



Draft for consultation

Sustainable Biomass Partnership
Standard #1: Sustainable Feedstock Standard.
Version 1-1. March 2014

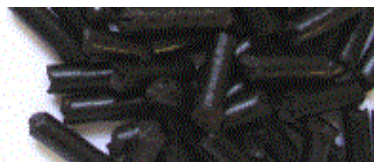


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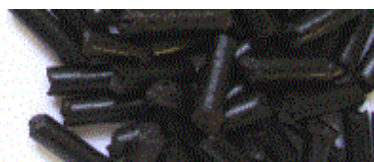
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1 Introduction

1.1 Purpose

This Standard defines the requirements for SBP Sustainable Feedstock if supplied to Biomass Producers within the scope of a Supply Base Evaluation.

1.2 Normative elements in this Standard.

This Standard sets out the Principles, Criteria and Indicators that feedstock being supplied to Biomass Producers as part of a Supply Base Evaluation (SBE) must meet. Compliance with the Principles and Criteria is determined through evaluation of compliance with each Indicator. The Indicators are normative and must be complied with.

This Standard does not set out what evidence must be provided to demonstrate compliance with each Indicator, as this will vary between different operations. The Standard does provide examples of the Means of Verification, that is to say, how evidence of compliance with each Indicator might be demonstrated. These examples are illustrative and are not normative.

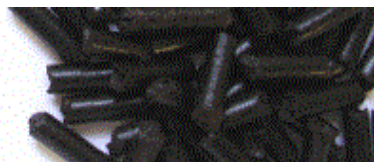
The Standard also provides guidance, which is intended to help in understanding the requirement and, where appropriate, provides sources of evidence for compliance with the Indicator. This guidance is not normative.

1.3 Use of third parties

In some instances, the requirements will be most effectively met by systems being put in place at points in the supply chain where supply is consolidated. This approach may be particularly useful in supply chains where there are a large number of small forest holdings being harvested by a small number of suppliers to the Biomass Producer.

The Biomass Producer may use third parties, such as suppliers and harvesting contractors, to implement requirements in this Standard.

If third parties are implementing parts of the requirements, the Biomass Producer must be able to demonstrate that the requirements are met on the basis of objective evidence. Evidence may be supplied by the third party, or the Biomass Producer may opt to evaluate implementation of the requirements by the third party itself. In all cases, the Biomass Producer remains responsible for compliance with this Standard and for demonstrating this compliance to the independent auditor during certification audits – see the Certification Systems Standard.



1.4 Different evidence may be used for the Risk Assessment and for the Supplier Validation Program

27 The Supply Base Evaluation comprises both a Risk Assessment (RA) and a Supplier Validation
28 Program (SVP). The requirements are specified in the Standard for the evaluation of Primary
29 Feedstock against the Sustainable Feedstock Standard.

30 The RA is undertaken against all Indicators. The SVP is only undertaken where an Indicator is
31 determined to have unspecified risk.

32 Low Risk can be determined during the RA where there is sufficient desk-based evidence that there
33 will not be non-compliance with that Indicator within the scope of the SBE. The evidence used in the
34 RA may be different from that used in the SVP. For example, low risk of the use of child labour may
35 be able to be determined in the RA by reference to applicable laws and evidence of enforcement of
36 those laws. Where a Low Risk of child labour cannot be demonstrated at the RA level, then the
37 Means of Verification in the SBE may be based on other evidence, such as the employment practices
38 of the harvesting companies supplying the Biomass Producer.

1.5 Evidence appropriate to the scale of the operation

39 The evidence provided must ensure that there is a credible guarantee of compliance with the
40 requirements of this Standard. The Means of Verification must be appropriate to scale, intensity and
41 level of risk of the SBE

42 The level and complexity of management needed to meet the requirements of the Standard will
43 depend on the size and type of the supply base. Smaller operating units will not be expected to
44 provide the same level of documentation or procedures that are normally used for larger or more
45 intensively managed companies.

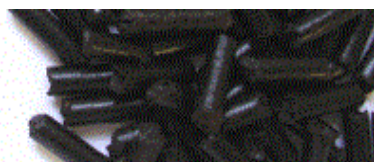
1.6 SBP Feedstock Product Groups and this Standard

46 1. **SBP compliant Primary Feedstock.** All Principles, Criteria and Indicators must be met for
47 primary feedstock that is included in the SBE unless the primary feedstock is supplied
48 within the scope of an SBP Approved Forest Management Scheme. The Principles and
49 Criteria are shown in Table 1.

50 2. **Controlled Primary Feedstock.** Specified criteria must be met for controlled primary
51 feedstock that is included in the SBE, unless the material is received with a claim that it is
52 supplied within the Scope of an SBP Approved Controlled Feedstock System. The
53 specified Criteria are marked in Table 1.

54 3. **SBP compliant Secondary Feedstock.** This material is received as a residue from a first-
55 step wood processor. If the material is not received as within the Scope of an SBP
56 Approved Controlled Feedstock System then the inputs to the first-step wood processor
57 must be supplied from forest holdings, within the Scope of the SBP Supply Base
58 Evaluation, which meet specified criteria. The specified Criteria are marked in Table 1.

59 4. **Tertiary Feedstock.** This standard does not apply to tertiary feedstock.



