



Standards Development Process

Standards Development Process: Standards 1 and 2 Revision Draft v0

Sustainable Biomass Program
sbp-cert.org



Revision Draft v0

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Document history

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Foreword

To support the Working Groups in the development of Revision Draft v1 for Standards 1 to 4, the Secretariat has developed a Revision Draft v0 of those standards.

Revision Draft v0 has taken the current standards and marked them up with track changes, comments and highlights drawing attention to issues for consideration. The following elements have fed into the development of Revision Draft v0:

- Collation of Standards 1 and 2 into one document;
- General comments from other certification systems and SBP stakeholders;
- Gap analysis of the standards;
- Feedback from stakeholders on key elements of current standards requiring revision; and
- Identification of potential new content.

This document relates to Standards 1 and 2. Other relevant documents for consideration by the Working Groups include:

- Public Summary;
- Terms of Reference;
- Working Groups Terms of Reference;
- Document Development Procedure;
- Current SBP standards;
- Normative Interpretations;
- Gap Analysis;
- Stakeholder Survey Results;
- Sustainability Certification Landscape;
- Overview of Definitions of Biomass Sustainability Within Key Markets; and
- Draft Theory of Change.

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Background

The Sustainable Biomass Program (SBP; formerly Sustainable Biomass Partnership) was formed in 2013 by European utilities that are using biomass, mostly in the form of wood pellets or chips, in large thermal generating plants. Biomass-fired power and heat generation is seen as an important technology for achieving the EU's 2020 renewable energy targets and EU member states are adopting their own national approaches to ensuring that the biomass used is legally and sustainably sourced.

SBP's objective is to develop the tools necessary to demonstrate that, as a minimum, solid biomass used for energy production meets these national requirements. The SBP Framework is designed as a clear statement of principles, standards and processes necessary to demonstrate such compliance. Wherever possible, the Framework takes into account and builds on existing regulatory mechanisms and on voluntary certification standards already applied to other forest product streams or to other biomass sources.

The SBP Framework provides a means to collect information and data describing the nature of the feedstock as well as data to be employed in the regulatory calculations of greenhouse gas (GHG) savings from its use. It also provides a means to demonstrate that risks to forest ecosystems and carbon stocks are managed and that forests' carbon sequestration capability is maintained.

Collectively, the SBP Standards represent a certification framework, or scheme, against which organisations can be assessed for compliance by independent third-party Certification Bodies (CBs). An organisation that satisfactorily demonstrates compliance receives a certificate and is entitled to make SBP claims in relation to its biomass.

The SBP Framework is made freely available for use by all supply chain actors irrespective of whether or not they are members of SBP.

This Draft Version 0 of Standard 1 and 2 was created using the following resources:

- SBP Framework Standard 1: Feedstock Compliance Standard Version 1.0 (26 March 2015)
- SBP Framework Standard 2: Verification of SBP-compliant Feedstock Version 1.0 (26 March 2015)
- Instruction Note 2B: Supply Base Evaluation Stakeholder Consultation – Requirements for Biomass Producers
- Instruction Note 2C: Supply Base Report – Requirements for Biomass Producers
- Normative Interpretations, Version 06/December 2019 (27 November 2019)
- SBP Guidance Document: Assessment of risk, means of verification and mitigation measures in the south east US Version 1.0 (November 2018)
- SBP Guidance Document: Meeting SBP criteria in relation to protecting exceptional conservation values in the southern US Version 1.0 (March 2018)

In addition, a gap analysis was conducted against the FSC-STD-40-005 v3.1. Content that was identified as missing from the existing SBP normative documents and deemed beneficial was used to inform the updates included in this Version 0.0.

Some components of the Principles, Criteria, and Indicators from the SBP Standard 2, Version 1.0 were moved to become normative requirements (e.g. Indicator 1.1.1 became clause 3.1 of this Draft Version 0.0).

This Draft Version 0.0 has not taken into account any comments from SBP stakeholders, as no stakeholder consultation was performed prior to the development of this Draft.



Scope

This document sets out the Supply Base requirements to be met by Biomass Producers (BPs). The requirements are applicable to feedstock that BP's process and convert into biomass, including feedstock used as fuel for the drying process as part of the production of biomass. Lignin and other wood derivatives of a non-fiber nature are not exempt from the requirements of this standard.

Biomass that contains more than 3% (by weight) non-woody components is not eligible to carry an SBP claim. Non-woody components up to the 3% threshold are exempt from the requirements of this standard.

Feedstock shall not be sourced from short rotation plantations greater than 1000ha in size that are fully dedicated to the production of biomass and that were established after 1 January 2015.

This document sets out how Biomass Producers (BPs) shall verify feedstock inputs against the SBP requirements, including those specified in Standard 1, the Feedstock Compliance Standard.

Determination of Origin

1.1 For all feedstock used in the production of SBP-compliant and SBP-controlled biomass, the BP's purchase and procurement documents and records, as well as its access to information on its supply chains shall include:

1.1.1 The name of each supplier of SBP-compliant and SBP-controlled primary feedstock, then sub-categorizing feedstock by the following components (in sequential order):

- a. the SBP-compliant or SBP-controlled feedstock system claim (where one exists)
- b. as either hardwood or softwood
- c. the species (scientific name) where known
- d. the type of primary feedstock:
 - i. Roundwood.
 - ii. In-field chips.
 - iii. Other (includes salvage trees, end of life trees, forest residues, and sanitation and/or fire prevention cuts).
- e. the amount, by weight or volume
- f. the place(s) of harvesting

Note: where the precise parcel, tract or forest management unit (FMU) is known, then the BP may include that information, along with the certification information (where it exists and is known).

- g. the forest type (e.g. natural forest, plantation) or habitat type
- h. the harvest type (e.g. thinning, clearcut, etc.) if known

E.g. Supplier A: softwood (Pinus elliotti) roundwood; 10,000lbs; South Carolina, pine plantation, clear-cut

E.g.: Supplier B: FSC 100% hardwood (Betula pendula) roundwood; Latvia; 8,000MT; Allgood Forest (FSC-FM-987654), natural forest, selective harvest.

1.1.2 The name of each supplier of SBP-compliant and SBP-controlled sawmill residues (secondary and tertiary feedstock), along with the following components (in sequential order):

- the SBP-compliant or SBP-controlled feedstock system claim (where one exists)
- as either hardwood or softwood
- the species (scientific name) where known
- the feedstock tier:

- Secondary feedstock.
- Tertiary feedstock.
- the amount, by weight or volume
- place(s) of harvesting

Note: where the precise parcel, tract or forest management unit (FMU) is known, then the BP may include that information, along with the certification information (where it exists and is known)

- Seventh, the forest type (e.g. natural forest, plantation) or habitat type if known
- Eight, the harvest type (e.g. thinning, clearcut, etc....) if known

Ex: Supplier C: FSC CW hardwood (Betula pendula) secondary feedstock; 1.2tons; Latvia

Note: if a supplier of secondary and tertiary feedstock is not the processor responsible for the generation of said feedstock, then the BP shall also record the name(s) of the processor(s) responsible for the generation of said feedstock, where this information can be demonstrated through documentation.

Supply Base

1.2 The BP shall map¹ the geographical boundaries of its SB.

The BP's records and documents relating to its suppliers and supply chains must objectively demonstrate the place of harvesting of all feedstock used in the production of SBP-compliant (from 2.1.1.f) and SBP-controlled (from 2.1.1.2.f) biomass such that the BP can use that information to map the geographical boundaries of the Supply Base.

Note: Where a BP excises geographical areas from its SB, then the BP shall ensure that its SB mapping clearly identifies these 'holes' in the SB, and shall implement exclusion protocols for any feedstock that might originate from those excised areas (see Section 4.7).

1.3 The SB may never be larger than a country, and may be a smaller sub-national geographic area or administrative division, e.g. region, province, state, county.

Note: Where a BP is sourcing from more than one country, then the BP shall have at least one SB for each country.

Note: In recognition of the fact that the location of feedstock extraction may change from year to year, the BP may define the SB such that it will include future harvesting areas.

3.3. The BP shall identify and map the geographical boundaries of all forests and/or other areas with high conservation values² and/or features and/or areas³ containing species of outstanding or exceptional value that exist within their Supply Base⁴.

3.4. The BP shall not include in its Supply Base (and thus shall not source as feedstock material that originates from) natural/primary forests that have been converted to production plantation forests (see 3.1 'Note' above, and Section 4.7).

3.5. The BP shall define its SB using the current version of SBP's Supply Base Report template (see Section 6).

¹ See Appendix 1: Guidance on Mapping

² See Appendix 2: Definitions of and Resources for Identifying Exceptional Forests and Conservation Values

³ The terms 'forests', 'features' and 'areas' all refers to locations that are identifiable spatially.

⁴ See Appendix 2: Definitions of and Resources for Identifying Exceptional Forests and Conservation Values

Supply Base Evaluation (SBE)

- 1.4 Where a BP is sourcing SBP-controlled feedstock and/or other feedstock and wishes to use it in the production of SBP-compliant biomass, then the BP shall first implement a Supply Base Evaluation to upgrade (reclassify) the feedstock to ‘SBE-verified feedstock’.

Note: Where there are SBP-approved compliant feedstock partial claims, e.g. FSC 70%, then only the compliant portion of the feedstock may count towards SBP compliant biomass. The remaining portion (30%) is classified as SBP controlled biomass and may be subject to an SBE at the BP’s discretion.

