)

Gesetz über die Umweltverträglichkeitsprüfung (UVPG)

in der Fassung der Bekanntmachung vom 25. Juni 2005 (BGBl. I S. 1757, 2797), zuletzt geändert durch Art. 7 G zur Neufassung des Raumordnungsgesetzes und zur Änd. anderer Vorschriften vom 22. Dezember 2008 (BGBl. I S. 2986)

Gesetz zu dem Übereinkommen vom 5. Juni 1992 über die biologische Vielfalt

Fassung der Bekanntmachung vom 30. August 1993 (BGBl. II, S. 1741)

Gesetz zur Umsetzung der Richtlinie 90/313/EWG des Rates vom 7. Juni 1990 über den freien Zugang zu Informationen über die Umwelt

Fassung der Bekanntmachung vom 8. Juli 1994 (BGBl. I, S. 1490), Umweltinformationsgesetz vom 22. Dezember 2004 (BGBl. I S. 3704)

Gesetz über die Durchführung von Maßnahmen des Arbeitsschutzes zur Verbesserung der Sicherheit und des Gesundheitsschutzes der Beschäftigten bei der Arbeit (Arbeitsschutzgesetz – ArbSchG)

vom 7. August 1996 (BGBl. 1996 S. 1246; 1479; 1997 S. 594, 2970; 1998 S. 3849), zuletzt geändert durch Artikel 6 des Gesetzes vom 30. Oktober 2008 (BGBl. I S. 2130)

FEDERAL ORDINANCES

Bundesartenschutzverordnung

Bundesartenschutzverordnung vom 16. Februar 2005 (BGBl. I S. 258 (896))

Verordnung über den Schutz von Wild (Bundeswildschutzverordnung – BWildSchV)

vom 25. Oktober 1985 (BGBl. I, S. 2040), zuletzt geändert durch Artikel 3 der Verordnung vom 16. Februar 2005 (BGBl. I S. 258)

Verordnung über Pflanzenschutzmittel und Pflanzenschutzgeräte (Pflanzenschutzmittelverordnung)

in der Fassung der Bekanntmachung vom 9. März 2005 (BGBl. I S. 734), zuletzt geändert durch Art. 3 Abschn. 2 § 7 des Gesetzes vom 13. Dezember 2007 (BGBl. I S. 2930)

STATE LAWS

State Forest Laws (Landeswaldgesetze)

Baden-Württemberg

Waldgesetz für Baden-Württemberg (Landeswaldgesetz – LWaldG)

Fassung vom 31. August 1995 (GesBl. 685), zuletzt geändert am 13. Dezember 2005, GBl. S. 745

Bayern

Waldgesetz für Bayern (BayWaldG)

in der Fassung der Bekanntmachung vom 22. Juli 2005 (GVBl 2005, S. 3139)

Berlin

Gesetz zur Erhaltung des Waldes (Landeswaldgesetz – LWaldG)

in der Fassung vom 16. September 2004 (GVBl. Nr. 40 vom 28.09.2004 S. 391; 11.7.2006 S. 819⁰⁶)

Brandenburg

Waldgesetz des Landes Brandenburg (Landeswaldgesetz – LWaldG)

in der Fassung vom 20. April 2004 (GVBl. I S. 137), zuletzt geändert durch Art. 2 des Gesetzes vom 19. Dezember 2008 (GVBl. I S. 367)

Hamburg

Landeswaldgesetz

vom 13. März 1978 (GVBl. 74), zuletzt geändert am 17. Dezember 2002, Hamb.GVBl. S. 347

Hessen

Hessisches Forstgesetz

in der Fassung vom 10. September 2002, GVBl. I S. 582

Mecklenburg-Vorpommern

Waldgesetz für das Land Mecklenburg-Vorpommern (Landeswaldgesetz – LWaldG)

vom 8. Februar 1993 (GVBl. M-V 1993, S. 90), zuletzt geändert durch Gesetz vom 25.10.2005, GVBl. M-V 2005, S. 535

Niedersachsen

Niedersächsisches Gesetz über den Wald und die Landschaftsordnung (NWaldLG)

in der Fassung vom 21 März 2002 (Nds. GVBl. S. 112), zuletzt geändert durch Art. 5 G zur Änderung des G über Landwirtschaftskammern und anderer G vom 10.11.2005 (Nds. GVBl. S. 334)

Nordrhein-Westfalen

Landesforstgesetz für das Land Nordrhein-Westfalen (Landesforstgesetz – LFoG)

in der Fassung vom 24. April 1980 (GVBl. 546), zuletzt geändert am 11. Dezember 2007, GV. NRW. S. 662

Rheinland-Pfalz

Landeswaldgesetz für Rheinland-Pfalz (LWaldG)

in der Fassung vom 30. November 2000 GVBl. S. 504, zuletzt geändert durch Verordnung vom 2.3.2004, GVBl. 2004, S. 202

Saarland

Waldgesetz für das Saarland (Landeswaldgesetz – LWaldG)

in der Fassung vom 26. Oktober 1977 (Amtsblatt 1009), zuletzt geändert am 28. Oktober 2008 (Amtsbl. S. 3).

Sachsen

Waldgesetz für den Freistaat Sachsen (Sächs. WaldG)

vom 10. April 1992 (GVBl. 137), zuletzt geändert am 29. Januar 2008, SächsGVBl. S. 138

Sachsen-Anhalt

Landeswaldgesetz

vom 13. April 1994 (GVBl. 520). zuletzt geändert durch § 1 G zur Änd. des LandeswaldG und anderer Vorschriften vom 8.12.2005 (GVBl. LSA S. 730)

Schleswig-Holstein

Waldgesetz für das Land Schleswig-Holstein (LWaldG)

in der Fassung vom 5. Dezember 2004 Ersetzt Ges. i.d.F.d.B. vom 11. August 1994, GS Schl.-H. II, Gl.Nr. 790-3, zuletzt geändert durch Art. 2 G über die Anstalt Schleswig-Holsteinische Landesforsten und zur Änd. anderer Vorschriften vom 13.12.2007 (GVBl. Schl.-H. S. 461)

Thüringen

Gesetz zur Erhaltung, zum Schutz und zur Bewirtschaftung des Waldes und zur Förderung der Forstwirtschaft (Thüringer Waldgesetz – ThürWaldG)

in der Fassung vom 28. Juni 2006 (GVBl. Nr. 10 vom 13.07.2006 S. 343)

State Nature Conservation Laws (Landesnaturchutzgesetze)

Baden-Württemberg

Gesetz zum Schutz der Natur, zur Pflege der Landschaft und über die Erholungsvorsorge in der freien Landschaft (Naturchutzgesetz – NatSchG)

in der Fassung vom 13. Dezember 2005 (GVBl. Nr. 18 vom 16.12.2005 S. 745; ber. 2006 S. 319)

Bayern

Gesetz über den Schutz der Natur, die Pflege der Landschaft und die Erholung in der freien Natur (Bayrisches Naturchutzgesetz – BayNatSchG)

in der Fassung der Bekanntmachung der Neufassung des Bayerischen Naturchutzgesetzes vom 23. Dezember 2005 (GVBl. 1/2006 S. 2-27);

Berlin

Gesetz über Naturschutz und Landschaftspflege von Berlin (Berliner Naturchutzgesetz – NatSchGBln)

in der Fassung vom 28.10.2003 (GVBl. Nr. 44/2003 S. 554), zuletzt geändert am 6. Juli 2006 (GVBl. S. 737)

Brandenburg

Brandenburgisches Gesetz über Naturschutz und Landschaftspflege (Brandenburgisches Naturchutzgesetz – BbgNatSchG)

in der Fassung vom 26. Mai 2004 (GVBl. I/04, [Nr. 16], S.350), zuletzt geändert am 29. Oktober 2008, GVBl. I S. 266

Bremen

Gesetz über Naturschutz und Landschaftspflege (Bremisches Naturchutzgesetz – BremNatSchG)

in der Fassung der Bekanntmachung vom 19.04.2006 (GBl. Nr. 27/2006 Seite 211), zuletzt geändert durch Art. 2 SUP-Umsetzungsg vom 21.11.2006 (Brem.GBl. S. 467)

Hamburg

Hamburgisches Gesetz über Naturschutz und Landschaftspflege (Hamburgisches Naturschutzgesetz – HmbNatSchG)

in der Fassung v. 07.08.2001 (GVBl. Nr. 31/2001 S. 281), zuletzt geändert durch Art. 1 des Achten Ges. v. 20.04.2005 (GVBl. Nr. 13/2005 S. 146)

Hessen

Hessisches Gesetz über Naturschutz und Landschaftspflege (Hessisches Naturschutzgesetz – HeNatG)

in der Fassung vom 16.04.1996 (GVBl. I Nr. 31/1996 S. 145), zuletzt geändert durch Art. 2 d. Ges. v. 06.05.2005 (GVBl. I Nr. 11/2005 S. 305)

Mecklenburg-Vorpommern

Gesetz zum Schutz der Natur und der Landschaft im Lande Mecklenburg-Vorpommern (Landesnaturenschutzgesetz – LNatG M-V)

in der Fassung vom 22.10.2002 (GVBl. Nr. 1/2003 S. 1), zuletzt geändert durch Art. 3 des Ges. v. 14.07.2006 (GVBl. Nr. 13/2006 S. 560)