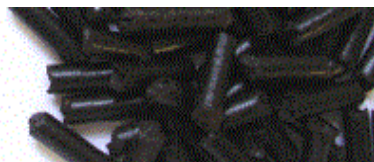
60 2 Principles and Criteria

61 *Principle 1. Biomass Feedstock is legally sourced.*

- 62 1.1* **Criterion: The scope of the Supply Base Evaluation is described and the forest holdings within the scope of the SBE are qualified and quantified.**
- 63 1.2* **Criterion: The forest owner and manager hold legal use rights to the forest (CPET L1).**
- 64 1.3* **Criterion: There is compliance with the requirements of the laws applicable to forest management.**
- 65 1.4* **Criterion: There is compliance from both the forest management organization and any contractors with local and national laws. (CPET L2).**
- 66 1.5* **Criterion: All relevant royalties and taxes are paid. (CPET L3).**
- 67 1.6* **Criterion: There is compliance with the requirements of CITES (CPET L4).**
- 68 1.7* **Criterion: Harvesting does not violate traditional or civil rights.**

70 *Principle 2. Biomass Feedstock is sustainably sourced*

- 71 2.1* **Criterion: The High Conservation Values of the Supply Base are identified and maintained.**
- 72 2.2 Criterion: Management of the forest ensures that harm to ecosystems is minimised. (CPET S5)
- 73
- 74 2.3 Criterion: Management of the forest ensures that productivity is maintained. (CPET S6)
- 75 2.4 Criterion: Management of the forest ensures that forest ecosystem health and vitality is maintained. (CPET S7)
- 76
- 77 2.5 Criterion: Management of the forest ensures that biodiversity is maintained. (CPET S8)
- 78 2.6 Criterion: Management of the forest ensures that legal, customary and traditional tenure and use rights of indigenous peoples and local communities related to the forest are identified, documented and respected. (CPET S9)
- 79
- 80
- 81 2.7 Criterion: Appropriate mechanisms are in place for resolving grievances and disputes, including those relating to tenure and use rights, to forest management practices and to work conditions. (CPET S10)
- 82
- 83
- 84 2.8 Criterion: The basic labour rights of forest workers are safeguarded. (CPET S11)
- 85 2.9 Criterion: Appropriate safeguards are put in place to protect the health and safety of forest workers. (CPET S12)
- 86
- 87 2.10 Criterion: Carbon stocks are maintained
- 88 2.11* **Criterion: Genetically modified trees are not used.**



89 *Principle 3. Systems ensure continued compliance*

90 3.1 Criterion: Management systems are in place covering all aspects of this standard.

91 3.2 Criterion: A management review system makes appropriate improvements.

92 **Note: Criteria in bold and marked * are those required for evaluation of Controlled Primary**
93 **Feedstock and SBP compliant Secondary Feedstock. See also Table 1.**

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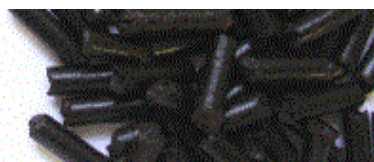


Table 1. Criteria required for evaluation of Controlled Primary Feedstock and SBP compliant Secondary Feedstock.

94	
95	<i>Principle 1. Biomass Feedstock is legally sourced.</i>
96	1.1 Criterion: The scope of the Supply Base Evaluation is described and the forest holdings within the scope of the SBE are qualified and quantified.
97	1.2 Criterion: The forest owner and manager hold legal use rights to the forest (CPET L1).
98	1.3 Criterion: There is compliance with the requirements of the laws applicable to forest management.
99	1.4 Criterion: There is compliance by both the forest management organisation and any contractors with local and national laws. (CPET L2).
100	
101	1.5 Criterion: All relevant royalties and taxes are paid. (CPET L3).
102	1.6 Criterion: There is compliance with the requirements of CITES (CPET L4).
103	1.7 Criterion: Harvesting does not violate traditional or civil rights.
104	<i>Principle 2. Biomass Feedstock is sustainably sourced.</i>
105	2.1 Criterion: The High Conservation Values of the Supply Base are identified and maintained.
106	2.11 Criterion: Genetically modified trees are not used.
107	<i>Principle 3. Systems ensure continued compliance.</i>
108	None

Sustainable Biomass Partnership

Sustainable Feedstock Standard: Principles, Criteria and Indicators

1. Principle 1. Biomass Feedstock is legally sourced.		
1.1	Criterion: The scope of the Supply Base Evaluation is described and the forest holdings within the scope of the SBE are qualified and quantified.	
Ref	Indicator:	Guidance:
1.1.1	<p>The Supply Base is defined and mapped.</p> <p>Means of verification: The Scope is defined and justified. Maps to the appropriate scale are available. Key personnel demonstrate adequate understanding of the supply base.</p>	<p>The description of the Supply Base and accompanying maps should be appropriate to the size of the Supply Base and the variation across the Supply Base. Complex supply chains may require additional definition.</p> <p>The requirement relates to feedstock included in the SBE. Other feedstock from outside the SBE is permitted to be used in SBP certified material. See Chain of Custody standard for requirements.</p>
1.1.2	<p>Feedstock can be traced back to the defined Supply Base.</p> <p>Means of verification: Feedstock inputs, including species and volumes, are consistent with the defined supply base. Transport documentation and goods-in records are consistent with the defined scope of the SBE</p>	<p>Feedstock claimed to have originated from the Supply Base can be traced back to that Supply Base.</p> <p>The requirement relates to feedstock included in the SBE. Other feedstock is permitted to be used in SBP certified material See Chain of Custody standard for requirements.</p>
1.1.3	<p>The feedstock input profile is described and categorised by the mix of inputs.</p> <p>Means of verification: Feedstock inputs records.</p>	<p>Records of feedstock inputs should show the relative volumes of different input materials used. These should include identification of volumes of primary, secondary and tertiary feedstock used and also a description of the inputs.</p>