- 4.1.1. The BP shall reclassify feedstock to ‘SBE-verified feedstock’ only where the initial or final risk rating for that feedstock is ‘low risk’ for all criteria.
- 4.1.2. The BP’s SBE must be deemed to be conforming by an accredited CAB prior to the BP being able to reclassify feedstock as SBE-verified and use it in the production of SBP-compliant biomass

- 1.5 The following material is exempt from assessment by a Supply Base Evaluation:

- SBP-compliant feedstock;
- SBP-controlled feedstock that will be used to produce SBP-controlled biomass;
- Other feedstock that has been verified by the BP’s SBP-approved controlled feedstock system to be SBP-controlled and will be used to produce SBP-controlled biomass.

- 1.6 The BP is responsible for implementing and ensuring conformance with all components of the SBE. A BP may implement the SBE using in-house resources entirely, or a BP may outsource part or all of the components out to another organization, or 2 or more BP’s may collaborate to share information and/or efforts.

- 1.7 Risk Assessment (RA): Initial Risk Rating (IRR)

1.7.1 The BP shall evaluate feedstock against the indicators contained in SBP Standard 1 (Appendix 5?) in order to determine an initial risk rating of either ‘Specified Risk’ or ‘Low Risk’ risk for each indicator.

1.7.2 The IRR shall be based on adequate documentation and evidence:

- a. credible documented information and evidence that describes the risk level in the absence of (i.e. prior to or independent of) the BP’s activities and their effects, including the risk of mixing or substitution with ineligible feedstock in the supply chain, and;

Note: credible information and evidence includes regulatory requirements and data/statistics on the enforcement of/compliance with those requirements. The

Transparency International corruption perception index <http://www.transparency.org/> is one important source of information.

Note: the absence of credible documented information and/or evidence to support a rating of 'Low Risk' for an indicator shall result in an IRR of 'Specified Risk'. Accordingly, BP's may not rely solely on comments received via stakeholder consultation in order to conclude Low Risk.

- b. the determination of risk for the corresponding controlled wood category in the relevant FSC Controlled Wood National Risk Assessment(s).
- 1.7.3 At the conclusion of the RA, only that feedstock with adequate documentation and evidence to justify any 'Low Risk' rating for all indicators shall be classified as SBE-verified.
- 1.7.4 Where the IRR for an indicator is Specified Risk, the BP shall provide a clear description of the nature of the risk, including its source or cause.
- 1.7.5 In cases where one or more indicator is rated as Specified Risk, the BP shall either
- a. implement mitigation measures that are sufficient to change the rating to Low Risk (see 4.5), or;
 - b. implement an exclusion protocol within its feedstock procurement operations (see 4.7).

Note: where feedstock is eligible to carry a claim of SBP-controlled, then that feedstock is eligible for use in generating biomass that will carry the SBP-controlled claim.

1.8 Mitigation Measures⁵

- 1.8.1 Mitigation measures shall be documented, with documentation including a description of the intended outcome, which shall be directly related to the risk description from 4.4.
- 1.8.2 The BP shall implement all mandatory mitigation measures prescribed in the relevant Regional Risk Assessment (RRA), except where the BP has identified and gained approval for the use of alternative mitigation measures according to the following protocol:
- a. First, the BP can demonstrate--via the pilot implementation specified in 4.5.6--to their CAB that the mandatory mitigation measure is inadequate to mitigate the identified risk and/or their alternative mitigation measures are more effective at mitigating the identified risk.
 - b. The CAB approves the alternative control measures.
 - c. After approval by the CAB, the BP shall provide a description of the alternative mitigation measure, including the reason for its selection and use, to the body responsible for development and management of the relevant RRA.
- 1.8.3 Examples of non-mandatory or alternative mitigation measures include but are not limited to:

⁵ Examples of mitigation measures and guidance for developing them are contained in Appendix 6.

- a. indicators and verifiers from SBP-approved Forest Management Scheme;
- b. field verification at the supply unit level or supplier's site;

NOTE: the frequency and scope of field verification will depend on the risk identified by the BP.

- c. supply chain audits;
- d. document verification;
- e. stakeholder consultation⁶
- f. expert engagement⁷;

NOTE: The BP may also use publicly available reference material developed by experts to justify the adequacy of control measures.

- g. tests to confirm species and/or place of harvesting (origin)
- h. legally binding agreements with suppliers and sub-suppliers (see Box 1)
- i. training and capacity building of suppliers and sub-suppliers.

- 1.8.4 BP's may employ different mitigation measures for different contexts, including different types of risk. However, mitigation measures shall be implemented at the appropriate place or level in the supply chain (i.e. at the place of harvesting, or to the supplier/supply chain actor) and recorded
- 1.8.5 It is recommended that mitigation measures follow the SMART concept as outlined in the FSC Controlled Wood Standard 40-005, Annex E, Clause 5.
- 1.8.6 Prior to full implementation of a mitigation measure, the BP shall conduct a pilot implementation in order to measure and evaluate the effectiveness of the mitigation measure with respect to the described intended outcome (see 4.5.1). The BP shall document and provide evidence of the effectiveness of the mitigation measure, with evidence/data relating directly to the description of the intended outcome from 4.5.1 and the risk description from 4.4.4.

Note: this does not apply where a BP is implementing mandatory mitigation measures prescribed in the relevant RRA. Where a BP implements an alternative mitigation measure as per 4.5.2, then the BP shall conduct a pilot implementation in order to meet the 'demonstration' requirement(s) of 4.5.2.a.

⁶ where stakeholder consultation is utilized as a mitigation measure, then the BP shall follow the requirements specified in Appendix 3.

⁷ Experts used shall meet the minimum requirements provided in Appendix 4.

Note: evidence includes but is not limited to records, documents, maps, site visits, interviews, etc.

- 1.8.7 Where the pilot implementation does not demonstrate that the mitigation measure is effective in managing risk, then the indicator cannot be rated as low risk, and the BP shall either:
 - a. improve the mitigation measure and repeat 4.5.5, or
 - b. implement a different mitigation measure and repeat 4.5.5, or
 - c. implement an exclusion protocol as per 4.7.
- 1.8.8 Where the pilot implementation in 4.5.6 demonstrates that the mitigation measure is effective in managing risk, then the BP may implement the mitigation measure at full scale.

1.9 Risk Assessment: Final Risk Rating (FRR)

- 1.9.1 Where the BP's IRR concludes a rating of 'Low Risk' for any indicator, then the BP does not have to supply a FRR rating (i.e. the IRR rating is the FRR rating).
- 1.9.2 The BP shall provide a FRR for all indicators with an initial risk rating of 'Specified Risk'.
- 1.9.3 The BP shall assign a FRR of 'Low Risk' risk for an indicator with an initial risk rating of 'Specified Risk' only where the BP has implemented mitigation measures and has documentation and evidence to demonstrate their effectiveness as per 4.5.
- 1.9.4 Where the BP's FRR concludes a rating of 'Specified Risk' for any indicator, then the BP shall provide a description of their exclusion protocol for all affected feedstock as per 4.7.

Note: where the BP's IRR concludes a rating of 'Specified Risk' for any indicator and the BP does not implement mitigation measures for that indicator, then the IRR rating is the FRR rating.

1.10 Exclusion Protocol

- 1.10.1 Where the BP's FRR concludes a rating of 'Specified Risk' for any indicator, then the BP shall define and document an exclusion protocol and implement it at the appropriate place or level in the supply chain.
- 1.10.2 The measures in the BP's exclusion protocol shall ensure that the BP ceases the sourcing of 'Specified Risk' feedstock.
- 1.10.3 Where the exclusion has a geographic or other mappable basis, then the BP shall ensure that those areas are excised from its mapped Supply Base (see 3.1).
- 1.10.4 Examples of exclusion protocols include but are not limited to:

- a. field verification at the supply unit level or supplier's site;
 - b. supply chain audits;
 - c. stakeholder consultation⁸;
- Note: BP's may not rely solely on stakeholder consultation as an exclusion measure; stakeholder consultation shall be used only in addition to one of the other protocols.*
- d. tests to confirm species and/or place of harvesting (origin);
 - e. legally binding agreements with suppliers and sub-suppliers (see Box 1);

⁸ where stakeholder consultation is utilized as an exclusion protocol, then the BP shall follow the requirements specified in Appendix 3.

- f. training and capacity building of suppliers and sub-suppliers;
- g. exclusion of suppliers.

Where the BP's own feedstock procurement activities (including the use of certain suppliers) adversely affect the initial rating of Low Risk for any criteria (i.e. demonstrably raise the rating from Low Risk to Specified Risk), then the BP shall cease engaging in those procurement activities and include those procurement activities in its exclusion protocol; this may also require the BP to stop sourcing the feedstock in question.

1.11 Monitoring Plans for Mitigation Measures and Exclusion Protocols

- 1.11.1 The BP shall implement a plan to monitor the effectiveness of the mitigation measures, at least annually (i.e. every 12 months) where there are no changes to the Supply Base see 4.9.4 – 4.9.7 and 4.10. The effectiveness of the mitigation measures shall be documented, with evidence/data relating directly to the description of the intended outcome from 4.5.1 and the risk description from 4.4.4.
- 1.11.2 Evidence of the effectiveness of mitigation measures includes but is not limited to stakeholder consultation⁹, field verification, document verification, supply chain audits, and tests to confirm species and/or place of harvesting.
- 1.11.3 Where the monitoring results of full scale implementation do not demonstrate that the mitigation measure is effective in managing risk, then the BP cannot continue to rate the indicator as low risk, and the BP shall either:
 - a. improve the mitigation measure and repeat the process that begins with 4.5.4, or
 - b. implement a different mitigation measure and repeat the process that begins with 4.5.4, or
 - c. implement an exclusion protocol as per 4.7.
- 1.11.4 The BP shall implement a plan to monitor the effectiveness of exclusion protocols, at least semi-annually (i.e. every 6 months) where there are no changes to the Supply Base—see 4.9.4 – 4.9.7 and 4.10. The effectiveness of the exclusion protocol shall be documented, and shall contain all relevant evidence/data that demonstrates conformance with 4.7.3.