Niedersachsen

Niedersächsisches Naturschutzgesetz (NNatG)

in der Fassung vom 11.04.1994 (Nds. GVB1.S.155, ber. S.267), zuletzt geändert durch Art. 4 zur Änd. raumordnungsrechtl. Vorschriften v. 26.04.2007 (Nds. GVBl. S. 161)

Nordrhein-Westfalen

Gesetz zur Sicherung des Naturhaushaltes und zur Entwicklung der Landschaft (Landschaftsgesetz – LG)

in der Fassung vom 21.07.2000 (GVBl. S. 568), zuletzt geändert durch Art. 1 LGÄndG v. 19.06.2007 (GV. NRW. S. 228)

Rheinland-Pfalz

Landesgesetz zur nachhaltigen Entwicklung von Natur und Landschaft (Landesnaturenschutzgesetz - LNatSchG -)

in der Fassung vom 28.09.2005 (GVBl. Nr. 20/2005 S. 387)

Saarland

Gesetz zum Schutz der Natur und Heimat im Saarland (Saarländisches Naturschutzgesetz (SNG))

in der Fassung vom 05.04.2006 (ABl. Nr. 22/2006 Seite 726), zuletzt geändert durch Art. 3 G zur Einführung einer strategischen Umweltprüfung und zur Umsetzung der SUP-RL im Saarland vom 28.10.2008 (Amtbl. 2009 S. 3)

Sachsen

Sächsisches Gesetz über Naturschutz und Landschaftspflege (Sächsisches Naturschutzgesetz – SächsNatSchG)

in der Fassung vom 11.10.1994 (GVBl. 1994 S. 1601, ber. 1995 S. 106), zuletzt geändert durch Art. 1 des Ges. v. 09.09.2005 (GVBl. Nr. 8/2005 S. 259)

Sachsen-Anhalt

Naturschutzgesetz des Landes Sachsen-Anhalt (NatSchG LSA)

in der Fassung vom 23.Juli 2004 (GVBl. Nr. 41/2004 S. 454), zuletzt geändert durch Art. 3 Ges. v. 20.12.2005 (GVBl. Nr. 67/2005 S. 769)

Schleswig-Holstein

Gesetz zum Schutz der Natur (Landesnaturenschutzgesetz – LNatSchG)

Fassung der Bekanntmachung des Gesetzes zur Neufassung des Landschaftspflegegesetzes (Gesetz zum Schutz der Natur - Landesnaturschutzgesetz - LNatSchG) und zur Anpassung anderer Rechtsvorschriften vom 16. Juni 1993 (GVBl. Schl.-H. S. 215), Bekanntmachung der geltenden Fassung des Landesnaturschutzgesetzes v. 18.07.2003 (GVBl. Nr. 10/2003 S. 339), geändert durch Art. 11 d. Ges. v. 01.02.2005 (GVBl. Nr. 4/2005 S. 57)

Thüringen

Thüringer Gesetz für Natur und Landschaft (ThürNatG)

in der Fassung der Bekanntmachung vom 30.08.2006 (GVBl. Nr. 12/2006 S. 421), zuletzt geändert durch Art. 22 Thüringer HaushaltsbegleitG 2008/2009 vom 20.12.2007 (GVBl. S. 267)

State Hunting Laws (Landesjagdgesetze)**Baden-Württemberg**

Landesjagdgesetz für Baden-Württemberg (LJagdG)

Fassung vom 1. Juni 1996 (GesBl. 369, berichtigt S. 723) , zuletzt geändert durch Art. 1 ÄndG vom 11. 10. 2007 (GBl.S.473)

Bayern

Bayerisches Jagdgesetz (BayJG)

vom 13. Oktober 1978 (GVBl. 678), zuletzt geändert durch § 7 G zur Änd. des Bayrischen AbgrabungsG und anderer Rechtsvorschriften vom 20. 12. 2007 (GVBl S. 958)

Berlin

Gesetz über den Schutz, die Hege und Jagd wildlebender Tiere im Land Berlin (Landesjagdgesetz – LJagdG Bln)

vom 3. Mai 1995 (GVBl. Berlin 282), zuletzt geändert durch Gesetz vom 16. April 2003 (GVBl. S. 167)

Brandenburg

Jagdgesetz für das Land Brandenburg (BbgJagdG)

in der Fassung vom 9. Oktober 2003, zuletzt geändert durch Art. 5 G zur Neuorganisation der Landesforstverwaltung des Landes Brandenburg vom 19. 12. 2008 (GVBl. I S. 367)

Bremen

Bremisches Landesjagdgesetz (LJagdG)

vom 26. Oktober 1981 (BrGBl. 171), zuletzt geändert am 04. Dezember 2001 (BreGBl. S. 393)

Hamburg

Hamburgisches Jagdgesetz

vom 22. Mai 1978 (HGVBl. 162), zuletzt geändert durch ÄndG vom 18. Juli 2001 (HmbGVBl. S. 251)

Hessen

Hessisches Jagdgesetz (HJG)

in der Fassung vom 5. Juni 2001 · (GVBl. I S. 271), zuletzt geändert durch Art. 6 Drittes G zur Verlängerung der Geltungsdauer u. Änd. befristeter Rechtsvorschr. vom 28. 9. 2007 (GVBl. I S. 638)

Mecklenburg-Vorpommern

Jagdgesetz des Landes Mecklenburg-Vorpommern (Landesjagdgesetz – LJagdG)

in der Fassung vom 22. März 2000 (GVOBl. M-V 2000, S. 126), zuletzt geändert durch Art. 24 Verwaltungsmodernisierungsg vom 23.5.2006 (GVOBl. M-V S. 194, nicht gem. Entscheidung LVerfG v. 26. 7. 2007, GVOBl. M-V S. 318))

Niedersachsen

Niedersächsisches Jagdgesetz (NJagdG)

in der Fassung vom 16. März 2001 (Nds. GVBl. Nr. 7/2001 S.100), zuletzt geändert durch Art. 1 zur Änd. jagdrechtl. Vorschriften v. 13.12.2007 (Nds. GVBl. S. 708)

Nordrhein-Westfalen

Landesjagdgesetz Nordrhein-Westfalen (Landesjagdgesetz – LJG-NW)

in der Fassung vom 7. Dezember 1994, (GV.NW. 1995 S. 2, ber. 1997 S. 56), zuletzt geändert durch Art. IV LGÄndG vom 19. 6. 2007 (GV. NRW. S. 228)

Rheinland-Pfalz

Landesjagdgesetz (LJG)

vom 5. Februar 1979 (GVBl. 23), zuletzt geändert durch Gesetz vom 25.7.2005, (GVBl. 2005, S. 308)

Saarland

Gesetz zur Erhaltung und jagdlichen Nutzung des Wildes (Saarländisches Jagdgesetz – SJG)

vom 27. Mai 1998 (Amtsblatt 638), zuletzt geändert durch Art. 10 Abs. 22a VerwaltungsstrukturreformG 21. 11. 2007 (Amtsbl. S. 2393)

Sachsen

Landesjagdgesetz Sachsen (Sächs. LJagdG)

vom 8. Mai 1991 (GVBl. 67), zuletzt geändert am 22. April 2005, SächsGVBl. S. 121

Sachsen-Anhalt

Landesjagdgesetz Sachsen-Anhalt

vom 23. Juli 1991 (GVBl. LSA 186), zuletzt geändert durch Art. 66 Erstes Rechts- und VerwaltungsvereinfachungsG vom 18. November 2005 (GVBl. LSA S. 698)

Schleswig-Holstein

Jagdgesetz des Landes Schleswig-Holstein (Landesjagdgesetz – LJagdG)

in der Fassung vom 13. Oktober 1999 (GVBl. 1999, S. 300), zuletzt geändert durch Art. 11 Nr. 4 HaushaltsstrukturG 2009/2010 vom 12.12.2008, (GVBl. Schl.-H. S. 791)

Thüringen

Thüringer Jagdgesetz (ThJG)

in der Fassung vom 28. Juni 2006 (GVBl. S. 313)

to 1.2: Fees, Royalties and Taxes

- Taxes
(income, real estate, salary, value-added tax)
- Legally required social insurance
(health, annuity, nursing, accident, unemployment insurance)
- Fees to the Timber Sales Promotion Funds (Holzabsatzfonds)



The enterprise allows the auditor – strictly confidential – access to the documentation confirming that all legally prescribed fees, taxes and royalties are being met, e.g. Document L of the income tax form or the most recent income statement.

to 1.3: International Agreements**a. ILO-Conventions**

The International Labour Organisation (ILO) is a special UN organization founded in 1919. With its main seat in Geneva, the ILO strives to improve living and working conditions worldwide, to create employment opportunities, and to further the recognition of basic human rights. The ILO's importance in international social policy is based on its tripartite organizational structure, which includes employers and workers' representatives as equal partners in the decision-making process alongside government representatives.