1.2		
Criterion: The forest owner and manager hold legal use rights to the forest (CPET L1).		
Ref	Indicator:	Guidance:
1.2.1	<p>Legality of ownership and land use can be demonstrated.</p> <p>Means of verification:</p> <ul style="list-style-type: none"> ▪ Documents demonstrating that the Biomass Producer is a legally defined entity. ▪ Documents showing legal ownership, lease, history of land tenure and the actual legal use. ▪ In situations where customary rights govern use and access, these rights are clearly identifiable. ▪ Long term unchallenged use. 	<p>Factors affecting the risks of compliance will include the effectiveness of the land tenure system in place in the supply base.</p> <p>Where there are or have been disputes, proof of legal acquisition of title will be necessary. This may include evidence that fair compensation has been made to previous owners and occupants, and that these have been accepted with free, prior and informed consent (FPIC).</p>
1.3		
Criterion: There is compliance with the requirements of the laws applicable to forest management.		
Ref	Indicator:	Guidance:
1.3.1	<p>There are no illegal harvesting operations and there is compliance with EUTR legality requirements.</p> <p>Means of verification:</p> <ul style="list-style-type: none"> • Reference to sources of information in guidance notes. • Interviews with key staff show a good knowledge of relevant forestry legislation. • Procedures are in place to ensure operations are legal. • No issues of legal non-compliance are raised by regulatory authorities or other interested parties 	<p>This Indicator relates specifically to applicable forestry legislation.</p> <p>Certification is not a legal compliance audit. There should be adequate evidence that systems are in place to ensure forestry operations are legal.</p> <p>Applicable legislation includes legislation in force on the country of harvest covering the following matters:</p> <ul style="list-style-type: none"> - rights to harvest timber within legally gazetted boundaries, - payments for harvest rights and timber including duties related to timber harvesting, - timber harvesting, including environmental and forest management including forest legislation and biodiversity conservation, where directly related to timber harvesting, - third parties' legal rights concerning use and tenure that are affected by timber harvesting, and - trade and customs, in so far as the forest sector is concerned." <p>DECC, Timber Standard for Heat and Electricity. 2014.</p> <p>Factors affecting the risks of compliance will include where there is a high perception of corruption relating to the granting or issuing of harvesting permits</p>

		<p>and other areas of law enforcement related to harvesting and wood trade.</p> <p>Sources of information may include Interviews with involved stakeholders.</p> <p>Potential reference sources include: The Royal Institute of International Affairs: www.illegal-logging.org Environmental Investigation Agency: www.eia-international.org Global Witness: www.globalwitness.org</p>
1.4	Criterion: There is compliance by both the forest management organisation and any contractors with local and national laws. (CPET L2).	
Ref	Indicator:	Guidance:
1.4.1	<p>There is compliance by both the forest management organisation and any contractors with local and national laws.</p> <p>Means of verification:</p> <ul style="list-style-type: none"> • Reference to sources of information in guidance notes. • Interviews with key staff show a good knowledge of relevant forestry legislation. • Procedures are in place to ensure operations are legal. • No issues of legal non-compliance are raised by regulatory authorities or other interested parties 	<p>This Indicator relates to local and national legislation which may not be captured in forestry legislation.</p> <p>This indicator includes ratified international laws and conventions, such as the Convention on Biological Diversity.</p> <p>Certification is not a legal compliance audit. There should be adequate evidence that systems are in place to ensure operations are legal.</p> <p>Relevant legislation includes, but is not limited to: regulations governing labour, storage, transportation and processing practices. It also includes laws made pursuant to a country's obligations under international laws.</p> <p>Sources of information may include Interviews with involved stakeholders.</p> <p>Potential reference sources include:</p> <p><u>Transparency international index</u> www.transparency.org</p>
1.4.2	<p>Anti-corruption measures are implemented.</p> <p>Means of verification:</p> <ul style="list-style-type: none"> • Understanding of anti- 	<p>Factors affecting the risks of compliance will include the perception of corruption.</p> <p>How is it ensured that there are high standards of business integrity, including the work against corruption in all its forms?</p>

	<p>corruption law demonstrated.</p> <ul style="list-style-type: none"> • Procedures and processes are in place. • No issues of corrupt activities are raised by regulatory authorities or other interested parties. 	<p>Sources of information may include Interviews with involved stakeholders.</p> <p>Potential reference sources include:</p> <p>Transparency international index www.transparency.org</p>
1.5	Criterion: All relevant royalties and taxes are paid. (CPET L3).	
Ref	Indicator:	Guidance:
1.5.1	<p>Payments for harvest rights and timber including duties, relevant royalties and taxes related to timber harvesting are complete and up to date.</p> <p>Means of verification:</p> <ul style="list-style-type: none"> ▪ Records of payments and correspondence with revenue authorities show payments are correct. 	
1.6	Criterion: There is compliance with the requirements of CITES (CPET L4).	
Ref	Indicator:	Guidance:
1.6.1	<p>There is compliance with the requirements of CITES.</p> <p>Means of verification: Interviews demonstrate that the CITES requirements are understood. CITES species are known and identified. Where relevant the operation possesses permits for harvest and trade in any CITES species.</p>	<p>Where appropriate to the operation CITES requirements are understood at planning and operational level and the requirements are implemented.</p> <p>Where the operation is located in or sources from a country that is not a signatory to CITES the operation will need to provide evidence that it has minimised the use of CITES listed species and has put in place appropriate mechanisms to minimise the impact of the use of any CITES species on those species.</p>
1.7	Criterion: Harvesting does not violate traditional or civil rights.	
Ref	Indicator:	Guidance:
1.7.1	<p>There is no violation of traditional or civil rights.</p> <p>Means of verification: Traditional and civil rights are identified.</p>	<p>Traditional rights are expressed by social groups or peoples, who affirm rights to their lands, forests and other resources based on long established custom or traditional occupation and use.</p> <p>Useful sources of information may include Interviews with involved</p>

