

Appendix 2: Guidelines for interpretation for some natural forests, including tropical forests

Scope

This Appendix to PEFC ST 1003:2010 provides guidance for the PEFC assessment of forest management standards which are used for the certification of natural forests, including but not limited to tropical forests, where particular issues and challenges are evident.

1 Introduction

The overarching principles for sustainable forest management are similar across all types of forests, however the complexity of some natural forests including tropical natural forests, combined with their environmental and socio-economic importance at local, national and international levels has brought them to the attention of the general public and stakeholder groups around the world and suggests the need for additional interpretation of requirements. In considering such interpretation however, it is important to note the particular issues and challenges. These are not necessarily restricted only to tropical forests, being shared by some non-tropical forest types, and indeed are not necessarily relevant for all tropical forests. These are principally:

- Poor or underdeveloped governance processes, acknowledging that governance is an issue that dominates the sustainable management of all types of forest in all countries at all stages of economic development. The term governance here comprises not just the honest and efficient governance of a country's forest resources, but also the presence of appropriate legal and land tenure systems, laws and their implementation, the provision of adequate funds and the existence of motivated and trained staff.
- Forests are often home to, or provide significant economic dependencies for local communities, including indigenous peoples, with poor living standards, and whose needs and rights need particular consideration in national certification schemes. Forest products and services utilised for local use may be as, or even more, important than the production from commercial forestry operations
- Deforestation and the conversion of forest to other forms of land use outside any formal land use planning process. Of special concern are forest operations in natural 'frontier' forests which were not subjected to infrastructural development before. The opening of forestry infrastructure (roads, townships) in previously inaccessible areas may trigger human migration, deforestation and forest degradation and economic activities which may conflict with the social and environmental goals of sustainable forest management and which require planning and management.
- Rich biological diversity, particularly, but not only, in tropical forests, calls for adapted silvicultural/management measures different from those in many other temperate or boreal forest types.
- Despite these inherent complexities and values, many regions have limited resources allocated to administration, training and research related to forest management.

This Appendix seeks to provide further guidance of specific relevance in tropical natural forests, or any other forest regions where the above characteristics apply, which may not be explicitly reflected in PEFC ST 1003:2010. It is the responsibility of the national standard setting process to define the relevance of this guidance to national circumstances.

2 Requirements and interpretations

Requirement	Interpretation
<p>5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p> <p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p> <p>5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.</p> <p>5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.</p> <p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p> <p>Note: The identification of annually allowable exploitation of non-timber forest products is required where forest management covers commercial exploitation of non-timber forest</p>	<p>In regions where there is high dependency of indigenous peoples or local communities on forest areas, these requirements are understood to mean that associated values are identified and understood, together with any interactions between forest resource use for commercial operations and by such communities. This may include mapping of such values, including village settlements, ecologically and socially significant areas, and their inclusion in management plans. Specific provisions for consultation with such communities, as specified in Requirement 5.6.4 may be required in management planning, inventory and monitoring processes.</p> <p>In regions where existing forest inventory and mapping infrastructure is limited, these requirements mean that there should be sufficient detail to determine the extent and role of inventory (including pre-harvest inventory), assessments and/or studies.</p> <p>Particular attention may be required in some tropical forests to the justification of the annual allowable cut including details, of the underlying growth and yield data and where appropriate of the cutting cycle and/or rotation length and any minimum diameter for each species/species group considered for commercial harvest.</p> <p>In regions where forest monitoring capacity is not well developed, these requirements are understood to include specification of monitoring protocols sufficient to lead to the identification of any significant negative impacts from forest operations.</p> <p>See also interpretation under 5.4.1 and 5.4.2.</p>

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<p>products at a level which can have an impact on the long-term sustainability of non-timber forest products.</p> <p>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.</p> <p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p> <p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>	
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:...</p>	<p>This requirement is understood to mean that disturbed natural forests with sufficient integrity to still provide values, services and functions characteristic to an undisturbed primary forest, should be treated in the same way.</p>
<p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p> <p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p> <p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures</p>	<p>It is understood that in some regions there may be limits in terms of capacity (human resources or training), information (including research) and funding as to the implementation of these requirements, which need to be considered in the application of these requirement.</p>