To this end, the ILO formulates international principles in the form of conventions and recommendations, which represent the minimum standard for basic workers' rights. The following section lists the ILO Core Conventions which were all ratified by the German Government and are thus also binding for FSC certification.

- Freedom of Organization
Convention 87 on Freedom of Association and Protection of the Right to Organise, 1948
Convention 98 on the Right to Organise and Collective Bargaining, 1949
- Abolition of Forced Labor
Convention 29 on Forced Labour, 1930
Convention 105 on Abolition of Forced Labour, 1957
- Equal Rights / No Discrimination
Convention 100 on Equal Remuneration, 1951
Convention 111 on Discrimination (Employment and Occupation), 1958
- Child Labour
Convention 138 on Minimum Age for Admission to Employment, 1973
Convention 182 on Worst Forms of Child Labour, 1999

b. International Agreements for the Protection of Animals and Plants

In this area, the Federal Republic of Germany has signed the following international agreements, among others:

- the *Bern Convention* of 1979 for the preservation of Europe's wild animals and native plants and their natural habitats;
- the *Convention on Biological Diversity* of Rio de Janeiro of June 5, 1992, concerning biological diversity;
- the *Bonn Convention* of June 23, 1979, for the preservation of migrating wild animal species;
- the *Washington Convention on International Trade in Endangered Species* (CITES) of March 3, 1973, concerning the international trade in endangered species of wild animals and plants.

c. European Decrees and Guidelines

- EU-Artenschutzverordnung
Verordnung (EG) Nr. 338/97 vom 9. Dezember 1996 über den Schutz von Exemplaren wildlebender Tier- und Pflanzenarten durch Überwachung des Handels
 (Abl. EG Nr. L 61/1)
Verordnung (EG) Nr. 1332/2005 vom 22.8.2005 zur Änderung der Verordnung (EG) Nr. 338/97 des Rates über den Schutz von Exemplaren wild lebender Tier- und Pflanzenarten durch Überwachung des Handels,
 (ABL. EG vom 27.4.2006 Nr. 113, S.26)
- Fauna, Flora, Habitat (FFH) – Richtlinie
Richtlinie 92/43/EWG vom 21. Mai 1992 zur Erhaltung der natürlichen Lebensräume sowie der wildlebenden Tiere und Pflanzen
 (Abl. Nr. L 206 vom 22. Juli 1992 S. 7, Änderungen 97/62/EG - Abl. Nr. L vom 8. November 1997 S. 42),
 zuletzt geändert durch Art. 1 ÄndRL 2006/105/EG vom 20.11.2006 (Abl.Nr.L 363 S. 368)
- *Richtlinie 79/409/EWG vom April 1979 zur Erhaltung wildlebender Vogelarten; Richtlinie 94/24/EG vom 8. Juni 1994 zur Änderung des Anhangs II der Richtlinie 79/409/EWG über die Erhaltung wildlebender Vogelarten.*
- *Richtlinie 76/207/EWG vom 9. Februar 1976 zur Verwirklichung des Grundsatzes der Gleichbehandlung von Männern und Frauen hinsichtlich des Zugangs zur Beschäftigung, zur Berufsbildung und zum beruflichen Aufstieg sowie in bezug auf die Arbeitsbedingungen*
 (Abl. EG vom 14.02.1976 Nr. L 39 S. 40)

to 1.4: Possible legal conflicts

On the whole, the German FSC Guideline contains nothing to conflict with existing laws. When a forest enterprise perceives a conflict in a particular case, it must bring it to the attention of the certification authority for investigation.

Examples of potential conflicts:

- Area drainage (Crit. 6.5)
- Pest management or its absence (Crit. 6.6)
- Road construction by the Federal Government; land clearing in the public interest (Crit. 6.5 and Crit. 6.10)
- Reforestation and forest management requirements (Crit. 6.3 and 6.4)

to 1.6 Partial Certification/Exclusion of Areas

Unter bestimmten Voraussetzungen ist es möglich, dass nicht der gesamte Forstbetrieb nach FSC zertifiziert wird. Dies kann z.B. dann der Fall sein, wenn unterschiedliche waldbauliche Konzepte Anwendung finden oder die Betriebsteile räumlich getrennt sind. Genaue Regelungen zur Teilzertifizierung finden sich in den FSC Dokumenten FSC-POL-20-002; BM-19.24; BM-20.31; BM-24.13c; BM-34.20 und FSC-POL-20-003, Excision of Areas from the Scope of Certification.

to 2.3: Conflicts over use rights



Conflicts of fundamental importance, affecting a significant number of interests, usually rule out the certification of an enterprise, e.g. disagreement over property or timber use rights, boundary disputes, disputes over the common use of routes and extraction trails.

to 4.1: Rapport with local population



Should a change in the working conditions within the enterprise be foreseen, appropriate training and education measures are to be carried out.
 The requirements placed on enterprises and private individuals enjoying customary rights are contained in an FSC AGD pamphlet.

to 4.2: Worker health and safety regulations

Labour unions recognized as corporate entities promulgate accident prevention rules (APRs) and oversee compliance with the rules on the worksite:

- *Unfallverhütungsvorschrift 4.3: Forsten*
vom 1. Januar 1985 in der Fassung vom 1. Oktober 1997
- *Unfallverhütungsvorschrift 4.5: Gefahrstoffe*
in der Fassung vom vom 1. Januar 2000

As a rule, terms for compliance with accident prevention rules are laid down in collective wage agreements.

In the Federal Republic of Germany the following rules and regulations also apply:

- *Arbeitsschutzgesetz (ArbSchG) – Gesetz über die Durchführung von Maßnahmen des Arbeitsschutzes zur Verbesserung der Sicherheit und des Gesundheitsschutzes der Beschäftigten bei der Arbeit*
in der Fassung vom 7. August 1996 (BGBl. I S. 1246), zuletzt geändert durch Art. 15 Abs. 89 G v. 5. 2. 2009 (BGBl. I S. 160)
- *Arbeitssicherheitsgesetz (ASiG) – Gesetz über Betriebsärzte, Sicherheitsingenieure und andere Fachkräfte für Arbeitssicherheit*
vom 12. Dezember 1973 (BGBl. I S. 1885; ...; 1996 S. 1476); (BGBl. III/FNA 805-2), zuletzt geändert durch Artikel 226 der Verordnung vom 31. Oktober 2006 (BGBl. I S. 2407)
- *Arbeitsstättenverordnung (ArbStättV)*
vom 12. August 2004 (BGBl. I S. 2179), zuletzt geändert durch Artikel 6 Abs. 4 der Verordnung vom 6. März 2007 (BGBl. I S. 261), zuletzt geändert durch Art. 9 V v. 18.12.2008 (BGBl. I S. 2768)
- *Arbeitszeitgesetz (ArbZG)*
vom 6. Juni 1994 (BGBl. I S. 1170), zuletzt geändert durch Artikel 14a des Gesetzes vom 9. Juni 1998 (BGBl. I S. 1242), zuletzt geändert durch Artikel 229 der Verordnung vom 31. Oktober 2006 (BGBl. I S. 2407)
- *Berufsbildungsgesetz (BBiG)*
vom 23. März 2005 (BGBl. I S. 931), zuletzt geändert durch Art. 9 b des Gesetzes vom 07. 09. 2007 (BGBl. I S. 2246)
- *Bildschirmarbeitsverordnung (BildscharbV) – Verordnung über Sicherheit und Gesundheitsschutz bei der Arbeit an Bildschirmgeräten*
vom 4. Dezember 1996 (BGBl. I S. 1841),
zuletzt geändert durch Art. 7 V v. 18.12.2008 (BGBl. I S. 2768)
- *Bundesurlaubsgesetz (BUrlG) – Mindesturlaubsgesetz für Arbeitnehmer*
vom 8. Januar 1963 (BGBl. I S. 2),
zuletzt geändert durch Artikel 8 des Gesetzes vom 19. Dezember 1998 (BGBl. I S. 3843)
- *Geräte- und Produktsicherheitsgesetz (GPSG) - Gesetz über technische Arbeitsmittel und Verbraucherprodukte vom 6. Januar 2004 (BGBl.2004 I S.2, ber. BGBl.2004 I S. 219)*
- *Gefahrstoffverordnung (GefStoffV) – Verordnung zum Schutz vor gefährlichen Stoffe*
vom 15. November 1999 (BGBl. I S. 2233), *Zuletzt geändert durch Art. 442 V v. 31.10.2006 I 2407*
nach § 9 Abs. 1 GefStoffV hat der Arbeitgeber dafür zu sorgen, dass die durch einen Gefahrstoff bedingte Gefährdung der Gesundheit der Beschäftigten bei der Arbeit durch die in der Gefährdungsbeurteilung festgelegten Maßnahmen beseitigt oder auf ein Mindestmaß verringert wird. Um dieser Verpflichtung nachzukommen, hat der Arbeitgeber bevorzugt eine Substitution durchzuführen. Insbesondere hat er Tätigkeiten mit Gefahrstoffen zu vermeiden oder Gefahrstoffe durch Stoffe, Zubereitungen oder Erzeugnisse zu ersetzen, die unter den jeweiligen Verwendungsbedingungen für die Gesundheit der Beschäftigten nicht oder weniger gefährlich sind.
- *Gesetzliche Kranken-, Arbeitslosen- und Rentenversicherung (Pflicht)*
– Sozialgesetzbuch Fünftes Buch (SGB V) – Gesetzliche Krankenversicherung vom 20.12.1988 (BGBl. I S. 2477, Artikel 1), zuletzt geändert durch Artikel 6 Nr. 1 G. v. 21.12.2008 (BGBl. I S. 2940)
– Sozialgesetzbuch Sechstes Buch (SGB VI) – Gesetzliche Rentenversicherung - (Artikel 1 des Gesetzes vom 18. Dezember 1989, BGBl. I S. 2261, 1990 I S. 1337) in der Fassung der Bekanntmachung vom 19. Februar 2002 (BGBl. I S. 754, 1404, 3384), zuletzt geändert durch Dienstrechtsneuordnungsgesetz vom 5.2.2009
- – Sozialgesetzbuch Siebtes Buch (SGB VII) – Gesetzliche Unfallversicherung - (Artikel 1 des Gesetzes vom 7. August 1996, BGBl. I S. 1254) vom 7. August 1996 (BGBl. I S. 1254), zuletzt geändert durch Artikel 260 der Verordnung vom 31. Oktober 2006 (BGBl. I S. 2407)
- *Jugendarbeitsschutzgesetz (JArbSchG) – Gesetz zum Schutze der arbeitenden Jugend*
vom 12. April 1976 (BGBl. I S. 965), zuletzt geändert durch Art. 3 Abs. 2 G v. 31. Oktober 2008 (BGBl. I S. 2149)
- *Kinderarbeitsschutzverordnung (KindArbSchV) – Verordnung über den Kinderarbeitsschutz*
vom 23. Juni 1998 (BGBl. I S. 1508),