Note: the minimum monitoring cadence for stakeholder consultation is annually, i.e. BP's are not required to contact stakeholders or repeat stakeholder consultations on a semi-annual basis, but may elect to do so at their discretion.

⁹ where stakeholder consultation is utilized in a monitoring plan, then the BP shall follow the requirements specified in Appendix 3.

Box 1: Using Suppliers to Implement and/or Monitor Mitigation Measures and/or Exclusion Protocols

An increasingly common situation involves a BP sourcing uncertified secondary and/or tertiary feedstock where specified risks have been identified in the SB (or sub-scope), and the BP requires the supplier (e.g. sawmill, flooring mill) to implement mitigation measures or an exclusion protocol. In these cases, the supplier is considered to also be an outsourcer for the BP's management system (Section 8). As such, prior to taking feedstock from the supplier, the BP shall have a legally-enforceable agreement with the supplier that:

- addresses and documents the information specified in 4.4.4;
- addresses and documents the supplier's responsibilities for implementing the requirements in Section 4.5, and/or Section 4.7, as well as any other applicable requirements in this standard;
- describes the sanctions that shall be implemented where the sawmill does not implement the specified requirements, including enabling the BP to cease taking feedstock;
- requires the supplier to provide all requested information to the BP, its CAB, and/or SBP's accreditation body;
- authorizes the BP, its CAB, and/or SBP's accreditation body to access the supplier's sites, documents, and procedures in order to audit them. *(Note: Auditing may require evaluation of the supplier's suppliers).*

Where a BP uses suppliers as a part of its management system in order to implement and/or monitor mitigation measures and/or exclusion protocols, then the BP shall audit 100% of those suppliers on the specified cadence.

1.12 Frequency of SBE, and Changes to the SBE

- 1.12.1 BP's shall implement the full requirements for SBE's with every Main Evaluation and reimplement the full requirements with every Re-Evaluation audit.
- 1.12.2 The maximum interval between undertaking the full requirements of an SBE shall not exceed 5 years.
- 1.12.3 The BP shall implement a review of its SBE at least annually and whenever changes occur that are likely to affect its relevance, effectiveness, or adequacy (see 4.9.4 – 4.9.5) to ensure that all components of its SBE remain accurate and that it is being implemented correctly. Review of the SBE includes at minimum a review of any changes to the IRR (Section 3.4), a review of the BP's mitigation measure (Section 4.5), a review of any changes to the FRR (Section 4.6), and a review of any exclusion measures (Section 4.7).
- 1.12.4 The BP shall enforce its suppliers to notify it of any changes that may affect the SBE's relevance, effectiveness, or adequacy (e.g. changes that effect a risk rating or the mitigation of risk, such as changes in species or place of harvesting, or changes to supply chain).
- 1.12.5 Where any changes occur that are likely to affect the SBE's relevance, effectiveness, or adequacy, the BP shall partially or fully reimplement any or all parts of the SBE immediately (e.g. where new or updated information changes the risk rating for an indicator; where an RRA is updated or implemented; where new mitigation measures are developed; changes to the BP's monitoring plan(s); substantial changes to the results of the monitoring plan(s); any subsequent changes to mitigation measures where the BP expands its SB and/or brings in new suppliers and/or wishes to begin sourcing new types of feedstock, etc.).
- 1.12.6 Once the BP determines that changes to or reimplementation (either partial or full) of its SBE are / is warranted, then the BP shall provide notice of change, including a detailed

description of all changes, to its CAB, as well as to all affected and/or interested stakeholders.

1.12.7 The BP may not use feedstock that is covered by any changes or updates to their SBE to generate biomass without first gaining approval from their CAB.

1.13 Changes to Supply Base

1.13.1 The BP shall enforce its suppliers to notify it of any changes that may affect the defined supply base and or sub-scopes, and shall also ensure that its methodology for collecting and analyzing information from suppliers / supply chains is sufficient such that any changes to feedstock that will affect the Supply Base and/or defined sub-scopes (e.g. expansion of geographic area) are identified immediately and can be defined and described in accordance with the requirements in Section 3 and, where applicable, Section 5.

1.13.2 Once the BP determines that its SB has changed, then the BP shall provide notice of change, including a detailed description of all change, to its CAB.

1.13.3 The BP may not use feedstock that is covered by any expansion or redefining of the SB and/or sub-scopes to generate biomass without first gaining approval from their CAB.

Sub-scopes

1.14 A BP may divide the Supply Base into 2 or more sub-scopes.

1.15 Where a BP defines sub-scopes, the BP shall use at least one of the following criteria as the basis for differentiation between sub-scopes:

- Different Supplier(s);
- SBP-compliant or SBP-controlled feedstock system claim;
- Feedstock subject to a Supply Base Evaluation vs. feedstock that is exempt from a Supply Base Evaluation;
- Risk rating by criteria (i.e. where a BP implements a Supply Base Evaluation, they may sub-divide the SB into sub-scopes in order to conduct separate Risk Assessments and, as necessary, implement Mitigation Measures independently and more effectively);
- hardwood vs softwood;
- Feedstock tier (primary, secondary, tertiary);
- Place of harvesting;
- Forest type (e.g. natural forest, plantation, HCVF) or habitat type;
- Forest size;
- Harvest type (e.g. thinning, clearcut, etc.);
- Other geographic or ecological attribute or operational factor.

1.16 Where a BP has divided the SB into sub-scopes, and the BP subjects one or more sub-scopes to an SBE, then the SBE shall also be sub-divided into sub-scopes using the same criteria, and the BP shall apply the requirements in Section 3 to each sub-scope.

1.16.1 The BP shall conduct a separate RA as per Section 4.4 for each SBE sub-scope, and shall assign an IRR (as per 4.4.2) for each indicator RA.

The BP may apply the same evidence across multiple sub-scope RA's and may conclude that identical indicators in multiple RA's all have the same risk rating. However, even where the BP applies the same evidence, a BP's initial risk rating for the same indicator may also differ across sub-scope RA's.

Where specified risk is indicated for the same indicator for multiple RA's then the BP may:

- a. implement a mitigation measure (i.e. the requirements in Section 4.5) separately, on an individualized basis for the same indicator across multiple SBE's/RA's, or;
- b. they may implement one mitigation measure for the same indicator across multiple RA's.

1.17 The BP shall describe the methodology and rationale for defining the sub-scopes, and for any subsequent changes to the number or type/definitions of sub-scopes.

Sourcing SBP Controlled Feedstock

1.18 BP's have 2 options for sourcing SBP controlled feedstock:

6.1.1. They can procure from their suppliers feedstock that carries a claim from one of the SBP-approved controlled feedstock systems, provided that the BP is also certified to the corresponding SBP-approved Chain of Custody (CoC) System (e.g. BP's purchasing material with an FSC Controlled Wood claim from their suppliers must be certified to the FSC Chain of Custody standard).

6.1.2. Second, BP's who are certified to one of the 4 approved controlled feedstock systems may source uncertified feedstock in accordance with the scope of their own SBP-approved controlled feedstock system certification (e.g. a BP certified to the SFI Fiber Sourcing standard may attach the Fiber Sourcing claim to non-certified feedstock that they source in conformance with the Fiber Sourcing standard).

Supply Base Report (SBR)

- 1.19 The BP shall use the latest version of the Supply Base Report template to document all of the information related to their Supply Base and, where applicable, their Supply Base Evaluation(s).
- 1.20 The BP shall review the information that it provides in its SBR at least annually, and shall ensure that the information is accurate and complete prior to each audit.
- 1.21 The SBR shall be signed off by the BP's senior management in all cases.
- 1.22 The BP shall provide an up-to-date SBR to its CAB prior to each audit.
- 1.23 The SBR shall be made available (1) in English and (2) at least one official language of the country in which the BP is located.

Quality Management System

- 1.24 The BP shall implement a management and monitoring system appropriate to the type, range and volume of work performed, and capable of ensuring conformity with the all applicable requirements of this standard, together with a process of review and feedback into planning¹⁰.
- 1.25 The BP shall appoint a management representative to be responsible for overseeing the BP's management system.
- 1.26 The BP's management system shall include and maintain up-to-date documented procedures covering all applicable requirements of this standard, including:
- 1.26.1 Procedures that govern all operating and procurement processes.
- 1.26.2 Procedures for determining the competences required by personnel responsible for implementing the management system.
- Note: The BP shall ensure that the personnel / organization undertaking a SBE have / has the necessary knowledge, skills, and experience including:*
- Knowledge of ecological and social values associated with the SB;
 - Knowledge of applicable laws and regulations associated with the SB;
 - Knowledge of operation of suppliers associated with the SB, including management systems and products;
 - Knowledge of the local forest resources associated with the SB;
 - Language skills appropriate to all stakeholders associated with the SB;
 - Note-taking and report-writing skills ;
 - Interviewing skills.
- 1.26.3 Procedures for identifying / selecting / appointing the personnel responsible for implementing the management system and procedures and documenting evidence and recordkeeping.
- 1.26.4 Training procedures for the personnel responsible for implementing the applicable requirements of this standard.
- 1.26.5 Procedures for determining how the responsible personnel's competencies are evaluated on an ongoing basis.
- 1.27 The management system shall identify the personnel responsible for implementing systems and procedures and documenting evidence and recordkeeping (in accordance with the 8.3.3) and ensure that they are properly trained (in accordance with 8.3.4) and evaluated on an ongoing basis (in accordance with 8.3.5).
- 1.28 All relevant staff shall demonstrate:
- 1.28.1 An understanding of the Supply Base

¹⁰ This requirement is taken from CPET's "Category B Evidence" Criteria S6b. www.cpet.org.uk.