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<p>wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p>	
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p>In some regions fire is an essential tool in forest management for regeneration, wildfire protection and habitat management. The requirement is understood to include these within management goals.</p>
<p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.</p> <p>Also 5.2.9, 5.2.10 and 5.2.11</p>	<p>Where national regulatory systems are not well developed, this requirement is understood to include the need to ensure adequate documentation, monitoring and control procedures are outlined consistent with national laws and internationally accepted scientific protocols.</p>
<p>5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.</p> <p>5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of these policy instruments set up to support the production of commercial and non-commercial forest goods and services.</p> <p>5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.</p>	<p>In regions where there is high dependency of indigenous peoples or local communities on forest areas:</p> <ul style="list-style-type: none"> • special attention should be given to opportunities for optimal utilisation through collaboration with such communities, and • management plans should consider the sustainable management of non-commercial and/or multi- purpose tree species or vegetation communities for community benefit.
<p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>	<p>In tropical regions, where reduced impact logging techniques or systems or similar approaches have been developed, their appropriate application should be identified and encouraged.</p>

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<p>5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>	<p>In tropical forests characterised by high species diversity, particular attention needs to be given to the elaboration of the basis for determining the sustainable rate of harvesting, including where relevant the cutting cycle, harvesting system and any minimum diameter limits for each species/species group that will ensure the sustainability of forest resources.</p> <p>Particular attention should also be given to the harvest protocols which</p> <ul style="list-style-type: none"> a) ensure the sustainability of protected and endangered tree species b) provide for other forms of sustainable utilisation of multi-purpose tree species with significant dependencies for local communities. c) protect those elements of the forests (eg seed-bearing trees) identified as necessary in order to ensure natural regeneration capacity, maintain the natural structure of the forest and the pattern of species' distribution.
<p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing shall be regulated, monitored and controlled.</p>	<p>This requirement should be understood to extend to consideration of traditional and customary rights of indigenous peoples and communities, where relevant.</p>
<p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimizing negative impacts on the environment.</p> <p>Also 5.4.11 and 5.5.5.</p>	<p>These requirements are understood to include consideration of the long-term environmental and social impacts that may be associated with the opening up of previously inaccessible areas.</p> <p>In regions where there is high dependency of indigenous peoples or local communities on forest areas, these requirements are understood to include issues related to community use and access.</p>

Requirement	Interpretation
<p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p> <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas.....</p>	<p>Where local community dependencies and /or high biodiversity forests involve particular issues around the management and conservation of flora and fauna eg community dependence on bushmeat, trade in wildlife products, vulnerability to fragmentation due to new access, there should be appropriate requirements to ensure management planning, and monitoring take these issues into account.</p> <p>In tropical forests characterised by high species diversity conservation of ecologically important areas in the sense of requirement 5.4.2 is understood as one of the primary goals of forest management.</p> <p>The cycle of management inventory, planning, implementation, monitoring and evaluation is understood to explicitly include and address the identification, maintenance and enhancement of biological diversity in the sense of requirement 5.4.2.</p>
<p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	<p>“Protected” and “endangered” are defined by applicable legislation.</p> <p>This requirement is understood to mean that where protected and endangered species are not specified by national law they have to be described by the standard based on credible conservation references.</p> <p>The requirement does not preclude trade according to CITES requirements (Convention on International Trade in Endangered Species of Wild Fauna and Flora, http://www.cites.org/).</p>
<p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p>These requirements are understood to include aquatic biodiversity as an element of water quality and quantity, together with any local community dependencies on water resources.</p>
<p>5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in</p>	<p>In regions where there is high dependency of indigenous peoples or local communities on forest areas, these requirements are understood to mean that national standard setting, based on adequate engagement and consultation with such stakeholder</p>

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<p>connection with the socio-economic functions of forests.</p> <p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p> <p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</p> <p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p> <p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p> <p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and</p>	<p>interests, should give adequate consideration to local livelihoods including poverty and vulnerability aspects with explicit consideration to the contribution to local social and economic development and the requirements for providing for example, employment and/or training opportunities, infrastructure and/or implementing a corporate social responsibility policy agreed following the principles of free, prior and informed consent. This is understood within the context of national frameworks and commensurate with the scale and capability of a forest management unit:</p> <p>These requirements are also understood to mean that national standards will reconcile legitimate local and traditional livelihood strategies that take place in forest management units with forest operations. This applies to shifting cultivation, (subsistence) fishing, (subsistence) hunting, herding, gathering of NTFPs, fuel wood and construction timber for local consumption.</p>

Requirement	Interpretation
<p>shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>	
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	<p>In regions where there is high dependency of indigenous peoples or local communities on forest areas, these requirements are understood to mean that national standard setting, based on adequate engagement and consultation with such stakeholder interests, will determine the appropriate requirements and protocols regarding the utilisation of traditional knowledge and techniques and any associated compensation.</p>
<p>5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.[5.1.2/5.1.11]</p>	<p>In regions with limited capacity, this requirement is understood to include appropriate innovative national standard requirements which address these issues eg opportunities to cooperate with local communities to monitor the forest for unauthorised activities.</p>