- *Kündigungsschutzgesetz (KSchG)*
vom 10. August 1951 (BGBl. I S. 499) in der Fassung vom 25. August 1969 (BGBl. I S. 1317), zuletzt geändert durch Art. 3 G v. 26. März 2008 (BGBl. I S. 444)
- *Lastenhandhabungsverordnung (LasthandhabV) – Verordnung über Sicherheit und Gesundheitsschutz bei der manuellen Handhabung von Lasten bei der Arbeit*
Diese Verordnung ist als Artikel 2 der Verordnung zur Umsetzung von EG-Richtlinien zur EG-Rahmenrichtlinie Arbeitsschutz vom 4. Dezember 1996 (BGBl. I S. 1841 ff.) am 20. Dezember 1996 in Kraft getreten. Zuletzt geändert durch Artikel 436 der Verordnung vom 31. Oktober 2006 (BGBl. I S. 2407)
- *Mutterschutzgesetz (MuSchG) – Gesetz zum Schutze der erwerbstätigen Mutter*
in der Fassung der Bekanntmachung vom 20. Juni 2002 (BGBl. I S. 2318), geändert durch Artikel 2 Abs. 10 des Gesetzes vom 5. Dezember 2006 (BGBl. I S. 2748)
- *PSA-Benutzungsverordnung (PSA-BV) – Verordnung über Sicherheit und Gesundheitsschutz bei der Benutzung persönlicher Schutzausrüstungen bei der Arbeit*
Diese Verordnung ist als Artikel 1 der Verordnung zur Umsetzung von EG-Richtlinien zur EG-Rahmenrichtlinie Arbeitsschutz vom 4. Dezember 1996 (BGBl. I S. 1841 ff.) am 20. Dezember 1996 in Kraft getreten.

to 4.2.4: Verification of Social Insurance

The certifier may inspect relevant documents during the audit. Either the forest enterprise presents these documents of deployed contractors' staff as well, or submission is done by the contractor himself.

to 4.3: Right of workers to organize

The following regulations apply where in force:

- *Betriebsverfassungsgesetz (BetrVG)*
vom 15. Januar 1972 (BGBl. I S. 13), zuletzt geändert durch Art. 52 des Gesetzes vom 24. März 1997 (BGBl. I S. 594).
- Personalvertretungsgesetze der Länder
- *Tarifvertragsgesetz (TVG)*
in der Fassung der Bekanntmachung vom 25. August 1969 (BGBl. I Nr. 83 vom 27.08.1969 S. 1323) zuletzt geändert am 29. Oktober 1974 durch Artikel II des Gesetzes zur Änderung des Heimarbeitgesetzes und anderer arbeitsrechtlicher Vorschriften (Heimarbeitänderungsgesetz) (BGBl. I Nr. 119 vom 31.10.1974 S. 2879)
- Tarifverträge:
 - Bundesangestelltentarif (BAT)
 - Manteltarifvertrag für die Arbeiter der Länder (MTL)
 - Manteltarifvertrag für die staatlichen Forstbetriebe



These requirements underlie the conventions no. s 87, 96, 141 and 169, as well as the declaration from 1998 of the International Labour Organisation (ILO). Security through contractual agreement (see pamphlet on actions of enterprises and private individuals enjoying customary rights).

to 4.3.5: Wage agreements and hired contractors

The wage agreements negotiated nationally and at federal state level apply to forest companies and enterprises.

In federal states where no applicable wage agreement exists for private forest companies and forest contractors that state's wage agreement for public sector forest workers applies. Where, for serious reasons stemming from public procurement law, the payment of the employees of the hired contractors is not in accordance with remuneration agreements, the forest enterprise is relieved of its duty to appoint corresponding contractors only. The grounds for this, and their basis in public procurement law, are to be provided to the certifier with legally binding sources in written form.

to 4.4.6: Notification of interested parties

Pertinent activities for the purposes of this guideline are all activities that directly affect interested parties or that have a direct impact on adjacent lands, such as:

- Construction activities, e.g. road building activities that are important for the connection of relatively large areas

- Water construction projects, e.g. projects that could lead to changes in groundwater flows
- Felling activities that have an impact on adjacent properties, on access roads to land owned by third parties, or on other necessary roads
- Activities in protected areas and in High Conservation Value Forests
- Constitution of conservation zones or reference sites

to 4.5: Compensation regulation

In the Federal Republic, compensation for damages is regulated under §823 of the Civil Law Code: "An individual harmed by another has a claim to compensation. Claims are to be pursued through the legal system."

to 5.1.1: Economic viability

- 
 Incomes: Incomes from timber and non-timber products including grants obtained.
 Expenditures: Silviculture, tending, harvesting, materials and administration costs. The work force may, for example, be the owner, the owner's family or third parties. The objective is economically sustainable management with future prospective and secured long-term financing.

to 5.2: Optimal Use

- 
 The objective is to provide the greatest possible spectrum of site appropriate tree species in the dimensions required for processing.
 Market adapted dimensions refers to the provision of timber assortments demanded on the timber market.

to 5.3: Forest friendly resource use

- 
 Ecosystem damage: Ecosystem damage may refer to damage to the soil, nearby water bodies or wild animals.
 The requirements placed on forest enterprises by the FSC are detailed in a pamphlet produced by the FSC Working Group German. This pamphlet may be given to enterprises to make them aware of their obligations in place of a written contract and a signed commitment to the requirements may be demanded.

to 5.3.1: Biodegradable hydraulic fluids

If a machine cannot be converted so that it can use biodegradable hydraulic fluids, the owner has to provide evidence thereof to the forest enterprise.

to 5.3.2: Quality assuring policy

Contractors and the quality of their work, as well as all of the relevant requirements outlined in the current German FSC Standard, are checked annually on-site. These quality assurance measures may be carried out by certified contractors, if the corresponding certification systems ensure annual on-site inspection in every business.

The RAL Certificate GZ 244, for example, meets these requirements. Measures for quality assurance must be established no later than 12 months after this standard comes into effect.

to 5.6.1: Determination of the feasibility of sustainable use levels

Determining the feasibility of sustainable use levels is relatively complex because there is no perfect, quantifiable method of evaluation. The so-called sustainable harvest level is a relatively good standard which take several factors into account, including growth rates, and it is recommended here. Growth rates alone is a less suitable standard because it ignores enterprise stocking rates.

The sustainable harvest level shall be established in the forest management plan. It shall be calculated using various indicators of sustainability weighed against each other in light of each enterprise's specific situation. Typical specific situations for an enterprise include start-up, retrenchment, or intermittent operation.

In forest enterprises where younger forests predominate (“Aufbaubetriebe”), these are characterized by rapid growth but only limited timber stocks. In this case timber harvests must be less than actual new growth. The situation for forest enterprises where older forests predominate (“Abbaubetriebe”) is reversed: older stands with high stocks of saleable timber has to be harvested before they decline in value. In intermittently operating enterprises (“Aussetzende Betriebe”) timber is harvested irregularly as the overall managed area is too small.