	Procedures are in place to ensure rights are not violated.	stakeholders. Potential reference sources include: www.un.org/esa/africa/UNNews_Africa/timber.htm www.globalwitness.org www.naturalresources.org/minerals/CD/docs/other/N0262179.pdf www.usaid.gov/hum_response/oti/pubs/vol1synth.pdf
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2. Principle 2. Biomass Feedstock is sustainably sourced.		
2.1 Criterion: The High Conservation Values of the Supply Base are identified and maintained.		
Ref	Indicator:	Guidance:
2.1.1	<p>High Conservation Value Forests shall be identified and mapped.</p> <p>Means of verification: Internet research. Maps. Interviews</p>	<p>Guidance on HCVs is provided by the High Conservation Value Network. http://www.hcvnetwork.org/</p> <p>Other Reference sources: http://www.worldwildlife.org/science/ecoregions.cfm https://www.biodiv.org/world/parties.asp https://www.biodiv.org/reports/list.aspx?type=for https://www.ibatforbusiness.org/login</p> <ul style="list-style-type: none"> • 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 • Forest areas that are in or contain rare; threatened or endangered ecosystems • Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control). • 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
2.1.2	The potential threat of forest management to High Conservation Values is minimised. A precautionary approach is adopted.	<p>Evaluation of the likely impacts of management practice on High Conservation Values and biodiversity is made and mitigation measures are implemented in the field</p> <p>Impacts include those originating in the area of operation but impacting outside the</p>

	<p>Means of verification: Maps. Standard operating procedures Codes of practice .</p>	<p>area of operation, such as downstream.</p> <p>Guidance on HCVs is provided by the High Conservation Value Network. http://www.hcvnetwork.org/</p>
2.1.3	<p>Safeguards are implemented to protect rare, threatened and endangered species and their habitats. (CPET S8a)</p> <p>Means of verification: Maps, Standard Operating Procedures, Codes of Practice, and monitoring records indicate that appropriate safeguards are implemented.</p>	<p>Rare, threatened and endangered species and their habitats need to be defined to evaluate this requirement.</p> <ul style="list-style-type: none"> ▪ Habitats could include nesting and feeding areas ▪ Conservation zones and protection may be required appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. ▪ Inappropriate hunting, fishing, trapping and collecting would need to be controlled.
2.1.4	<p>There is no conversion of (semi)-natural forest to plantations after January 2008</p> <p>Means of verification: Historical maps and enquiries with stakeholders.</p>	<p>A Plantation is a forest area lacking most of the principal characteristics and key elements of native Ecosystems, which result from the human activities of either planting or intensive silvicultural treatments.</p>
2.2	Criterion: Management of the forest ensures that harm to ecosystems is minimised. (CPET S5)	
Ref	Indicator:	Guidance:
2.2.1	<p>CPET S5. S5a. Appropriate assessment of impacts, planning, implementation and monitoring to minimise impacts. A precautionary approach is adopted.</p> <p>Means of verification: Assessment is made of potential impacts at the operational level. Operating plans have been developed to assess and minimise impacts. Monitoring results are used to minimise impacts.</p>	<p>Evaluation of the likely impacts of management practice on ecosystems and biodiversity should be identified with mitigation measures implemented in the field as necessary. Impacts should be monitored and there should be a mechanism by which the monitoring results feed back into operational practice.</p> <p>Impacts include those originating in the area of operation but impacting outside the area of operation, such as downstream.</p> <p>Sources of information may include maps, standard operating procedures, codes of practice, and monitoring records.</p>
2.2.2	<p>CPETS5b. Protection of soil. Production of primary feedstock maintains or</p>	<p>Findings may be based on determining:</p>