- 1.28.2 Awareness of and effective training on the BP's procedures relevant to their responsibilities, and;
- 1.28.3 competence in implementing the requirements of this standard that are relevant to their responsibilities.

1.29 Relevant personnel shall be informed promptly of any changes to management systems.

1.30 The BP shall maintain records and documentation demonstrating its conformity with this standard, shall retain all relevant records for a minimum of five (5) years, and shall ensure that they are readily available to the BP's CAB.

1.31 The BP shall implement a management review system, which has the authority to make appropriate improvements to the management system.

1.32 Comments or complaints

- 1.32.1 The BP shall have a documented procedure to handle all comments and complaints. It is recommended that BP's complaints procedure include the components specified in the FSC Controlled Wood Standard 40-005, Section 7.
- 1.32.2 The BP shall ensure that all comments or complaints regarding any aspect of its SB, SBE, or SBR are documented and promptly investigated, with remedial action being taken where appropriate.
- 1.32.3 Where the BP receives a complaint regarding any aspect of the SB, SBE, or SBR, the BP shall inform their CAB of the complaint within 5 days of the BP's receipt of the complaint.

Appendix 1: Mapping (from SBP GUI doc for SE-USA, 3.2)

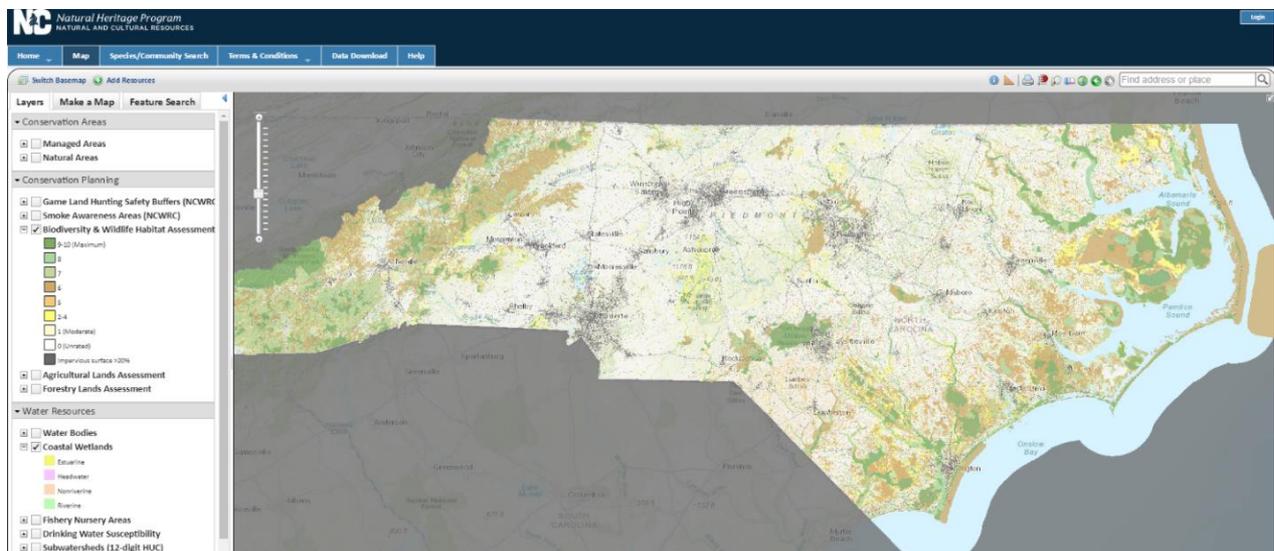
Mapping can be very technical and expensive. Fortunately, technology is bringing the costs down and support resources, such as various State Natural Heritage Programs, are making online mapping tools available. Other than using a traditional paper map, there are broadly two approaches that a BP can take:

1 Utilize online mapping tools

This opportunity is more available in some areas than others. Where available it is essentially free, but still requires some training or a learning curve. It also requires the user to specify the inputs that it desires.

2 Purchase its own GIS software

This option is more expensive and requires some internal company expertise, but it also can provide additional value in operational areas like logistics and planning. Some State Heritage Programs make their spatial data available digitally which can be imported into private software. Additionally, it affords the opportunity to visually layer procurement locations over the conservation data to zero-in on the most effective best practice opportunities.



Example: The North Carolina Natural Heritage Program provides a wide range of user directed options for displaying the location of exceptional resources with its online mapping tool.

Appendix 2: Definitions of and Resources for Identifying Exceptional Forests and Conservation Values

Clause 3.3 uses the phrase “forests and/or other areas with high conservation values and/or features and/or areas containing species of outstanding or exceptional value”.

Although the phrase “forests and/or other areas with high conservation values” is not defined, it refers to areas and/or locations that are mappable or otherwise identifiable spatially. This phrase is also an alternative to the phrase “features and/or areas containing species of outstanding or exceptional value”. The latter phrase is taken directly from the UK Timber Standard for Heat and Electricity (referenced in the SBP Standard as CPET). Specifically, clauses S8a and S8c are referenced.

- S8a mentions safeguards for “**rare, threatened and endangered species**”
- S8c mentions protection of “**features and species of outstanding or exceptional value**”

This standard does not include a specific definition of “features”; however, it is clear that the intent goes beyond species specifically to include other characteristics of the landscape that should be considered for outstanding or exceptional value. This would include small/remnant patches of non-forest, which are embedded in the larger forest matrix, that are special or outstanding, such as granitic outcroppings or ephemeral ponds. This could also include remnant forests of high quality, such as an intact surrounding landscape and few invasive exotic species. “Outstanding or exceptional” are also based on the notion of uniqueness and irreplaceability, that there are a limited number of places where this value can be provided so additional care for its conservation is warranted.

Actual definitions and terms are provided by two of the certification programs approved by SBP - FSC and SFI. ATFS also has a term and a definition. While indicators are for evaluating uncertified lands, certification programs provide clear insight on defining what forests and values qualify.

Table 1: Definitions of exceptional forests and conservation values under existing forest certification schemes.

Term used	Program	High level definition
High Conservation Values (HCV)	FSC	An HCV is a biological, ecological, social or cultural value of outstanding significance or critical importance. (From the HCV Resource Network’s Common Guidance document: https://www.hcvnetwork.org/resources/common-guidance-for-m-m-2015)
Forests with Exceptional Conservation Value (FECV)	SFI	Known sites of flora and fauna associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. (From SFI Standard, Section 6, guidance: http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/)
Forests of Recognized	ATFS	Globally, regionally and nationally significant large landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the

Importance (FORI)	<p>landscape level, rather than at the stand level, and are recognized for a combination of unique values, rather than a single attribute.</p> <p>(From ATFS Standard, glossary: https://www.treefarmssystem.org/stuff/contentmgr/files/2/b0872a8dc122128baacea886ebf468f1/pdf/final_standards_guidance_7.9.15_links.pdf)</p>
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These are summary definitions, but are all accompanied by more detail in the links provided in the table above. Note that the FSC and ATFS definitions both contain a reference to social and cultural values in addition to ecological and biological values.

While these definitions are not exactly the same, they have much in common:

- They address rare species and communities to be considered for protection, which include threatened or endangered animals and plants and as well as species and communities considered globally imperiled (for example, G1 and G2 under Nature Serve’s broadly accepted G-ranking system, <http://explorer.natureserve.org/granks.htm>);
- They refer to exceptional conservation values themselves as well as specific areas that may be able to be identified spatially;
- They include “features” or other aspects of the landscape that have outstanding or exceptional value; and
- Their identification and management often requires specialised expertise and support from appropriate resource professionals.

The reasons for addressing these forests separately from other forests is to apply an increased level of rigor due to their importance. Drawing a line between “special forests” and “very special forests” is somewhat arbitrary, which makes it difficult to have a single specific or “correct” definition, but the detail in the standards is intended to make this line as firm as possible for those certifying forests under these schemes so that a credible approach can be taken to identifying and applying greater rigor to these very special places. While some insist that a definition for “features and species of outstanding or exceptional value” must be precise, others are equally concerned that a precise definition increases risk through omission because of uncertainty.

BPs seeking certification under SBP are not expected to create their own definition for “features and species of outstanding or exceptional value” to reduce risk when purchasing forest fibre from uncertified lands. However, a clear understanding by the BP of all relevant existing definitions will significantly improve the development of processes that will effectively identify features and species of exceptional conservation value. SBP recommends that:

- BPs should become familiar with these existing definitions and the detail that supports them before preparing their supply base evaluation;
- BPs should also be prepared to seek out relevant expertise to assist with applying these definitions to their particular circumstances; and
- In the spirit of continuous improvement, it would be good for BPs who are already certified to revisit these definitions when renewing their certification.

Sources of information that BP's shall use in identifying and mapping include, but are not limited to:

- The High Conservation Value Network: <http://www.hcvnetwork.org/>
- IUCN: <http://www.iucnredlist.org/>
- NatureServe: <http://www.natureserve.org/>
- The Global Forestry Risk Register: <http://www.globalforestregistry.org/>
- Global Forest Watch: <https://www.globalforestwatch.org/>
- The Intact Forest Landscape: <http://intactforests.org/>
- The Nature Conservancy's Conservation Gateway: <https://www.conservationgateway.org/ConservationByGeography/Pages/Conservation-By-Geography.aspx>
- Any relevant FSC Controlled Wood Risk Assessment.