The function of forest management is to produce a balanced evaluation of the situation. Applicable methods for evaluating sustainability vary by Federal State. The following methods are typically used:

Current Total Increment:	Actual annual forest growth. Because younger trees grow more quickly than older ones, it is important to take the age of forest areas into consideration.
Mean Total Increment:	Forest growth over a specified period (often 100 years). Here different growth rates amongst trees of different ages balance out.
Summary Felling Plan:	Harvest levels are calculated on the basis of forest area size and duration of cultivation cycles. An optimal harvesting age is set for each tree species and harvestable stands of that age are identified.
Forestry Site Plan:	the results of a management plan for each treatment unit based on site inspections.
Formula indicators:	various calculation matrices have been developed, e.g. by GERHARD, HEYER, or HUNDESHAGEN. These formulas incorporate actual and planned stocking levels in addition to growth rates.

Each of these evaluation methods has advantages and disadvantages; each gives greater or lesser importance to one or more criteria. The sustainable harvest rule represents a compromise resulting from consideration of all the arguments. It specifies a volume of timber that can be sustainably harvested, but an exact definition of exploitable timber amount is not possible in a scientific sense.

In addition, the harvest level provides an average value for the purposes of ten-year planning; as an annual standard it must be used with care. Actual annual timber usage regularly exceeds or falls short of a harvest level due primarily to the impact of timber market fluctuations, but also due to unexpected harvesting due to natural disasters.

Finally, the harvest level provides the basis for the tax assessment of privately-owned forests. Since set taxes must be paid every year, even when actual harvests fall short of the sustainable harvest level, private forest enterprises place a particularly high value on careful calculation of the harvest level. In this case, potentially sustainable use levels are often higher than the harvest levels specify.

to 6.1: Environmental impacts of forest management



Negative impacts upon the environment arising from forest management include soil compaction resulting from motor vehicle use, nutrient depletion through the removal of biomass, infrastructural development (bisection of biotopes worthy of conservation, sealing of soils with concrete or tarmacadam).

The objective of this regulation is to determine possible negative impacts upon the environment prior to taking action.

to 6.1.4: Official authorization for measures in the forest

Examples for measures in the forest, which are not part of forest management and are in need of an official authorisation, are: afforestation, track measures, construction of a quarry to gain building materials, construction of wind power plants and further interferences in nature and landscape according to BNatSchG.

to 6.2: Endangered species and conservation zones

a) Endangered species

Populations of species that are threatened by extinction in large parts of their distribution area in Germany. This includes species on the Red List in category ‘3’ or below (1 to 3). Red lists are

catalogues of those species of plants and animals which are in danger of extinction due to human activities, at least in considerable parts of their natural distribution areas. The lists are regularly updated and serve as a means to design appropriate conservation measures. To this end, the species are assigned to different categories. Due to the differences in distribution and population density within the territory of Germany, additional species are listed in separate Red Lists by the individual federal states. When local authorities take charge of individual cases, state Red Lists must be taken as the primary basis for decision-making.

According to the Red List of the Federal Republic of Germany, the following distinct categories apply:

- *Category 0: „Extinct or vanished“*
Species whose populations are evidently extinct or have been extirpated (reference period ca. 1850, for mammals and birds until the Middle Ages), or "vanished species", i.e., species whose occurrence is documented in the past but which have not been found in recent times (at least 10 years) despite search efforts.
- *Category 1: „Threatened with Extinction“*
The survival of these species in the Federal Republic of Germany is unlikely as long as the causal factors continue to exist and/or conservation and support measures by humans are not implemented, or cease. This also includes species with single occurrences or few, isolated, small or very small populations (so-called "rare species") which are seriously threatened due to existing or foreseeable disturbances.
- *Category 2: „Strongly Endangered“*
Endangered within almost their entire range in Germany. Species with small populations, and species which are in significant decline throughout most of their local distribution area, or which have disappeared regionally.
- *Category 3: „Endangered“*
Endangered within large portions of their range in Germany. Species with regionally small or very small populations; populations which are regionally or locally declining or have locally disappeared; and plants with varying growing sites.
- *Category 4: „Potentially Endangered“*
Species with only few or small populations in the area, and species which occur in small populations at the edge of their range, if they are not already included in categories 1 through 3 due to their acute threatened status.

Part of the endangered species are also the protected species that arise out of the FFH guidelines (92/43/EWG), attachment I, II, IV.

b) Conservation Zones

The following conservation zones must be considered in forest management planning:

Conservation categories defined by §23-29 of the Federal Nature conservation Act: Nature Reserves, National Parks, Landscape conservation Areas, Nature Parks, National Monuments, Protected Landscape Elements.

Water protection areas designated as conservation zones I, II and III by the Federal Water Act of 19 August 2002 (BGBl. I S. 3245) §19, in conjunction with state water laws.

Biotopes under § 20c of the Federal Nature conservation Act: moist biotopes; dry biotopes; marsh, swamp and meadow woodlands; rock formations and dunes; and special alpine biotopes. Mapping of forest biotopes has been carried out in some areas, such as southern Germany, making possible a precise list of biotopes.

Protected forest areas under § 12 of the Federal Nature conservation Act: forests which reduce immisions, conserve soils, or reduce noise or visual pollution. State laws may require forest owners to refrain from specified activities in protected forest areas.

FFH areas designated under EU-Guideline 92/43/EWG include rare forest plant associations as well as various types of habitats.



Unafforested small forest structures include, for example, wetlands and moist meadows, moors, unafforested plots previously used for agriculture (e.g. juniper meadows).

to 6.2.2: Adaptation of management methods for the protection of special species

With this regulation it is possible to react towards, e.g., the breeding season/incubation of individually appearing protected species. Even skidding can pose interference. With the help of local experts,

appropriate times can be defined and integrated into the forest management. These experts may also be affiliated to the forest enterprise.

to 6.2.4: Overexploitation of the forest

Over hunting, as depicted in 6.2.4, is only theoretically possible in Germany. In fact, wildlife stock is often too high. International FSC guidelines demand that contents of international criteria reflect in the national indicators.

to 6.3.6: Wild saplings and plants of pesticide-low production

Plant material that grows-up without synthetic pesticides, growth regulators and herbicides can be obtained in so-called "ecological tree-nurseries". A list of the enterprises can be accessed through the website of the ARBEITSGEMEINSCHAFT ÖKOLOGISCHE BAUMSCHULEN (www.oekologischebaumschulen.de).

The guidelines of allocation and contract procedures (VOB) and the demands of the forest reproductive material law (FoVG) in regard to the used origin are met independently of that.

to 6.3.7: Origin of Seed and Plant Stock

The forest reproductive material law (FoVG) performs the task to ensure that solely forest reproductive material with secured identity is circulated. This demand is implemented through state controls on the federal level regulated by law. Nevertheless, in forest practice there are often applications of false origin. In order to avoid this, the forest enterprise establishes accompanying measures to minimize the risk of false origin. This is also clearly in own interest of the forest enterprise to ensure quality. For the implementation of these requirements, policies are to be taken into account that provide proof by analysing genetic material/retain samples (e.g. ZÜF). Consideration of other policies is possible as well, e.g. in case of special contractual agreements between supplier (tree-nurseries) and forest enterprise that permit special control and surveillance rights.

to 6.3.8: Management of wild game populations

According to §1 of the Federal Hunting Law, the management of adequate wild game populations must be conducted in a way that damages (e.g. browsing, bark-peeling) to forest stands are minimized. In all Federal States, browsing and foraging reports employing various evaluation methods are carried out every three years.

Under §21 of the Federal Hunting Law, hooved animals may only be hunted within the limits of the required hunting regulations determined by the authorities with jurisdiction. Hunters must comply with the required hunting limits for hooved animals. The states determine the conditions under which required hunting regulations are enforced through the issuance of hunting licenses; they may require physical evidence of compliance with the hunting regulations.

Acknowledged methods, which serve as a basis for hunting regulations, are those, which are applied area-wide by federal forest administrations, forest enterprises or forest research stations or are recommended by forest research stations and other research institutes.



Forest owners whose forests are hunted by third parties can influence the game-tenant by, for example, petitioning the hunting authority or the game enclosure administration.

to 6.3.9/10: Munitions

In the context of drive hunts with a shooting party, the forest owner has to take care at the latest within 3 years that the guests (shooting party) use such hunting munitions which minimize the entry of harmful substances, avoids health risks by consumption of game and meets the highest animal protection and safety standards as well. A proof may for instance be the presentation of relevant bills. If the hunt is under lease, then the use of adequate munitions should be stipulated for the next hunt under lease. If the forest enterprise is part of a drive hunt with a shooting party, it works towards the use of adequate munitions in the relevant bodies.