	<p>improves soil quality.</p> <p>Means of verification: Standard operating procedures, codes of practice, operational practice, monitoring records, and visual inspection indicate that the soil quality is maintained or improved.</p>	<ul style="list-style-type: none"> ▪ Is soil erosion a recurring problem in the region? ▪ Are appropriate local regulations in place aimed at preventing soil erosion from forest management activities such as harvesting on steep slopes? ▪ If soils are vulnerable in the region, do appropriate regulations exist to ensure maintenance of soil quality, e.g. residue retention after harvesting? ▪ How is it ensured that establishment and harvesting operations demonstrably meet applicable soil quality legislation? ▪ Do management systems, plans or practices demonstrate the prevention of erosion and preservation of the nutrient balance and of the soil organic matter and prevention of soil salination during forestry or harvesting operations? ▪ What measures are used to prevent soil degradation, being physical or chemical? How are measures monitored?
2.2.3	<p>Removal of residues. The planning and implementation of residue removals is such that harm to the ecosystems is minimised.</p> <p>Means of verification: Standard operating procedures, codes of practice, operational practice, monitoring records, and visual inspection indicate that residue removal minimises harm to the ecosystem.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ Are the soils in the area sensitive to residue removal? E.g. due to low soil organic matter or low nutrient balance? ▪ Are appropriate local regulations in place aimed at preventing damage from residue removal? ▪ Do management systems, plans or practices demonstrate the minimisation of harm from residue removal? ▪ What measures are implemented in the field? ▪ How are measures monitored?
2.2.4	<p>CPET S5b. Protection of water. With the production and processing of primary feedstock, ground and surface water should not be exhausted and the water should be managed such as to avoid negative impact or to significantly limit impact on water.</p> <p>Means of verification: Standard operating procedures, codes of practice, operational practice, monitoring records, and visual inspection indicate that water is managed to avoid negative impact</p>	<p>This Indicator includes impacts outside the direct area of operation, such as runoff from harvesting operations, fertilizer or chemical application.</p> <p>Impacts on riparian zones are included in the evaluation of compliance with this Indicator.</p> <p>Water extraction from non-renewable sources in production and processing would not comply with this Indicator.</p> <p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ How is it ensured that harvesting operations are designed to prevent pollution of watercourses and riparian zones?

	or to significantly limit impact on water.	<ul style="list-style-type: none"> ▪ Are appropriate regulations in place to ensure that harvesting operations are designed to prevent pollution of watercourses and riparian zones? ▪ What checks and balances are in place to ensure compliance with these regulations? ▪ Is water scarcity a risk in the area or in areas downstream that may be negatively affected? ▪ Is water quality at risk in the area or areas downstream that may be negatively affected?
2.2.5	<p>Protection of air quality. Air quality shall not be adversely affected by forest management activities.</p> <p>Means of verification: Standard operating procedures, codes of practice, operational practice, monitoring records, and visual inspection indicate that air quality is not adversely affected.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ If there are violation of national laws and regulations that are applicable to emissions and air quality. ▪ If burning for land preparation or of harvesting residues is justified and appropriately managed. ▪ If fire prevention and fire fighting are organised appropriate to the scale of operations. ▪ If fire risks and hazards have been evaluated and conveyed to the wider public appropriate to the scale of operations.
2.2.6	<p>CPETS5b. Protection of biodiversity. Management of the forest must seek to ensure that biodiversity is maintained.</p> <p>Means of verification: Standard operating procedures, codes of practice, operational practice, monitoring records, and visual inspection indicate that biodiversity is maintained.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ What regulations are in place to ensure that biodiversity in forests is maintained? ▪ What checks and balances are in place to ensure compliance with these regulations? ▪ Is there are a map and supporting documentation to show the location of any biodiversity and features that must be maintained? ▪ What stakeholders have been involved in drafting these maps?
2.2.7	<p>CPETS5c. Controlled and appropriate use of chemicals.</p> <p>Means of verification: Chemicals banned by applicable laws and international agreements are prohibited.</p> <p>If chemicals are used, proper equipment and training is provided to minimize health and environmental risks.</p>	<p>In addition to regulatory requirements the use of chemical pesticides should be consistent with good management practice.</p> <p>Chemical usage should be justified and there should be evidence that non-chemical alternatives have been considered.</p>

	<p>Chemicals are used in line with manufacturers' guidelines.</p> <p>Personnel applying chemicals are aware of their proper use and health and safety requirements.</p> <p>Records of chemical storage and use are complete and up-to-date.</p>	
2.2.8	<p>CPETS5c. Integrated pest management is implemented wherever possible.</p> <p>Means of verification: There is evidence that the options for implementing IPM have been considered.</p> <p>Where appropriate IPM is implemented.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ If Integrated Pest management control is encouraged, planned and where appropriate implemented. ▪ If appropriate training is provided. ▪ If impacts are monitored.
2.2.9	<p>CPETS5d. There must be proper disposal of wastes to minimise any negative impacts</p> <p>Means of verification: Standard operating procedures, disposal records, operational practice, monitoring records and visual inspection indicate that there is proper disposal of wastes</p>	<p>Findings may be based on determining:</p> <p>If an appropriate plan for the management and disposal of waste has been developed and implemented.</p>
2.3	Criterion: Management of the forest ensures that productivity is maintained. (CPET S6)	
Ref	Indicator:	Guidance:
2.3.1	<p>Management planning and implementation of management activities avoid significant negative impacts on forest productivity and ensures long-term economic viability.</p> <p>Means of verification:</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ How is productivity of the forest monitored? ▪ Are growth yields per hectare for different species known? ▪ Are harvesting yields per hectare for different species known to ensure maximum productivity is maintained?

