

ABC Organization

Generic FSC Audit Protocol - Natural Forest Management
 Purpose of Assessment (PCA/CAM):

Date(s):
 Auditor(s):

Principle 1.0 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 signatory, and comply with all FSC Principles and Criteria.

FSC Criteria and Associated Indicators of Compliance	Audit Procedures	S	Mi	Ma	N/A	Auditor Comments
Overall Score for Principle 1:						
Justification for the Score Given:						



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Principle 6.0 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.

FSC Criteria and Associated Indicators of Compliance	Audit Procedures	S	Mi	Ma	N/A	Auditor Comments
<p>Criterion 6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</p> <p>Indicators</p> <ul style="list-style-type: none"> An effective waste management and recycling program (e.g., collection and recycling of waste oil, used batteries, fuel and chemical containers, etc.) appropriate to the materials in use in forest operations is in place. 	<p><u>Documentation</u>(potential)</p> <p><u>Interviews</u>(required)</p> <p><u>Field</u>(required)</p>					
<p>Criterion 6.8 Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</p> <p>Indicators</p> <ul style="list-style-type: none"> Pest control methods which utilize non-biological control agents are given preference where they are shown to be effective and reasonably cost-competitive. Where biological control methods are used, comprehensive records of use are maintained by the forest manager. All applications of biological control methods are conducted by workers who are competent on the basis of adequate training and experience. Application rates and weather conditions are monitored during application to minimize environmental risks. Use of genetically modified organisms is prohibited in all aspects of forest operations. 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(recommended)</p> <p><u>Field</u>(potential)</p>					

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<p>Criterion 6.10 Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: NB: The FSC Principles and Criteria define a plantation as a forest area lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments. Based on this definition, reforested areas which: (1) incorporate a reasonable component of naturally (i.e., not planted) regenerated trees, (2) include multiple tree species, (3) retain some of the structure of the previous stand (e.g., scattered or clumped standing green trees, dead and down trees, etc.), and (4) are managed to allow the seral stages and ecological functions typical of natural forests to develop over time, would not necessarily qualify as plantations. Further guidance can be obtained from applicable draft regional certification standards.</p>						
<p>Criterion 6.10a Entails a very limited portion of the forest management unit. Indicators</p> <ul style="list-style-type: none"> • Where a portion of the forest management unit is converted to plantations or non-forest uses there must be a clear written justification for the nature and extent of the conversion. The area converted should be limited in scale. The particular threshold for the extent of conversion will depend on the potential impacts of the conversion (i.e., this threshold may be higher where the area of the management unit included in protected areas and HCV forests exceeds that necessary to adequately conserve the range of ecological values present). 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(recommended)</p> <p><u>Field</u>(required)</p>					

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<p>Criterion 6.10b Does not occur on high conservation value forest areas.</p> <p>Indicators</p> <ul style="list-style-type: none"> No high conservation value forest areas have been converted to plantations or non-forest uses. <p>NB: Limited conversion to other uses may occur in certain areas required for forest management (e.g., gravel pits, logging camps and other similar facilities).</p>	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(recommended)</p> <p><u>Field</u> NA.</p>					
<p>Criterion 6.10c Will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.</p> <p>Indicators</p> <ul style="list-style-type: none"> Forest conversion to plantations or other non-forest uses must be justified on the basis of clear, substantial, additional, secure, long-term conservation benefits across the forest management unit. In other words, the forest manager must be able to demonstrate that there are substantial conservation benefits attributable to the conversion (e.g., the conversion allows for a greater area of conservation reserves while maintaining the long term harvest level). 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(recommended)</p> <p><u>Field</u> NA.</p>					
Overall Score for Principle 6:						
Justification for the Score Given:						

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Principle 7.0 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.

FSC Criteria and Associated Indicators of Compliance	Audit Procedures	S	Mi	Ma	N/A	Auditor Comments
<p>Criterion 7.1 The management plan and supporting documents shall provide:</p>						
<p>Criterion 7.1a Management objectives.</p> <p>Indicators</p> <ul style="list-style-type: none"> The plan outlines the forest manager’s forest stewardship philosophy. The plan contains detailed management objectives for the key environmental, economic and social values present within the forest management unit. 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(potential)</p> <p><u>Field</u> NA.</p>					
<p>Criterion 7.1b Description of forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.</p> <p>Indicators</p> <ul style="list-style-type: none"> The plan contains a general description of the forest resources (timber and non-timber) to be managed on the forest management unit. The plan outlines the main challenges to the achievement of the management objectives (e.g., lack of inventory data for certain species, effect of past practices, age class distribution issues, etc.). The plan clearly describes the land use and ownership status of the forest management unit, and outlines any challenges this may pose to the achievement of the management objectives. The plan clearly describes current and predicted socio-economic conditions within and adjacent to the forest management unit, including the impact of forest operations on employment levels in the local community. The plan contains a profile of adjacent lands, including an overview of their land use and ownership status, and the nature of the environmental, social and economic values present. 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(potential)</p> <p><u>Field</u> NA.</p>					

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<p>Criterion 7.1e Provisions for monitoring of forest growth and dynamics.</p> <p>Indicators</p> <ul style="list-style-type: none"> The plan contains provisions for monitoring of forest growth and dynamics, and outlines the procedures to be followed (e.g., forest regeneration and free growing surveys, immature stand inventories, timber cruises, etc.). The plan describes how the monitoring results will be used to update inventories for use in future plans and/or plan amendments. 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(potential)</p> <p><u>Field</u> NA.</p>					
<p>Criterion 7.1f Environmental safeguards based on environmental assessments.</p> <p>Indicators</p> <ul style="list-style-type: none"> Based on the results of environmental assessments, the plan outlines the management strategies and procedures to be used to protect the environmental values present. This should include strategies and procedures designed to protect environmental values: (1) during the conduct of routine forest operations (e.g., road construction, harvesting, silviculture, etc.), and (2) from significant natural disturbances (e.g., wildfires, pest outbreaks, etc.). 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(potential)</p> <p><u>Field</u> NA.</p>					

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Overall Score for Principle 7:						
Justification for the Score Given:						

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Principle 8.0 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.

FSC Criteria and Associated Indicators of Compliance	Audit Procedures	S	Mi	Ma	N/A	Auditor Comments
<p>Criterion 8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</p> <p>Indicators</p> <ul style="list-style-type: none"> • A public summary of monitoring results is made available to the public, which at a minimum includes the results for the indicators outlined under criterion 8.2. • Stakeholders (local communities, aboriginal peoples, etc.) are aware that the monitoring results are made available, and are given the opportunity to review the results and provide comments. 	<p><u>Documentation</u>(required)</p> <p><u>Interviews</u>(required)</p> <p><u>Field</u> NA.</p>					
Overall Score for Principle 8:						
Justification for the Score Given:						

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Principle 9.0 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.

FSC Criteria and Associated Indicators of Compliance	Audit Procedures	S	Mi	Ma	N/A	Auditor Comments
<p>Criterion 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p> <p>Indicators</p> <ul style="list-style-type: none"> • NA—This is a requirement of the certification body's certification process and is not a requirement of the applicant. 	<p><u>Documentation</u> NA.</p> <p><u>Interviews</u> NA.</p> <p><u>Field</u> NA.</p>					