If the game is sold as FSC-certified game, then the adjustment to lead-free munitions has taken place.

to 6.3.11: Site-inappropriate stocking

-  Close-to-nature stands are often more stable than sites stocked inappropriately with respect to the site conditions. A stable proportion of the tree species of the natural forest associations is in place when this proportion is also secured in future generations on the basis of natural regeneration and without active promotion.

to 6.3.1: Clearcut

-  The following exceptions are possible in well founded individual cases subject to prior agreement with the certifier:
- The conversion of unstable, unnaturally stocked stands. A stand is deemed unstable in situations where a widespread destabilization is expected following any forms of use other than clearcut.
 - Smallest forest enterprises (maximum size 5 hectares) may harvest quantities of timber extractable only through clear-cutting due to exceptional circumstances, namely that the enterprise is unable to use other felling methods for internal structural reasons. Even in these cases the cutting area is not to exceed 1 hectare. Adjacent cleared areas are included in this calculation if they meet the definition of forest areas under applicable state forest law.

to 6.3.13 Biotope- and Deadwood

a) Example approach for biotope trees and deadwood

The biotope wood and deadwood concept of BaySF can be mentioned exemplary. Concerning naturalness of the original stand there are set assessments about species and extent of biotope trees and deadwood trees to be designated.

b) Key structures of biodiversity on living trees:

Trunk injuries of various kinds form entrance doors for wood fungi species specialized on colonization of living trees (intact and transpiration- and assimilate- flows!), which pass an often lengthy parasitic stage in their host trees. The mycelium and fruiting bodies of these fungi form the key to occurrence of nationally endangered wood insect species. The continuous wood degradation, often lasting many decades, by fungi and gnawing insects is an essential prerequisite for the formation of large caves, cave floors, mull bodies and mull compartments as centres of biodiversity.

Following structures should be taken into account regarding selection of habitat trees:

Structures	Profile
Lightning cracks (splits)	Caused by lightning, often the entire length of strain, channel-shaped, bark injury frequently deep-reaching into sapwood-section. At oak formation of a characteristic, very durable, hard-white rot sapwood-plate. The subjacent heartwood is streaked regularly by the mycelium of the sulphur-pore fungi <i>Laetiporus sulphureus</i> .
Forked tree breaks	Extensive excavation of sapwood and heartwood caused by break of a strain-component generally at unfavourable ramification type (pressure fork). Common and sessile oak: see lightning cracks.
Bark damage, prospect strips	More or less widespread bark injuries created by e.g. falling neighbouring trees, breaking crown parts and as result of timber harvesting or in form of skidding damages.
Heavy branch breaks and partial crown breaks	Break of heavy branches and break of crown parts often cause an extensive excavation of sapwood and heartwood.
Dead knot holes resp. stumps	Dead heavy branches cause often not to heal over or permanently vulnerabilities not able to compartmentalize against fungal colonization such as thick branch stumps or larger knot-holes as initials of (large-) cave formation.

Fungal infection of trunk sections, fungal fruiting bodies	Advanced stage of settlement succession e.g. caused by lightning cracks, bark injuries, etc.
Areas infected by fungi, caves and mull compartments in living crown branches	Offside the main trunk in heavy branch area of crowns can develop many key habitats.
Cancerous trunk areas	Cancer-like structures in living trees are indications on the occurrence of key fungi of insect colonization and large cave formation.
Drying and dead crown parts	Dead heavy branches and trunk parts in crown area are key habitats particularly for species adapted to warmth and drought.
Crown break - replacement crown trees	After crown break maintenance of material flows through creation of replacement crowns. Large cavity formation occurs often, existing caves are maintained by emergence of wood infected by fungi and mull.
Cracks and splits	Cracks and splits are created in the living tree, for example, by frost and by strong torsion and shear forces. They often develop to cave structures filled with mull and nesting material. In their habitat characteristics they are similar to large caves.
Black and green woodpecker cavities	Increasing species diversity through development processes, initiated by wood fungi, gnawing insect species and subsequent users (⇒ large cavities).
Large caves	Due to aging processes high structured cavities. Main components of the typical habitat system, containing many litres to cubic meters, are fungi-affected interior walls with gradients of wood decomposition and moisture content as well as extensive small climatically differentiated mull bodies. Due to the continuous nutrient-, moisture- and substrate- supply through intact assimilate- and transpiration-flows resp. growth processes, cavities in living trees are considerably species-richer and more lasting than those of standing dead wood.
Spotted woodpecker cavities	Frequently in standing deadwood resp. deadwood of living trees. For a variety of vertebrates and arthropods of fundamental importance.

c) Characteristics of standing and lying deadwood structures:

Both standing and lying dead wood structures often differ very individually regarding their suitability as habitats of ecologically specialized wood fungus species and wood insect species. Differential characteristics are:

Volume

Humidity and temperature of deadwood is significantly determined by its volume. In thick logs dominate completely different living conditions than in branch wood.

Local climatic exposure

Humidity and temperature of deadwood are dependent elementary from the local situation: In constant cool-wet environment of ravine forests appear on comparable wood species completely different colonization potentials by insects and fungi than on wind-throw areas with extreme fluctuations of humidity and temperature.

Micro climatic exposure

Even on the same site reveal different ecological conditions by the spatial location of the deadwood. Thereby, the most direct, levelling influence of soil moisture is the most important aspect: trunks directly lying on the ground have very different micro-climatic characteristics than trunks lifted from the

ground just a few decimetres. The same applies for the example pair non-dissected crown with upright branches and dissected crown with branches on the ground.

History / Original structures

Regarding standing and lying deadwood, there result individual ecologic development lines by the nature of underlying aging process. Deadwood structures created by spontaneous break from living trees show from biochemical point of view a completely different characteristic than those that have been directed in a certain direction of decomposition by parasitic wood fungus species even before the break.

Type of fungal colonization

The nature of fungal colonization is one of the most important individual characteristics, which determines the potential settlement range of a living tree or deadwood structure. A large part of the wood insect fauna is more or less closely bound to individual fungal species or fungal species groups. This is true for the fruiting bodies as well as for the mycelium passing the wood body. The securing of typical resp. complete species diversity of wood-decomposing fungi is therefore a key component of serious concepts aiming for comprehensive protection of forest ecosystems resp. other landscape parts dominated by trees.

Degree of decomposition / degradation stages

The degradation of still available assimilates; timber degradation caused by fungi and the gnawing by various arthropods produce continuous change of the physical and chemical properties of deadwood structures. The design of an ecologically sustainable, continuous coexistence of these decomposition stages in most confined space is one of the biggest challenges for nature conservation practices in commercial forests.

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Deadwood structures

Exposed, non-dissected crowns resp. extensive crown parts

Lying, non-dissected logs, large trunk pieces resp. trunk parts and heavy branches of crowns

Standing deadwood of strong dimensions

Standing and lying small-sized wood, pole stand, medium-sized timber

Profile

Non-dissected (!) branch sections of tree crowns.

They form with the upper trunk parts resp. heavy branches micro climatic units resp. smooth transitions; The water balance of branches is substantially affected by adjacent stem wood. Trunk parts resp. heavy branches also initiate that larger parts of branches stand up and are not affected by the direct influence of soil moisture.

The volume of non-dissected trunks, large trunk parts and heavy branches effect climatically favourable characteristics in relation to settlement potential of wood micro-fungi and insects. The often observed shredding in logs and branch sections leads to strong fluctuations in moisture content and temperature, reducing strongly habitat suitability for demanding wood-habituating species.

Depending on the type of fungal colonization, the baseline situation and degree of decomposition, results a wide range of different habitat options.

Also deadwood of small-sized dimensions is needed as habitat by many, partly endangered, wood-habituating species of arthropods and fungi. Therefore, its share of total stock is to be consistently maintained and increased.

to 6.4.1: Areas with special function for nature conservation

Areas with special function for nature conservation can exist only if managed extensively: Slopes, dry or wet sites, sites with special status for nature conservation (nature conservation site, natural forest parcel of land, protection forest, FFH-areas...). Especially, if there are no areas with special status for nature conservation within the forest enterprise, then local experts are listened to. Experts may be external consultants, planning agencies or members of the forest enterprise.

to 6.5: Forest access and drainage

a) Forest Access

In Issue No.11 (1997) of their magazine "Forest and Trail", the "Kuratorium für Waldarbeit und Forsttechnik e.V." provided a comprehensive list of recommendations for careful opening up of forests to public use. The basic principles laid down in this publication provide guidance for minimizing potential negative consequences to the ecosystem and the countryside. They should be considered as a model for environmentally appropriate trail building for the purposes of these guidelines.

The following aspects are worthy of special consideration:

- The determination of optimal trail width (maximum 3.5 m): limited utilization of the countryside, early slope stabilization, and development of plant associations on the edge of the forest interior.
- Preferential use of locally available building materials for trail reinforcement, avoidance of aggregate surfaces (concrete or asphalt).
- Keeping clear of springs, moist biotopes and similar locations.
- Trail upkeep:
 - Regular maintenance of trail supports, especially during heavy precipitation
 - Ban on mechanized excavation around protected flora and fauna
 - Delayed clearing of trail edges until after the dying back of ground cover, or after the fledging of ground-breeders.

b) Use of recycling material

The use of recycling material in road building according to legal regulations is possible, if it is a matter of exclusively mineral material, preferably local geological parent material. The use of recycled building material from rubble processing is possible as well, if:

- Environmental conditions are met (especially proven harmlessness to water management)
- Road-building adequacy of the material is evident and proven (material type, grain size, ...)
- No negative consequence to flora and fauna is to be expected
- The natural scenery is not affected
- Compatibility of common welfare is not affected (can be found in the environmental legislations of the federal states, according to which activities like cycling or pushing of prams are not impaired).

c) Distance of the skid tracks

Opening-up systems should be erected in the long-run. The first drive already is leading to grave and enduring soil damages. Existing, suboptimal opening-ups or lanes should be preferred to new installations or integrated.