	Harvesting records, growth and yield calculations, and operational practice indicate that management activities avoid significant negative impacts on forest productivity.	<ul style="list-style-type: none"> ▪ Are Harvest yields set at levels that do-not exceed the long-term production capacity of the forest? ▪ Are harvest yields based on adequate inventory and growth and yield data? ▪ In addition to timber products, what other products are considered in management planning? ▪ Is their harvesting in accordance with the law and sustainable yields? ▪ How is it ensured that all employees and contractors are properly trained to optimise forest production?
2.3.2	Monitoring is adequate to check compliance with all requirements, together with review and feedback into planning. Means of verification: Monitoring records, and planning documents indicate that there is evidence of adequate monitoring which feeds back into management planning	Findings may be based on determining: <ul style="list-style-type: none"> ▪ If there is a monitoring programme. ▪ If the monitoring functions are adequately resourced. ▪ If the monitoring plan is implemented. ▪ If monitoring results feed back into management planning
2.3.3	Operations and operational procedures minimise impacts on the range of forest resources and services. Means of verification: Standard operating procedures Codes of practice Operational practice Monitoring records Visual inspection	Forest services include functions that the forests provide for people and environmental, such as erosion control. Findings may be based on determining: <ul style="list-style-type: none"> ▪ Have the forest resources and services been identified? ▪ Does operational planning take account of impact? ▪ Are operational plans and regulations implemented in the field? ▪ Is there adequate in-field supervision, including of subcontractors?
2.3.4	There is adequate training of personnel, both employees and contractors. Means of verification: Training plans, training records, and qualifications of operators indicate that there is adequate training.	Findings may be based on determining: <ul style="list-style-type: none"> ▪ Are training needs evaluated? ▪ How is competence assessed of both employees and contractors? ▪ Is there a training plan? ▪ Is the training plan implemented? ▪ Do contracts with contractors specify qualification requirements?
2.3.5	Harvest levels do not exceed the long-term production capacity of the forest, based on adequate inventory and growth data.	Findings may be based on determining: <ul style="list-style-type: none"> ▪ How is productivity of the forest monitored? ▪ Are growth yields per hectare for different species known?

	<p>Means of verification: Harvesting records, growth and yield calculations, operational practice indicate that harvest levels do not exceed the long-term production capacity of the forest.</p>	<ul style="list-style-type: none"> ▪ Are harvesting yields per hectare for different species known to ensure maximum productivity is maintained? ▪ Are harvest yields set at levels that do not exceed the long-term production capacity of the forest? ▪ Are harvest yields based on adequate inventory and growth and yield data? ▪ In addition to timber products, what other products are considered in management planning? ▪ If harvesting is in accordance with the law and sustainable yields? ▪ How it is ensured that all employees and contractors are properly trained to optimise forest production?
2.3.6	<p>There is a positive contribution towards the local economy.</p> <p>Means of verification: Use of local contractors, employment policies and opportunities, contracts, social development budgets.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ The level of use of local services ▪ Job opportunities for members of local communities. ▪ Funding of community projects. ▪ How existing community based enterprises are impacted.
2.4	Criterion: Management of the forest ensures that forest ecosystem health and vitality is maintained. (CPET S7)	
Ref	Indicator:	Guidance:
2.4.1	<p>Management planning aims to maintain or increase the health and vitality of forest ecosystems.</p> <p>Means of verification: Management systems, resource assessments and similar documents, information sources or processes indicate that there is an aim to maintain or increase the health and vitality of forest ecosystems. Interviews demonstrate awareness of the requirement and that observation and monitoring processes are in place.</p>	<p>Health and vitality of the forest ecosystem relates to the resilience of the ecosystem to withstand change. Indicators of health and vitality may include the level of disturbance, changes in biodiversity, and the presence or absence of keystone 'indicator' species.</p> <p>Relevant ecological functions and values may include:</p> <ol style="list-style-type: none"> a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.
2.4.2	<p>Natural processes, fires, pests and diseases are managed.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ Is fire prevention and fire fighting organised in relation to the scale of

	<p>Means of verification: Management systems, similar documents, Standard Operating Procedures, interviews and visual inspections indicate that these issues are managed. Interviews demonstrate awareness of the requirement and that observation and monitoring processes are in place.</p>	<p>(individual) operations?</p> <ul style="list-style-type: none"> ▪ How are fire risks and hazards evaluated and conveyed to the wider public? ▪ Are the owners and managers aware of the pests and diseases that may affect their forests/ ▪ What preventative measures are taken to prevent fire, pests and diseases? ▪ If an outbreak occurs: How are pests and diseases controlled? ▪ What monitoring takes place of pests and diseases?
<p>2.4.3</p>	<p>There is adequate protection of the forest from unauthorised activities such as illegal logging, mining and encroachment.</p> <p>Means of verification: Management systems, similar documents, Standard Operating Procedures, interviews and visual inspections indicate that these issues are managed. Interviews demonstrate awareness of the requirement and that observation and monitoring processes are in place.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ Is there an identified risk to forest ecosystems due to unauthorised activities? ▪ How are illegal activities discouraged?

2.5	Management of the forest ensures that biodiversity is maintained. (CPET S8)	
Ref	Indicator:	Guidance:
2.5.1	<p>Key ecosystems and habitats are conserved or set aside in their natural state. (CPET S8b).</p> <p>Means of verification: Maps, Standard Operating Procedures, Codes of Practice and monitoring records indicate that appropriate safeguards are implemented.</p>	<p>Key ecosystems and habitats need to be defined to evaluate this requirement.</p> <p>For (CPET S8a) requirements see Indicator (2.1.3)</p> <ul style="list-style-type: none"> ▪ Key ecosystems or habitats could include areas with statutory designations and Areas of High Conservation Value. ▪ It may be appropriate that representative samples of existing ecosystems within the landscape are protected in their natural state appropriate to the scale and intensity of operations and the uniqueness of the affected resources. <p>Potential reference sources include: RSB Conservation Impact Assessment Guidelines RSB-GUI-01-007-01</p>
2.5.2	<p>Features and species of outstanding or exceptional value are protected.(CPET S8c)</p> <p>Means of verification: Maps, Standard Operating Procedures, Codes of Practice and monitoring records indicate that there is appropriate protection.</p>	<p>Features and species of outstanding or exceptional value need to be defined to evaluate this requirement.</p> <p>If any features and species of outstanding or exceptional value are identified, including those mapped in the Integrated Biodiversity Assessment Tool (IBAT) for business, how are they protected?</p> <p>Potential reference sources include: RSB Conservation Impact Assessment Guidelines RSB-GUI-01-007-01</p>
2.6	Criterion: Management of the forest ensures that legal, customary and traditional tenure and use rights of indigenous peoples and local communities related to the forest are identified, documented and respected. (CPET S9)	
Ref	Indicator:	Guidance:
2.6.1	<p>The legal, customary and traditional tenure and use rights of indigenous peoples and local communities related to the forest are identified, documented and respected.</p>	<p>Third parties' legal rights concerning use and tenure that are affected by timber harvesting would need to have been identified and mechanisms put in place to ensure these rights are respected.</p> <p>In particular, how are rights identified and implemented in relation to:</p>