For the US and Canada, sources of information that BP's shall use also include but are not limited to (from SBP GUI doc for SE-USA, Table 1):

- SFI Section 6: Guidance to SFI 2015-2019 Standard, January 6, 2014 Forests with Exceptional Conservation Value: <http://www.sfiprogram.org/files/pdf/draft-sfi-2015-2019-standard-section-6/>
- NatureServe Explorer: <http://explorer.natureserve.org/>
- NatureServe Element Occurrences Data: <http://services.natureserve.org/ipt/resource.do?r=occurrences>
- U.S. Fish & Wildlife Service – Endangered Species: <http://www.fws.gov/endangered>
- U.S. State Wildlife Agencies: <http://www.fishwildlife.org/index.php?section=social-media>
- U.S. State Forest Action Plans: <http://stateforesters.org/regional-state>
- Landscape America: <http://www.landscape.org/>
- USGS Gap Analysis Program: <https://gapanalysis.usgs.gov/viewers/>

Appendix 3: Minimum requirements for stakeholder consultation (Adapted from FSC-STD-40-005 v3.1)

1. Where a consultation process is conducted, it shall be implemented adequate to the size, scale, and intensity of the BP's operation:
 - 1.1 **Stakeholder identification:** The BP shall identify affected and interested stakeholders in relation to the forest management activities of their suppliers and the identified risk, including the stakeholder groups provided below.
 - 1.1.1 Economic interests
 - a. Forest owners and/or managers of large, medium and small forests, and high, medium, and low-intensity managed forests;
 - b. Forest contractors (including loggers);
 - c. Representatives of forest workers and forest industries;
 - 1.1.2 Social interests
 - a. NGOs involved or with an interest in social aspects of forest management and other related operations;
 - b. Forest workers;
 - c. International, national and local trade/labour unions;
 - d. Representatives of local communities involved or with an interest in forest management;
 - e. Representatives of Indigenous Peoples and/or traditional peoples (if present and/or holding rights).
 - f. Representatives of recreational interests.
 - 1.1.3 Environmental interests
 - a. NGOs involved or with an interest in the environmental aspects of forest management. Consultation should target the areas of interest and expertise in biological diversity and water and soil;
 - b. Local communities and Indigenous Peoples' representatives (HCVs 5 and 6).
 - 1.1.4. National and state forest agencies
 - 1.1.5. Experts with expertise in the Principles and Criteria categories
 - 1.1.6. Research institutions and universities
 - 1.1.7. RRA working groups in the Supply Base area(s)
 - 1.2 **Stakeholder notification:** Identified stakeholders shall be invited to participate in the consultation at least 30 days weeks prior to the management activity that is the subject of the consultation. The BP shall employ effective means to inform stakeholders, using culturally appropriate consultation techniques, and the language spoken by the recipients.

NOTE: Techniques may include: face to face meetings, personal contacts by phone, email, or letter, notice published in the national and/or local press and on relevant websites, local radio announcements, or local customary notice boards.
 - 1.3 **Stakeholder consultation:** All identified stakeholders shall be provided access to information that is relevant to the consulted issue at least 30 days prior to the management activity (i.e. determining the Initial Risk Rating, Final Risk Rating, implementing Exclusion Protocols as per 3.7, or completing the required monitoring plan as per 3.8) that is subject of the consultation,

and shall allow for a consultation period of at least 30 days. The BP shall only exclude information that is considered confidential¹¹.

Example of Stakeholder Consultation as a Mitigation Measure, and Clarification on applicability of Clause 4.5.6: a BP intends to use stakeholder consultation as a mitigation measure. As per 4.5.6, the BP must first conduct a pilot implementation. As per 1.2 within this Appendix, stakeholders must be notified at least 30 days before implementing the management activity (in this case, assessing the results of the stakeholder consultation in order to come to a Final Risk Rating.). As per 3.3, the stakeholder consultation period must last at least 30 days. So in this case, if the BP sends out the notification to stakeholders and provides them with access to relevant information on March 1, then the consultation/pilot implementation will need to run for 30 days (until April 1). At that point, the BP may use stakeholder comments and feedback, along with any evidence provided by stakeholders, to come to a Final Risk Rating. Where a BP failed to identify, notify, or consult with any affected or interested stakeholders, then clause 4.5.7 would be triggered. Otherwise, BP's are not required to first implement a 'pilot' stakeholder consultation as per 4.5.6 and then follow that pilot with a full implementation; they may instead implement stakeholder consultation in full at the outset, and 4.5.6 is not applicable.

- 1.4 Stakeholders shall be asked to provide their consent to the publication of their comments.

NOTE: Examples of consultation techniques include: arrangements for individual or group meetings, structured interview by telephone, contact by mail or email with a request for written comments to a predetermined set of specific questions.

- 1.5 **Stakeholder feedback:** Within sixty (60) days after the end of the consultation period, the BP shall respond to all stakeholders who participated in the consultation process explaining how their comments and/or concerns were taken into account. The BP is not required to reach a consensus with stakeholders regarding their concerns or suggested courses of actions.
- 1.6 **Consultation records:** The BP shall maintain records of the consultation process, including a list of stakeholders consulted, copies of any correspondence and concerns and/or comments provided, and evidence that the consultation was carried out in conformance with the requirements of this standard.
2. The BP shall provide a summary of the stakeholder consultation process in the relevant SBR.
3. Stakeholder consultation may be conducted concurrently with other consultations that are required for the BP, e.g. as per FSC-STD-40-005.
4. BP's shall engage with interested stakeholders upon the stakeholder's request.

Nominated staff/Department for consultation?

¹¹ The BP shall provide justification for the confidential nature of the information to their CAB.

Appendix 4: requirements for expert qualifications

(Adapted from FSC-STD-40-005 v3.1)

1. Experts (including groups of experts) utilized by the BP in any capacity shall meet the following minimum requirements as they relate to the portion(s) of Appendix 5, Principles and Criteria for which their expertise is sought:
 - 1.1 Expert knowledge about forest management practices within the area under assessment, based on confirmed experience and/or education and/or licenses in the relevant area.
 - 1.2 Expert knowledge on legality in the forestry sector at the applicable level, based on demonstrated experience and/or education and/or licenses.

NOTE: Experts that have relevant knowledge in one area (e.g. one sub-category of law) can only support the risk assessment process and/or the development of control measures for this area of expertise (e.g. for the relevant sub-category of law).
 - 1.3 Expert knowledge on the presence and rights of Indigenous Peoples, communities and/or traditional peoples within the supply area, based on confirmed experience and/or education and/or licenses in the relevant area.
 - 1.4 Knowledge (including awareness) of existing conflicts pertaining to the rights of Indigenous Peoples, communities and traditional peoples and confirmed experience in consultation/mediation with Indigenous Peoples and traditional peoples.
 - 1.5 Expert knowledge on the presence, distribution and/or threats to environmental values within the area under assessment (with a focus on forest ecosystems) confirmed by conservation experience, and education and/or relevant licenses.

Issues to be defined in the SBR for the BP to complete

The results of the RA (risk rating for each indicator), description of MM's, list of evidence used to determine risk rating and evaluate efficacy of MM's.

For mitigation measures, the results of their monitoring shall be recorded in the SBR. Results from monitoring and any subsequent changes to mitigation measures shall be updated at least once per year in an annual update of the SBR (i.e. every 12 months).

The SBR shall be formally updated every year (i.e. every 12 months). Each annual update shall provide actual values for the previous 12 months and forecast values for the following 12 months.

Updates shall include, as a minimum, a description of any significant changes in the SB, and where appropriate mitigation measures and risk ratings.

Updates should be provided in the form of a revised report or additional pages, either published separately or added to the original SBR.

- 1.1. Justification for the selection of personnel shall be recorded and made available to the CB, and a summary presented in the public summary report.
2. their summary of the consultation process, which shall include:
 - 2.1. The area(s) and/or sub-scope(s) for which the stakeholder consultation has been conducted;
 - 2.2. A list of the stakeholders groups invited by the BP to participate in the consultation;
 - 2.3. A summary of the stakeholder comments received. Comments shall only be published with prior consent from the consulted stakeholder and not associated with stakeholder identifiable information;
 - 2.4. A description of how the BP has taken stakeholder comments into account;
 - 2.5. The BP's justification for concluding that the material sourced from these areas can be categorized as low risk, where stakeholder consultation is used as a means for determining risk level.
 - 2.6. Stakeholders representing the interests listed below, who are relevant, and according to identified risk, should be identified and notified during the consultation process. Each group specified may be represented by an unlimited number of representatives, subject to balanced consideration of the input received during the consultation. The list is not comprehensive and any other stakeholder groups relevant to the certification process shall be identified and notified.
 - 2.7. The point is that Excised areas shall not be considered as existing within the BP's SB. For example, where the Supply Base includes HCVF areas for which there are no mitigation measures to ensure a rating of low risk, the BP shall (1) excise those HCVF areas from the mapped boundaries of its SB and (2) implement exclusion protocols to ensure that no feedstock is sourced from those HCVF areas.

The re-write of this section should be accompanied by an updating of the SBR/SBE reporting form, to include:

1. Written definition of the SB, including any/all sub-scopes.
2. The IRR for each indicator (per sub-scope, where those are utilized by a BP)
3. A description of the risk, for each indicator rated 'specified risk' (4.4.4)

4. A description of the MM, if implemented (4.5.1, 4.5.2, and also 4.5.3) along with description of the pilot implementation and it's effectiveness (4.5.6 – 4.5.7) where the MM is not mandatory
 5. The FRR (4.6)
 6. A place/section to describe Exclusion protocols (4.7)
- A place to describe the monitoring program (4.8).

Appendix 5: Principles and Criteria

Principle 1. Biomass feedstock is legally sourced

~~Criterion 1.1: The Supply Base is defined.~~

Criterion 1.2: The forest owner and manager hold legal use rights to the forest (CPET¹² L1).

Criterion 1.3: There is compliance with the requirements of local, national and applicable international laws, and the laws applicable to Forest Management (CPET L2).

Criterion 1.4: All applicable royalties and taxes have been paid (CPET L3).