If no permanent opening-up system exists, then this is usually carried out using a skid trail gap of 40 meters. Professionally comprehensible exceptions are possible, e.g. in young stands or in case the area requires other gaps. Especially on soils that are technically and ecologically very sensitive to drive upon, these exceptions should be kept to a minimum.

d) Drainage

Drainage projects in the context of the soil and water association, which secure tracks or agricultural production areas do not come under Criterion 6.5.6. The same matters for drainage and trench systems that should ensure water discharge from the forest after floods.

to 6.6: Biocides

a) Liming

Liming exclusively serves the compensation of anthropogenic acid deposition.

Liming may carry along unwanted side-effects. There is the danger, e.g., that dismantling of humus is accelerated and nutrients, that are set free, erode. Basically, the necessity of liming should be scrutinised. Deciduous forest plantation may frequently lead to an amelioration of soils. Possibly, base-rich stone dust (without CaCO₃) may serve as an alternative to liming. This works slower, cation exchange capacity (CEC) is increased and an erosion of important nutrients is impeded.

If however liming is applied, expertise regarding the type of lime (dolomite lime or chalk lime) shall be obtained. Furthermore, it shall be pondered, if granulates are applied. These unfold their potential slower and hardly have any negative effect on the fauna. The timing of the output in pulverised form is very important regarding the conservation of fauna. Therefore such measures shall be exerted off vegetation season.

By any means, expertise of specialist shall be obtained. State forest office and forest research stations give advice and provide substantial information material (e.g. leaflet on soil protective liming by FVA Baden-Württemberg, 2000, Nr. 50). Some of these information or material can be obtained free of charge.

b) Prohibited Biocides

In 1975, the 28th convention of the World Health Organisation (WHO) ratified the WHO Classification of Pesticides by Hazard, which defines the toxicity of pesticides and subsequently assigns toxicity classes for their components. This classification has since been accepted worldwide.

Prompted by member nations and registration agencies, the first Guidelines to Classification were prepared in 1978, which contain appropriate lists of classified pesticide components and are being updated every two years.

The WHO lists the following classes:

- I. EXTREMELY DANGEROUS (Class 1a) active components of pesticides
- II. VERY DANGEROUS (Class 1b) active components of pesticides
- III. MODERATELY DANGEROUS (Class 2) active components of pesticides
- IV. SLIGHTLY DANGEROUS (Class 3) active components of pesticides

Biocides of the WHO classes 1A and 1B, chlorinated hydrocarbons, persistent and lasting biologically active biocides which accumulate in food chains, and other biocides whose use is prohibited by international agreements, are generally (worldwide) banned from use in FSC certified enterprises.

c) Approved Herbicides

According to Article 12, Section 2, of the Council Guideline 91/414/EEC, every EU member nation annually compiles a list of herbicides which are approved within its territory, and makes that list available to the other EU member nations and the European Commission.

The testing and approval of herbicides in the Federal Republic of Germany are regulated in the amended Cultural Plant Protection Law of May 14, 1998, which is based on EU guideline 91/414/EEC.

Herbicides may only be brought into circulation or imported if they have been approved by the Federal Biological Institute for Agriculture and Forestry (*Biologische Bundesanstalt für Land- und Forstwirtschaft - BBA*) in Brunswick (*Braunschweig*). An approved herbicide can be identified by the stamp of approval of the BBA in the shape of a triangle and the registration number.

The approval of an herbicide is necessary for its sale or import, and since July 1, 1998, also for its application. The BBA further regulates herbicide use through the wording of the instructions, containing information on areas of application and restrictions. In special cases it may include application regulations. Violations of such regulations may be subject to a fine.

When applied correctly and according to specifications, or as a result of such application, the herbicide may

- not have any negative effects on the health of humans and animals, or on the ground water;
- not have any other effects, especially on the natural balance, which are unacceptable based on current scientific knowledge.

According to the German FSC guideline, the use of pesticides and herbicides is only permissible for pest control in exceptional cases when ordered by an administrative agency.

d) Official directive

Official directives have to be decreed by the next higher authority.

In the case of statutory operating forest authorities, these are the parent authorities of forestry offices regarding private forest owners. Different regulations statutory in federal state forest laws remain thereof unaffected. If an official directive requests the use of a prohibited pesticide (see b)), the responsible Certification Body for the regarding forest enterprise is asking for a pesticide derogation at FSC International Center.



In this case the certifier is informed in advance of any biocide application and the necessity for any such action explained. Where possible, biological controls are given priority.

The date of biocide application and the ensuing timber sales are to be documented for each affected site. Timber treated with chemical biocides may only be FSC certified six months after the final biocide application.

to 6.7: Disposal of substances harmful to the environment

Kreislaufwirtschaftsgesetz und Abfallgesetz (KrWG/AbfG) – Gesetz zur Förderung der Kreislaufwirtschaft und Sicherung der umweltverträglichen Beseitigung von Abfällen vom 27.09.94 (in Kraft seit 07.10.96)

to 6.9.1: Exotic tree species (Non native tree species)

Non-native tree species are only cultivated in Germany when they have been proven ecologically non-invasive through years of experience or with comparable data from pilot projects. That is, they must coexist with native tree species and not tend toward dominance. They must support an abundant level of plant and animal life that is not significantly under those of natural forest plant associations. They must contribute to the performance of the forest's ecological function and regenerate naturally under existing environmental conditions.

The forest enterprise explains to the certifier, that the development towards a natural forest plant association is not endangered in the long run through the introduction of exotic tree species. This can happen in various ways. The certifier decides in regard to size of the enterprise and the planned

extend of the introduction of non-native species, how an according proof takes place by the forest enterprise.

to 7.1: Forest planning

Forest planning in Germany takes place at many levels.

a) Forest Development Planning („Forstliche Rahmenplanung“)

Is specified in § 6 of the Federal Forest Law. Planning goals are identified as improvement of forest structure, forest preservation, sustainability of forest functions, retention and improvement of soil fertility. The goals of Forest Development Planning must conform with state planning. Forest Development Plans are drawn up by state under the jurisdiction of responsible state officials.

b) Operating Plans

The operating plan is the vehicle for forest planning at the enterprise level (assessment, inventory). Operating plans are required in Germany for enterprises with a minimum area of 30 to 150 hectares, depending on federal state regulations, and are typically developed for enterprises of more than 50 hectares in size. They serve as the basis for tax assessment and for the determination of the sustainable use rate for a period of 10 years.

Operating plans must meet the following minimum requirements:

1. General information (forest owner, forest enterprise, responsible forest administration)
2. Objective description of current state (area register, stand descriptions, tree species, annual increment, timber volume calculation, damage assessment)
3. Assessment of the use rate (determination of annual sustainable use; determination and assessment of annual use rate)
4. Proceedings under different types of operation (selection, coppice, composite, and non-managed forests)
5. Listing of aids and basics (methods; yield tables, where applicable)

c) Operating Reports

Enterprises with a size of more than 30 hectares, but below the minimum size legally prescribed by each state for the obligatory development of an operating plan, are required to submit a less detailed operating report. Operating reports may be developed on the basis of expert assessment. In the context of group certification (cf. Appendix III), forest owners with less than 30 hectares of forest land are given the option to jointly develop an operating report.

Operating reports for group certification must meet the following minimum requirements:

1. Definition of the enterprise's goal and listing of measures/potential to achieve the objectives
2. Description and assessment of the current state
 - a) forest management aspects
 - b) landscape and nature conservation aspects
3. Description of silvicultural objectives
4. Derivation of planned and required management activities after expert assessment of the sites and the current state of the forest
5. Assessment of expected timber volume for a period of 10 years
6. Information about workers to be employed
7. Explanation of the planned changes, particularly measures aimed at restructuring the forest and improving the forest's viability and productivity (in general, and in reference to individual stands)

d) Forest Assessment (Inventory)

Public and private forests are generally subject to state laws with different specifications:

In general, the forest management requirement applies only to public forests. For national forests, forest management plans are typically drawn up by internal forest department; forest management is also typically required for communal forests. Forest management is not mandatory for private forests under the Federal Forest Law, but it is required for tax assessment purposes.

The scope of forest management is specified by the State Ministry with jurisdiction. Forest management guidelines specify compulsory procedures for how management should be carried out. These are published in the form of administrative orders, e.g. "Forest Management Service Directive –

FED" (Baden Württemberg) or "Directives for Management of State and Municipal Forests and for Medium-Term Forest Management Plans... – BePla" (North Rhine-Westphalia).

Examples:

1. BADEN-WÜRTTEMBERG

Requirements: Management of state and communal forests through periodic and annual Forest Management Plans (§ 20 (1) State Forest Law).

For private forests, the Ministry can require forest enterprises of 30 to 100 hectares to provide periodic operating reports and forest enterprises of 100 hectares or more to submit periodic forest operating plans (§ 20 (2) State Forest Law).

Scope: the Ministry can issue directives for forest management plan and its execution (§ 53 State Forest Law). Regulations concerning the contents are given under § 50 of the State Forest Law.

2. NORTH RHINE - WESTPHALIA

Requirements: Municipal forests and other public forests must have a business plan and a forest management plan (§§ 33-34 State Forest Law).