	<p>Means of verification: Customary and traditional tenure and use rights are identified and documented. Interviews with indigenous peoples and local communities and other stakeholders indicate that their rights are respected. Appropriate mechanisms to resolve disputes exist. Agreements exist regarding these rights.</p>	<ul style="list-style-type: none"> ▪ Trade and customs. ▪ Respect for legal, customary and traditional tenure and use rights. <p>The requirement includes ILO convention 169 ,which relates to the rights of indigenous and tribal peoples.</p> <p>Local communities would be able to demonstrate that they maintain control of the relevant resources to the extent that that they are able to protect their rights or resources, unless they delegate control with free and informed consent.</p> <p>Use of traditional community knowledge or intellectual property is appropriately compensated.</p> <p>Where there are disputes over tenure claims and use rights there would be appropriate mechanisms to resolve them.</p> <p>Disputes of substantial magnitude involving a significant number of interests will not normally enable this Indicator to be considered low risk.</p>
<p>2.6.2</p>	<p>Production of primary feedstock should not endanger food, water supply or subsistence means of communities where the use of this specific feedstock or water is essential for the fulfilment of basic needs.</p> <p>Means of verification: Interviews with local communities and other stakeholders indicate that subsistence needs are not endangered. Agreements exists on resource rights where these impact on the needs of communities.</p>	<p>Any potential impacts on food, water and other basic needs would need to be identified.</p> <p>Potential reference sources include:</p> <p>RSB Food Security Guidelines. RSB-GUI-01-006-01</p>

2.7	Criterion: Appropriate mechanisms are in place for resolving grievances and disputes including those relating to tenure and use rights, to forest management practices and to work conditions (CPET S10)	
Ref	Indicator:	Guidance:
2.7.1	<p>Appropriate mechanisms are in place for resolving grievances and disputes including those relating to tenure and use rights, to forest management practices and to work conditions.</p> <p>Means of verification: Grievances and disputes mechanisms exist. Evidence that there has been resolution of grievances and disputes using these mechanisms.</p>	<p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ How are grievance procedures made public appropriate to scale of operations? ▪ Does evidence show that grievances are dealt with in a timely and appropriate manner? ▪ What mechanisms are in place? ▪ Have grievances being resolved? <p>Potential reference sources include:</p> <p>RSB Social Impact Assessment Guidelines. RSB-GUI-01-005-01 RSB Land Rights Guidelines. RSB-GUI-01-012-01</p>
2.8	Criterion: The basic labour rights of forest workers are safeguarded. (CPET S11)	
Ref	Indicator:	Guidance:
2.8.1	<p>Freedom of association and the effective recognition of the right to collective bargaining are respected.</p> <p>Means of verification: Interviews and company policies indicate that the requirements are met.</p>	<p>The following ILO conventions are not ratified in all countries. The Indicator must be met in countries where ILO conventions are not ratified.</p> <p>ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. ILO Convention 98 (Right to Collective Bargaining) ILO Convention 87 (Freedom of Association) ILO Convention 135 (Workers Representatives Convention)</p> <p>Reference source: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937</p> <p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ How is the freedom of association recognised? ▪ How is the recognition of the right to collective bargaining recognised? ▪ In the absence of a union how is this requirement met?
2.8.2	All forms of compulsory labour are	Compulsory labour is defined as "All work or service that a person has not offered

	<p>eliminated.</p> <p>Means of verification: Interviews and company policies indicate that the requirements are met.</p>	<p>to do voluntarily and is made to do under the threat of punishment or retaliation, or is demanded as a means of repayment of debt.”</p> <p>The Indicator must be met in countries where ILO conventions are not ratified.</p> <p>ILO Conventions 29 and 105 (Forced & Bonded Labour)</p> <p>Reference source: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937</p>
2.8.3	<p>Child labour is abolished.</p> <p>Means of verification: Interviews and company policies indicate that the requirements are met.</p>	<p>Child labour is defined as any work performed by a child younger than the age stipulated below, except as provided for by ILO Recommendation 146.</p> <p>Definition of a child: any person less than 15 years of age, unless the minimum age for work or mandatory schooling is stipulated as being higher by local law, in which case the stipulated higher age applies in that locality</p> <p>The Indicator must be met in countries where ILO conventions are not ratified. ILO Convention 138 & Recommendation 146 (Minimum Age and Recommendation)</p> <p>Reference source: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937</p>
2.8.4	<p>Discrimination in respect of employment and occupation is eliminated.</p> <p>Means of verification: Interviews, payroll records and company policies indicate that the requirements are met</p>	<p>The Indicator must be met in countries where ILO conventions are not ratified. ILO Conventions 100 (Equal remuneration for male and female workers for work of equal value) and 111 (Discrimination)</p> <p>Reference source: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937</p> <p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ How is the freedom of association recognised? ▪ How is the recognition of the right to collective bargaining recognised? ▪ In the absence of a union how is this requirement met? How is discrimination relating to subjects such as religion, race and gender managed and eliminated?