Criterion 1.5: There is compliance with the requirements of CITES (CPET L4).

Criterion 1.6: Harvesting does not violate traditional or civil rights.

Principle 2. Biomass feedstock is sustainably sourced

Criterion 2.1: Management of the forest ensures that features and species of outstanding or exceptional value are identified and protected (CPET S8c).

Criterion 2.2: Management of the forest ensures that ecosystem function is assessed and maintained through both the conservation/set-aside of key ecosystems or habitats in their natural state, and the maintenance of existing ecosystem functions throughout the forest (CPET S5 & 8b).

Criterion 2.3: Management of the forest ensures that productivity is maintained (CPET S6).

Criterion 2.4: Management of the forest ensures that forest ecosystem health and vitality is maintained (CPET S7).

Criterion 2.5: 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).

Criterion 2.6: 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).

Criterion 2.7: The basic labour rights of forest workers are safeguarded (CPET S11).

Criterion 2.8: Appropriate safeguards are in place to protect the health and safety of forest workers (CPET S12).

Criterion 2.9: Regional carbon stocks are maintained or increased over the medium to long term.

Criterion 2.10: Genetically modified trees are not used.

¹² UK's Central Point of Expertise of Timber (CPET) www.cpet.org.uk

2 Principles, criteria and indicators

Biomass feedstock is legally sourced (Principle 1)

Criterion 1.1: The Supply Base is defined

Reference	Indicator	Guidance
1.1.1	<p>The BP Supply Base is defined and mapped.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Geographic and other boundaries to the Supply Base are defined and justified Maps to the appropriate scale are available Key personnel demonstrate an understanding of the Supply Base 	<p>The description of the Supply Base and accompanying maps should be appropriate to its size and any variation within it. Complex supply chains may require additional definition.</p> <p>The requirement relates to feedstock included in the SBE. Certain feedstocks from outside the SB may be used in SBP certified biomass so long as they meet all requirements (see CoC Standard).</p>
1.1.2	<p>Feedstock can be traced back to the defined Supply Base.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Feedstock inputs, including species and volumes, are consistent with the defined Supply Base Transport documentation and goods in records are consistent with the defined Supply Base 	<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 can be used in SBP certified biomass. See CoC Standard for requirements.</p>
1.1.3	<p>The feedstock input profile is described and categorised by the mix of inputs.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Feedstock input records 	<p>Records of feedstock inputs should show the relative volumes of different input feedstock used. These should include identification of volumes of primary, secondary and tertiary feedstock used, and a description of the inputs, including species.</p>

Criterion 1.2: The forest owner and manager hold legal use rights to the forest (CPET L1)

Reference	Indicator	Guidance
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<p>1.2.1</p>	<p>The BP has implemented appropriate control systems and procedures to ensure that legality Legality of ownership and land use be demonstrated for the Supply Base.</p> <p>Examples of means of verification evidence:</p> <ul style="list-style-type: none"> • Existing legislation • Levels of enforcement • Documents demonstrating that the BP is a legally defined entity • Documentation showing legal ownership patterns in the region, level of enforcement, records of disputes over land tenure, etc. 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, evidence should be available that fair compensation has been made to previous owners and occupants, and that this has been accepted with free, prior and informed consent (FPIC).</p>
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Criterion 1.3: There is compliance with the requirements of local, national and applicable international laws, and the laws applicable to Forest Management (CPET L2)

Reference	Indicator	Guidance
<p>1.3.1</p>	<p>The BP has implemented appropriate control systems and procedures to ensure that feedstock Feedstock is legally harvested and supplied and is in compliance with EUTR legality requirements.</p> <p>Examples of means of verification evidence:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement • Reference to sources of information in guidance notes • Interviews with key staff show a good knowledge of relevant forestry legislation • BPs have an up-to-date forest legislation/regulations registry • BPs make use of public information on legal non-compliance, provided by regulatory authorities 	<p>Certification is not a legal compliance audit.</p> <p>There should be evidence that systems are in place to ensure forestry operations are legal.</p> <p>Applicable legislation includes that in force in the country of harvest, covering the following aspects:</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 forest management and silvicultural activities • Environmental impacts (water and soil protection) • Biodiversity conservation, (including rare, threatened and endangered species and ecosystems) • Third parties' legal rights concerning use and tenure that are affected by timber harvesting • Trade and customs, in so far as the forest sector is concerned

Reference sources include:

- UK Department of Energy and Climate Change (DECC), Timber Standard for Heat and Electricity, 2014
- Reference: Article 2 of the EU Timber Regulation (EUTR). Regulation (EU) No. 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market (OJ L 295, 12.11.2010, p.23)

Risks of non-compliance are greater in areas with high levels of corruption relating to the granting of harvesting permits and other aspects of the harvesting and wood trade.

Sources of information may include Interviews with involved stakeholders.

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
- Transparency international index: www.transparency.org

Criterion 1.4: All applicable royalties and taxes have been paid (CPET L3)

Reference	Indicator	Guidance
1.4.1	<p>The BP has implemented appropriate control systems and procedures to verify that payments for harvest rights and timber, including duties, relevant royalties and taxes related to timber harvesting, are complete and up to date.</p> <p>Examples of means of verification evidence:</p>	<ul style="list-style-type: none"> • Records of payments and correspondence with revenue authorities show payments are complete and up to date

Criterion 1.5: There is compliance with the requirements of CITES (CPET L4)

Reference	Indicator	Guidance
1.4.2	<p>The BP has implemented appropriate control systems and procedures to ensure that feedstock <u>Feedstock</u> is supplied in compliance with the requirements of CITES.</p> <p>Examples of means of verification evidence:</p> <ul style="list-style-type: none"> List of species <u>available for procurement purchased by BP</u> List of species available for procurement Records of field inspections Assessment of risk that CITES species may be mixed in with non-CITES species in the supply chain 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>Where appropriate to the operation, CITES requirements are understood at planning and operational level, and the requirements are implemented.</p> <p>Lists of species purchased by BPs should be verified as being consistent with the species available in the SB.</p> <p>It should be verified that tree species purchased by BPs are not listed in CITES or have been purchased with the appropriate permits and approvals.</p>

Criterion 1.6: Harvesting does not violate traditional or civil rights

Reference	Indicator	Guidance
1.6.1	<p>The BP has implemented appropriate control systems and procedures to ensure that feedstock <u>Feedstock</u> is not sourced from areas where there are violations of traditional or civil rights.</p> <p>Examples of means of verification evidence:</p> <ul style="list-style-type: none"> Traditional and civil rights are identified Procedures are in place to ensure rights are not violated 	<p>'Traditional rights' are rights expressed by social groups or peoples, who affirm those 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 stakeholders.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> www.globalwitness.org

Biomass feedstock is sustainably sourced (Principle 2)

Criterion 2.1: Management of the forest ensures that features and species of outstanding or exceptional value are identified and protected (CPET S8a; S8c)

Reference	Indicator	Guidance
2.1.1	<p>The BP has implemented appropriate control systems and procedures for verifying that forests and other areas with high conservation value in the Supply Base are identified and mapped.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Internet research GIS maps of HCV areas Interviews Regional, publicly available data from a credible third party The existence of a strong legal framework in the region 	<p>Sources of information include:</p> <ul style="list-style-type: none"> The High Conservation Value Network http://www.hevnetwork.org/ IUCN http://www.iucnredlist.org/ SFI Section 6: Guidance to Standard, January 6, 2014: Exceptional Conservation http://www.sfiprogram.org/f/2015-2019-standard-section-6 NatureServe http://www.natureserve.com/ The Global Forestry Risk Register http://www.globalforestryriskregister.org/
2.1.2	<p>The BP has implemented appropriate control systems and procedures to identify and address potential threats to forests and other areas with high conservation values from forest management activities <u>have been identified and addressed</u>.</p> <p>Examples of means of verification evidence:</p> <ul style="list-style-type: none"> Maps Guidance provided by BPs to 	<p>The potential impacts of management on forests and other areas with conservation values and biodiversity evaluated, and BPs should have place to verify that mitigation implemented in the field.</p> <p>Forests and other areas with high values include those habitats in and endangered plant and animal</p>
2.1.2	<ul style="list-style-type: none"> Guidance provided to suppliers/forest operators, regarding threats to the identified forests and areas with high conservation values, and verification of conformance through field inspections Regional Best Management Practices Standard Operating Procedures Codes of Practice Records of field inspections Monitoring records Interviews with staff Publicly available information on the protection of the values identified 	<p>found.</p> <p>There is communication with suppliers/forest operators, and they are provided with records of meetings, talks, workshops, etc.</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 include:</p> <ul style="list-style-type: none"> The High Conservation Value Network http://www.hcvnetwork.org/ SFI Section 6: Guidance to SFI 2015-2019 Standard, January 6, 2014

- Regional, publicly available data from credible third parties
 - Environmental Impact Statements or Environmental Risk Assessment Reports
 - The existence of a strong legal framework in the region
- Forests with Exceptional Conservation Value
<http://www.sfiprogram.org/files/pdf/draft-sfi-2015-2019-standard-section-6/>
 - NatureServe
<http://www.natureserve.org/>
 - The Global Forestry Risk Register
<http://www.globalforestregistry.org/>

2.1.3

The BP has implemented appropriate control systems and procedures for verifying that feedstock is not sourced from forests converted to production plantation forest or non-forest lands after January 2008.

Examples of means of verification:

- Historical maps and enquiries with stakeholders
- Regional, publicly available data from a credible third party
- The existence of a strong legal framework in the region

Production plantation forests are forests of exotic species that have been planted or seeded by human intervention and that are under intensive stand management, are fast growing, and subject to short rotations.