Scope: The Ministry specifies the minimum required contents of the forest operating plan (§ 36 State Forest Law).

Various state authorities normally set standards for describing the forests in question subject to Criteria 7.1a to 7.1e and Criterion 7.1i.

State Income Tax Law requires forest management of private forests. Enterprises are taxed based on the earnings entered in their financial statements. Actual volumes of harvested timber are checked against the potential use levels for the enterprise. In difficult cases, the Treasury Office can make an estimate of potential use levels, especially when the enterprise cannot provide relevant data.

Section 34b of the State Income Tax Law is particularly significant. Under this law, taxes on earnings from the timber sales can be decreased when a natural disaster results in unscheduled harvesting. However, this rule is only applicable if an officially approved forest operating plan is in place that includes planned harvesting levels. In order to be approved, this forest operating plan must conform to state forest management regulations currently in force.



Under the guidelines presented in this document, for forest enterprises not required under state forest law to produce operating reports/operating plans the production of a simple enterprise description is sufficient. The FSC Working Group Germany has produced a simple formula for this purpose, which can be used by forest owners to fulfill the requirement in question.

Protected and especially valuable habitats include, for example, FFH-Areas, forest areas protected under §20c of the BNatSchG, as well as forest areas protected under other designations, relicts of historical forms of management such as coppice and coppice-with-standards, etc.

to 8.5: Publication of Forest Management Documentation



The documentation of good forest management increases the public's trust and acceptance of forest management. A reasonable sum for the reimbursement of costs accrued in the drafting of summaries can be applied for.

Inspection of documentation can also be considered possible only locally, especially in the small private forest sector.

Confidential enterprise data and sensitive site information (e.g. the location of endangered species) need not be revealed.

Appendix III: GROUP CERTIFICATION

Prepared by the committee "Group Certification"

1 General

Besides single enterprise certification, which is most suitable for large forest owners, the FSC has developed the instrument of group certification. This allows low-cost certification even for smaller private and communal forestry enterprises.

Group certification means the certification not of each individual enterprise, but of a combined group of forestry enterprises, represented by a group entity. As a consequence, the certificate is awarded to the group entity, and not to the individual forest owners. The distribution of the certificate by the group entity to the individual group members is regulated internally.

1.1 Prerequisites for Group Certification

Group certification requires that the responsibilities for certification (i.e., compliance with FSC standards as well as organizational responsibilities for evaluation and monitoring, communication with certifying agency) be partially transferred to the group entity (group management or authorized representative), and only partially remain the responsibility of the individual forest owners who belong to the group. The distribution of responsibilities among the group entity and individual members must be explicitly regulated on a contractual basis.

The group entity assumes full responsibility toward the certifying agency for compliance with FSC standards and certification requirements in the forest areas of those group members for which the certificate has been awarded.

1.2 Various Groups and Group Entities

Groups which apply for certification may display a wide variety of legal and organizational structures. One basic common feature is that they represent an independent legal unit or person. The following lists a number of possibilities:

- Forestry cooperatives, e.g., forest enterprise associations
- "Certification cooperative", i.e., several individual enterprises form a cooperative for the purpose of joint certification
- Interest groups, e.g., forest owner associations, communal forest associations
- Forest consulting, i.e., even an individual person responsible for the management of several forests may apply as a legal person for joint certification on behalf of his clients
- Forest administration office for small private forests (individual enterprises smaller than 30 ha)

The organization of a group certification system, i.e., the distribution of responsibilities among the group (group management) and its individual members, is a matter of each group's discretion and may thus take very different forms (cf. attachment). In practice, such systems are usually based on clearly defined rules for group membership which are accepted by individual members through their signing of a contract or a statement of agreement, e.g. The existence of functional organizational structures is seen as an absolute necessity.

1.3 Partial Certification of a Group

Already established associations are not required to apply for certification of the entire forest area of all individual members. For example: a forest cooperative may apply for certification. It then draws up individual contracts concerning the rights and obligations of the group entity and the individual member with those group members who wish to be covered by the group

certificate. The certificate covers the group but is only valid for those members who explicitly wish to be covered (partial certification). Other group members may join after the certification, in which case regulations need to be in place as to when members who joined later may display the FSC logo on their products (e.g., after a transition period, or following the next monitoring).

In case of partial certification it must be ensured that the sale of timber with the FSC seal of approval is clearly separated from that of timber originating from forest areas not covered by the certificate.

2 Requirements of the Group and Group Members

The successful completion of group certification and a low-cost certification process require a functional organization and proper organizational preparation.

Besides the financial benefits, which often make certification available at all for small forest owners, the cooperative may lead to further cooperation and the joint marketing of timber.

2.1 Administrative and Organizational Combination for Evaluation

Business operations, correspondence, negotiations, etc., with the certifying agency are exclusively carried out by the group entity, which passes information on to its members. As a prerequisite, documentation of enterprise planning and operations must be centrally available, i.e., the group's business office must keep a list of all members registered under the group certificate, complete with the pertinent documentation (maps, operating reports, etc.), and group members must supply the office with information on their business operations.

If operation results are not supplied to the office in form of annual lists, e.g., the evaluation effort increases drastically, since documentation must be accessed individually with each member.

2.2 Management Reports for Enterprises smaller than 150 ha

As already stated under Principle 7, enterprises smaller than 150 ha may supply a management report instead of the management plan according to the Forest Inventory. For the purpose of group certification, enterprises smaller than 30 ha may form a "subgroup" with a joint management report and a communal business plan. This subgroup of enterprises with less than 30 ha is thus treated like an individual forest owner.

2.3 Transfer of Responsibilities to the Group Cooperative in the Areas of Management and Internal Monitoring

The costs of evaluation for the certifying agency may be reduced considerably by decreasing the number of samples necessary. The certifying agency must adapt the manner and size of sampling to the respective conditions. Group certification in itself does not serve as a sufficient justification for a decrease in sample size. Instead, a relatively uniform management and a well-functioning internal monitoring and control system may form the prerequisite for a decrease in evaluation efforts, since in this case the certifying agency only needs to check the system's efficiency. This decreases the number of controls of individual enterprises and the volume of field work. Thus, groups which decide, under the framework of their group certification system, to transfer their individual monitoring obligations required by Principle 8 to the group cooperative, may help to lower the costs of certification.

2.4 External Effects of the Group Entity

The group entity is solely responsible for covering all costs toward the certification organization. The distribution of these costs among individual members is handled internally.

The group entity must carry full, contractually regulated responsibility toward the certifying agency for the complete implementation of all principles and criteria of the FSC by all certified members. Moreover, the extent of the group entity's responsibility for management planning, timber harvest operations, timber marketing, etc., within the group must be clearly defined and documented.

The group entity should carry the responsibility for full compliance with all conditions and restrictions concerning the certification process.

Upon prior definition, the group entity may exclude members who are in violation of the mutually agreed principles. This is necessary to prevent the possible denial of the certification.

2.5 Standards in Group Certification

In case of group certification, the same standards apply as for individual enterprise certification. The requirements of each individual forestry enterprise are the same for group certification as would apply for individual certification of the respective forestry enterprise.

3 Position of Group Members and Requirements

3.1 Membership Requirements

Members must declare their acceptance of the FSC guidelines and the conditions and contents of the certification in writing. Members are responsible for the compliance with FSC standards in forest management, the documentation of all applied measures, and the implementation of measures prescribed in the certification report. The contract between individual members and group entity must regulate which responsibilities fall to the group entity.

3.2 Information of Group Members

The group entity must provide each member access to information concerning the conditions of group membership and certification. This especially includes FSC standards, explanations of the certification process and the ensuing rights of the FSC and the certifying agencies to information about and access to the involved enterprises. Information intended for the public must also be clearly defined.

This also includes an overview over the obligations of individual enterprises concerning mutual exchange of information, the use of a marking system for certified timber, and requirements for the marketing of certified products as well as the costs of certification. It is not necessary for each individual member to own these documents, but they must be accessible to the entire membership.

3.3 Group Documentation

The group entity must keep complete documentation of all group members: names, addresses, and the dates of beginning and end of their membership, as well as the size of the areas concerned.

Other centrally available information should include the documentation of mid-range management planning and enterprise operation (annual lists) as well as documentation of ownership, agreement statements, etc.

All sales of timber with the FSC seal of approval must be documented as well as the timber's origin within the enterprise (which compartment).

The results of internal monitoring must also be kept.

Attachment: Distribution of tasks and responsibilities

The distribution of tasks and responsibilities between the group entity and the group members can vary according to the forest enterprise structure.

Group entity

Tasks:

- applies for certification
- responsibility for organisation and administration (internal monitoring and control system)
- contact to certification body
- documentation for the group entity and group members (member list, forest area, measures)

Further tasks (if assigned by the members):

- joint management and marketing
- continuous documentation of measures taken.

Completion:
management, board or entitled person

internal monitoring

information

Group members

- observance of FSC-criteria
- forest management
- documentation

(documentation transferred to group)

- observance of FSC-criteria
- forest management

(documentation transferred to group)

- observance of FSC-criteria

(management and documentation transferred to group)

Example A

Example B

Example C

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