		<ul style="list-style-type: none"> ▪ How is it ensured that there is respect for internationally proclaimed human rights? ▪ How is it ensured that there are high standards of business integrity, including the work against corruption in all its forms?
2.8.5	<p>Pay and employment conditions meet, or exceed, minimum requirements.</p> <p>Means of verification: Interviews, payroll records and company policies indicate that the requirements are met</p>	<p>Reference source: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937</p> <p>Findings may be based on determining:</p> <ul style="list-style-type: none"> ▪ Minimum wages paid. ▪ Conditions of employment. ▪ Knowledge of employment legislation.
2.9	Criterion: Appropriate safeguards are put in place to protect the health and safety of forest workers (CPET S12)	
2.9.1	<p>Appropriate safeguards are put in place to protect the health and safety of forest workers.</p> <p>Means of verification: Policies, Risk assessments, Purchasing records for Personal Protective Equipment, Accident records, Visual inspection.</p>	<p>Appropriate safeguards would include requirements to complete appropriate training courses, the identification of risks and the provision of appropriate Personal Protective Equipment.</p>
2.10	Criterion: Carbon stocks are maintained	
Ref	Indicator:	Guidance:
2.10.1	<p>Biomass shall not be sourced from areas that had high carbon stocks in January 2008 and no longer have those high carbon stocks.</p> <p>Means of verification: Maps, procedures and records demonstrate that the requirement is met.</p>	<p>Examples of areas with high carbon stock values</p> <ul style="list-style-type: none"> • Wetlands: Land that is covered with or saturated by water permanently or for a significant part of the year should remain as wetland. • Peatland: Unless evidence is provided that the production of feedstock does not involve drainage of previously undrained soil.

2.10.2	<p>Carbon accounting demonstrates that harvesting does not diminish the capability of the forest to act as an effective sink or store of carbon over the long term.</p> <p>Means of verification: Carbon accounting calculations.</p>	<p>Assessment of risks to the carbon stock may include:</p> <ul style="list-style-type: none"> • Collection of reliable data on current stocking, growth rates, age class distributions, and existing market requirements. • Analysis of the data. • Examination of various outcomes (changing species or productivity, disease, fire, other markets). • Consideration of different spatial and temporal scales. Looking 5 to 10 years ahead should be a minimum. • Awareness of pressures or opportunities from outside the supply area. • Recognition that there may be periods of transition that will need management. • Regular review.
2.11 Criterion: Genetically modified trees are not used. (Until 2015).		
Ref	Indicator:	Guidance:
2.11.1	<p>Genetically modified trees are not used.</p> <p>Means of verification: Reference sources, interviews and records show that GMOs are not used.</p>	<p>Potential reference sources include: http://www.globalforestregistry.org/</p> <p>Genetically Modified Trees are those in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination, taking into account applicable legislation providing a specific definition of genetically modified organisms.</p>

3. Principle. Management systems ensure continued compliance.		
3.1 Criterion: Management systems are in place covering all aspects of this standard.		
Ref	Indicator:	Guidance:
3.1.1	<p>The management system shall be appropriate to the type, range and volume of work performed.</p> <p>Means of verification: Documents and interviews indicate that this requirement is met.</p>	<p>The management system gives a credible guarantee that the SBP requirements are implemented across the SBE.</p>

3.1.2	<p>The management system shall include all required written documented procedures.</p> <p>Means of verification: Documents, records and interviews indicate that this requirement is met.</p>	<p>Required documents are defined, available and up to date. Not all procedures need to be documented, but they must be understood and consistent between key personnel.</p>
3.1.3	<p>The management system shall identify the personnel responsible for implementing procedures.</p> <p>Means of verification: Documents, records and interviews indicate that this requirement is met.</p>	<p>People should be aware of their roles and responsibilities.</p>
3.1.4	<p>Qualifications and training requirements for all personnel shall be documented and implemented to ensure that all operations are conducted in a correct manner.</p> <p>Means of verification: Documents, records, training plans and interviews indicate that this requirement is met.</p>	<p>Training should be adequate to ensure the management system can operate to meet its goals. Records should be kept.</p>
3.1.5	<p>Records pertaining to this standard shall be kept for at least a period of 5 years.</p> <p>Means of verification: Records indicate that this requirement is met.</p>	<p>Records required to demonstrate compliance with all aspects of this standard are kept, and planned to be kept, for 5 years. There should be evidence of the capacity to keep records.</p>
3.2	<p>Criterion: A management review system makes appropriate improvements.</p>	
3.2.1	<p>A management review system is in place to examine progress in implementing the SBE and to make appropriate improvements in the program.</p> <p>Means of verification: Documents and records indicate that this requirement is met.</p>	
3.2.2	<p>Relevant personnel are informed and kept up to date of any changes.</p>	

	Means of verification: Documents, records, interviews indicate that this requirement is met.	
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