Example: Poplar, Acacia or Eucalyptus plantations

Sources of information include:

- <http://www.fao.org/docrep/007/ae347e/ae347e02.htm>
- Global Forest Watch
<http://www.globalforestwatch.org/>

Criterion 2.2: Management of the forest ensures that ecosystem function is assessed and maintained, through both the conservation/set-aside of key ecosystems or habitats in their natural state, and the maintenance of existing ecosystem functions throughout the forest (CPET S5; S5a; 8b)

Reference	Indicator	Guidance
2.2.1	<p>The BP has implemented appropriate control systems and procedures to verify that feedstock Feedstock is not sourced from forests where there is appropriate inadequate assessment of impacts, and planning, implementation and monitoring to minimise them.</p> <p>Examples of Means of Verification</p> <ul style="list-style-type: none"> • Regional Best Management Practices • Supply contracts • Assessment of potential impacts at operational level • Assessment of measures to minimise impacts • Monitoring results • Publicly available information on protecting the values identified • Level of enforcement • Regional, publicly available data from a credible third party 	<p>Potential impacts of feedstock harvesting 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 to feed monitoring results 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>Assessment planning, implementation and monitoring should be based on scientific research and, if needed, information on comparable forests types.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>

<ul style="list-style-type: none"> The existence of a strong legal framework in the region 	<p>Feedstock sourced from stump material will require specific controls to minimise impact.</p> <p>Avoidable damage to the ecosystem is prevented by application of the most suitable and available methods and techniques for logging and road construction under the prevailing conditions.</p>
<p>2.2.2</p> <p>The BP has implemented appropriate control systems and procedures for verifying that feedstock Feedstock is <u>not</u> sourced from fore where management <u>fails to</u> maintains or improves soil quality (CPET S5b)</p> <p>Examples of Means of Verification Eviden</p> <ul style="list-style-type: none"> Regional Best Management Practices Supply contracts Records of BPs' field inspections Assessment at an operational level of measures designed to minimise impacts on the values identified Soil monitoring records Interviews with staff Publicly available information on the protection of soil Level of enforcement Regional, publicly available data from a credible third party The existence of a strong legal framework in the region 	<p>Potential impacts of feedstock harvesting on soil should be identified, with mitigation measures implemented in the field as necessary. Impacts should be monitored and there should be a mechanism to feed monitoring results back into operational practice.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>
<p>2.2.3</p> <p>The BP has implemented appropriate control systems and procedures to ensure that key ecosystems and habitats are conserved or set aside in their natural state (CPET S8b).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Maps Standard Operating Procedures, Codes of Practice and monitoring records indicate that appropriate safeguards are implemented 	<p>Key ecosystems or habitats include areas with statutory designations or high conservation value. Such conservation of set aside areas need to be of sufficient size or suitably connected with other similar areas to ensure their long-term viability.</p> <p>The BP should, in its procurement policies and practices, define the areas it considers to be key ecosystems or habitats and the reasons for its decisions.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> RSB Conservation Impact Assessment Guidelines RSB-GUI-01-007-01 IUCN http://www.iucnredlist.org/

<p>2.2.4</p>	<p>The BP has implemented appropriate control systems and procedures to ensure that biodiversity is protected (CPET S5b).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Regional Best Management Practices • Supply contracts • Assessment of potential impacts at operational level and of measures to minimise impacts • Monitoring results • Publicly available information on the protection of the identified values • Level of enforcement • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>BPs should evaluate the likely impacts of management practice and feedstock harvesting on ecosystems and biodiversity, and appropriate mitigation measures should be implemented. Impacts should be monitored and there should be a mechanism by which the monitoring results are fed back into operational practice.</p> <p>Impacts include those originating in the area of operation, but which may affect areas downstream or external to the area of operation.</p>
<p>2.2.5</p>	<p>The BP has implemented appropriate control systems and procedures for verifying that the process of residue removal minimises harm to ecosystems.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Regional Best Management Practices • Supply contracts • Records of BPs' field inspections • Operational Assessment of measures designed to minimise impacts on the values identified • Monitoring records • Interviews with staff • Publicly available information on the protection of ecosystems • Level of enforcement • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>'Residue' includes treetops and branches.</p> <p>Likely impacts of residue removal should be identified, and appropriate mitigation measures should be implemented. Impacts should be monitored and there should be a mechanism to feed monitoring results back into operational practice.</p> <p>Impacts include those originating in the area of operation, but which may affect areas downstream or external to the area of operation.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>
<p>2.2.6</p>	<p>The BP has implemented appropriate control systems and procedures to verify that negative impacts on ground water, surface water and water downstream from forest management are minimised (CPET S5b).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Regional Best Management Practices • Supply contracts • Records of BPs' field inspections 	<p>This Indicator includes impacts outside the direct area of operation, such as runoff from harvesting operations, fertiliser or chemical application.</p> <p>Impacts on riparian zones are included in the evaluation of compliance with this Indicator.</p> <p>Likely impacts on water should be identified.</p>

	<ul style="list-style-type: none"> • Assessment at an operational level of measures designed to minimise impacts on the values identified • Monitoring records • Interviews with staff • Publicly available information on the protection of ground and surface water • Level of enforcement • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>Impacts include those originating in the area of operation, but which may affect areas downstream or external to the area of operation.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>
<p>2.2.7</p>	<p>The BP has implemented appropriate control systems and procedures for verifying that air quality is not adversely affected by forest management activities.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Regional Best Management Practices • Supply contracts • Records of BPs' field inspections • Assessment at an operational level of measures designed to minimise impacts on the values identified • Monitoring records • Interviews with staff • Publicly available information on the protection of air quality • Level of enforcement • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>Potential impacts on air quality should be identified.</p> <p>Impacts include those originating in the area of operation, but which affect areas downwind or external to the area of operation.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>
<p>2.2.8</p>	<p>The BP has implemented appropriate control systems and procedures for verifying that there is controlled and appropriate use of chemicals, and that Integrated pest management (IPM) is implemented wherever possible in forest management activities (CPET S5c).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement • Regional Best Management Practices • Supply contracts • Records of BPs' field inspections • Monitoring records • Interviews with staff 	<p>The requirement relates to current and ongoing use rather than historic use.</p> <p>If chemicals are used, proper equipment and training should be provided to minimise health and environmental risks.</p> <p>Chemical use should be justified, and there should be evidence that non-chemical alternatives have been considered.</p> <p>The use of class 1A and 1B pesticides, as drafted by the World Health Organisation, and of chlorinated hydrocarbons is not permitted.</p> <p>There should be evidence that the options for implementing IPM have been</p>

<ul style="list-style-type: none"> Regional, publicly available data from a credible third party The existence of a strong legal framework in the region 	<p>considered and, where appropriate, IPM is implemented.</p> <p>BPs may require suppliers and forest owners to adopt specific Best Management Practices and to be certified for certain tasks. These should be specified in purchasing or procurement policies.</p>
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<p>2.2.9 The BP has implemented appropriate control systems and procedures for verifying that methods of waste disposal minimise negative impacts on forest ecosystems (CPET S5d).</p> <p>Examples of Means of Verification:</p> <ul style="list-style-type: none"> Regional Best Management Practices Supply contracts Operational Assessment of potential impacts and of measures to minimise impact Monitoring results 	<p>Waste is defined as any substance or object that the holder discards or intends to discard, or is required to discard.</p> <p>References sources include:</p> <ul style="list-style-type: none"> 2008 Waste Framework Directive (Directive 2008/98/EC)
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Criterion 2.3: Management of the forest ensures that productivity is maintained (CPET S6; S6a; S6e)

Reference	Indicator	Guidance
<p>2.3.1</p>	<p>Analysis shows that feedstock harvesting does not exceed the long-term production capacity of the forest, avoids significant negative impacts on forest productivity and ensures long-term economic viability. Harvest levels are justified by inventory and growth data.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Harvesting records, inventory and growth data and yield calculations demonstrate that biomass feedstock harvesting rates are not having significant negative impacts on forest productivity and long-term economic viability Documentation of Operational Practice 	<p>Evaluation must cover the entire Supply Base, and where appropriate, should be based on regional markers, such as growth/drain, inventory, mortality, and age class distribution.</p>
<p>2.3.2</p>	<p>Adequate training is provided for all personnel, including employees and contractors (CPET S6d).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> Existing legislation Level of enforcement 	<p>Adequate training provision should include assessment of training needs, and the delivery of training programmes.</p> <p>Training should be periodic and secure the level of required skills, including knowledge.</p>

- Training course curricula
- Records of BPs' field inspections
- Training records
- Interviews with staff
- Training plans, training records, and records of qualifications

2.3.3

Analysis shows that feedstock harvesting and biomass production positively contribute to the local economy, including employment.

Contributions to the local economy from feedstock harvesting and biomass production should be evaluated for positive and negative impacts.

Examples of means of verification:

- Analysis of contribution to the local economy
- Description of:
 - The direct economic value that is created
 - Employment and personnel records
 - Policy, practice and the proportion of the budget spent on local suppliers
 - Procedures for appointment of local staff and their share of senior management.

These should be calculated on the basis of economic performance indicators EC1, EC6, and EC7 of Global Reporting Initiative (GRI)

Reference sources include:

- GRI (2013) G4 Sustainability Reporting Guidelines, Part 2: Implementation Manual. Global Reporting Initiative, p266

Contribution to the local economy should include reasonable opportunities for employment to the local population, including indigenous peoples, as well as the local processing of timber and non-timber forest products.

Contribution should be made to the development of local physical infrastructure and social services and programmes for the local population, including indigenous people, unless such infrastructure and social services are provided by government bodies. This contribution should be made in agreement with the local population.

Criterion 2.4: Management of the forest ensures that forest ecosystem health and vitality is maintained (CPET S7)

Reference	Indicator	Guidance
2.4.1	The BP has implemented appropriate control systems and procedures for verifying that the health, vitality and other services provided by forest ecosystems are maintained or improved (CPET S7a). Examples of means of verification:	Health and vitality of the forest ecosystem relate to the resilience of the ecosystem to withstand change. Indicators of health and vitality may include the level of disturbance observed, changes in biodiversity, or the presence or absence of key 'indicator' species.

- Overall evaluation of potential impacts of operations on forest ecosystem health and vitality
- Assessment of potential impacts at operational level and of measures to minimise impacts
- Regional Best Management Practices
- Supply contracts
- Monitoring results

Relevant ecological functions and values may include:

- Forest regeneration and succession
- Genetic, species and community diversity
- Natural cycles affecting productivity of the forest ecosystem

There are other forest services, not specifically covered elsewhere in this standard, which indicate forest health and vitality. These include functions that forests provide for people and/or the environment, such as:

- Erosion control
- Flood control
- Adequate access for recreation, where possible.

There should be ongoing maintenance and improvement for other forest services provided, such as access for recreation.

2.4.2 The BP has implemented appropriate control systems and procedures for verifying that natural processes, such as fires, pests and diseases are managed appropriately (CPET S7b).

Examples of means of verification:

- Regional Best Management Practices
- Supply contracts
- Assessment of potential impacts at operational level and of measures to minimise impacts
- Monitoring results
- Regional, publicly available data from a credible third party
- The existence of a strong legal framework in the region

Appropriate management of such situations will depend upon the forest type, management objectives and local best practice and guidance.

Fire, for example, may be an appropriate and necessary natural process in some forest types and seasons, and inappropriate in others. Where they are natural and necessary, the characteristics of any fire control interventions will be different to those taking place in forests where fire is not naturally part of their ecology.

Pests and diseases also need to be managed appropriately, and this will vary according to management objectives. In conservation areas, for example, it may not always be appropriate to attempt eradication of certain pests and diseases. Where pesticides and other chemicals are used to address pests and diseases, regional and other best management practices must be adhered to.

Control systems and procedures should, define appropriate management practice for the particular forest type and region.

2.4.3

The BP has implemented appropriate control systems and procedures for verifying that there is adequate protection of the forest from unauthorised activities, such as illegal logging, mining and encroachment (CPET S7c).

Where the forest owner or management organisation is not legally able to protect the forest fully, there must be a system for working with appropriate regulatory bodies to identify, report, control and discourage unauthorised activity within the forest.

Examples of means of verification:

- Maps
- Records of BPs' field inspections
- Monitoring records
- Interviews with staff
- Interviews with stakeholders
- Publicly available information

Where illegal/unauthorised activities are detected, appropriate action should be taken.

Control systems and procedures must firstly stipulate the adequate protection measures for the particular forest type and region, and secondly, verify that these are being implemented.

Criterion 2.5: 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)

Reference	Indicator	Guidance
2.5.1	<p>The BP has implemented appropriate control systems and procedures for verifying that legal, customary and traditional tenure and use rights of indigenous people and local communities related to the forest, are identified, documented and respected (CPET S9).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> ▪ Customary and traditional tenure and use rights are identified and documented ▪ Interviews with indigenous peoples, local communities and other stakeholders, indicate that their rights are being respected ▪ Appropriate mechanisms exist to resolve disputes ▪ Agreements exist regarding these rights 	<p>Indigenous people's and local communities' legal rights concerning use and tenure, which are affected by timber harvesting, must be identified, and mechanisms put in place to ensure these rights are respected.</p> <p>In particular, rights should be identified, documented and respected in relation to:</p> <ul style="list-style-type: none"> • Trade and customs • Legal, customary and traditional tenure and use <p>The requirement includes ILO convention 169, which relates to the rights of indigenous and tribal peoples.</p> <p>Appropriate mechanisms should be in place to allow:</p> <ul style="list-style-type: none"> • Indigenous peoples and local communities to control and protect their rights and resources, unless they have chosen to delegate control with free and informed consent. • Indigenous peoples and local communities to be fully compensated for appropriation of traditional community knowledge or intellectual property. • Resolution of disputes over tenure claims and use rights <p>Substantial disputes involving multiple interests will normally prevent this Indicator from being considered low risk.</p>

2.5.2	<p>The BP has implemented appropriate control systems and procedures for verifying that production of feedstock does not endanger food, water supply or subsistence means of communities, where the use of this specific feedstock or water is essential for the fulfillment of basic needs.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> ▪ Interviews with local communities and other stakeholders indicate that subsistence needs are not endangered ▪ Agreements exist on resource rights, where these impact on the needs of communities 	<p>Any potential impacts on food, water and other basic needs should be identified.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • RSB <i>Food Security Guidelines</i>. RSB-GUI-01-006-01
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Criterion 2.6: 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)

Reference	Indicator	Guidance
2.6.1	<p>The BP has implemented appropriate control systems and procedures for verifying that 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>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legal systems • Level of enforcement • Regional Best Management Practices • Supply contracts • Records of grievances and the outcomes from internal investigations • Interviews with stakeholders and local community members • Interviews with staff 	<p>Mechanisms for resolving complaints and grievances at the workplace level may be incorporated into existing legislation. Grievances related to tenure and use rights may require additional mechanisms where appropriate.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • RSB-GUI-01-005-01: <i>Social Impact Assessment Guidelines</i> • RSB-GUI-01-012-01: <i>Land Rights Guidelines</i>

Criterion 2.7: The basic labour rights of forest workers are safeguarded (CPET S11)

Reference	Indicator	Guidance
2.7.1	<p>The BP has implemented appropriate control systems and procedures for verifying that Freedom of Association and the effective recognition of the right to collective bargaining are respected.</p>	<p>In this Standard the term “forest workers” includes contractors.</p> <p>The following ILO conventions have not been ratified in all countries. The Indicator</p>

<p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement • Employment contracts • Company policies • Interviews with HR Interviews with staff 	<p>must be met in all countries, whether the ILO conventions are ratified or not.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • 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>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.saintlouis.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
<p>2.7.2 The BP has implemented appropriate control systems and procedures for verifying that feedstock is not supplied using any form of compulsory labour.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement • Supply contracts • Records of BPs field inspections • Monitoring records • Interviews with staff 	<p>‘Compulsory labour’ is defined as “All work or service that a person has not offered 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 following ILO conventions have not been ratified in all countries. The Indicator must be met in all countries, whether the ILO conventions are ratified or not.</p> <p>ILO Conventions 29 and 105 (Forced & Bonded Labour)</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.saintlouis.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
<p>2.7.3 The BP has implemented appropriate control systems and procedures to verify that feedstock is not supplied using child labour.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement • Supply contracts • Records of field inspections • Operational assessment of measures designed to minimise impacts on the values identified • Monitoring records 	<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 following ILO conventions have not been ratified in all countries. The Indicator</p>

<ul style="list-style-type: none"> • Interviews with staff 	<p>must be met in all countries, whether the ILO conventions are ratified or not.</p> <p>ILO Convention 138 & Recommendation 146 (Minimum Age and Recommendation).</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.saintlouis.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
<p>2.7.4 The BP has implemented appropriate control systems and procedures for verifying that feedstock is not supplied using labour which is discriminated against in respect of employment and occupation.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement ▪ Supply contracts • Records of BPs' field inspections • Monitoring records • Interviews with staff • Payroll records • Company policies indicating that the requirements are met 	<p>The following ILO conventions have not been ratified in all countries. The Indicator must be met in all countries, whether the ILO conventions are ratified or not.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • ILO Conventions 100 (Equal remuneration for male and female workers for work of equal value) and 111 (Discrimination) <p>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.saintlouis.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
<p>2.7.5 The BP has implemented appropriate control systems and procedures for verifying that feedstock is supplied using labour where the pay and employment conditions are fair and meet, or exceed, minimum requirements.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Existing legislation • Level of enforcement ▪ Supply contracts • Records of BPs' field inspections • Monitoring records • Interviews with staff 	<p>Requirements for minimum pay and employment conditions are those that legally apply in the local, regional or national context. Minimum requirements should be based on local best practice (as defined and ratified by relevant employers' associations and trade unions) even if this exceeds legal minimum levels.</p> <p>Further guidance is available in the Social Accountability 8000 standard referenced below.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.saintlouis.org/index.cfm?fuseaction=Page.ViewPage&PageID=937

Criterion 2.8: Appropriate safeguards are in place to protect the health and safety of forest workers (CPET S12)

Reference	Indicator	Guidance
2.8.1	The BP has implemented appropriate control systems and procedures for	Appropriate safeguards include the requirement to identify risks, to provide

verifying that appropriate safeguards are put in place to protect the health and safety of forest workers (**CPET S12**).

appropriate training courses, and to provide appropriate Personal Protective Equipment (PPE).

Examples of means of verification:

- Existing legislation
- Course curricula from safety trainings
- Training records
 - PPE available to workers at job sites
- Records of BPs' field inspections
- Safety risk assessments
- Interviews with staff

Criterion 2.9: Regional carbon stocks are maintained or increased over the medium to long term

Reference	Indicator	Guidance
2.9.1	<p>Feedstock is not sourced from areas that had high carbon stocks in January 2008 and no longer have those high carbon stocks.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Maps • Procedures and records • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>Examples of areas that may have high carbon stock:</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. These should remain as wetlands; that is biomass production should not result in drainage of previously undrained soil • Peatland: This should remain as peatland unless evidence is provided that the production of feedstock does not involve drainage of previously undrained soil
2.9.2	<p>Analysis demonstrates that feedstock 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>Examples of means of verification:</p> <ul style="list-style-type: none"> • Results of analysis of carbon stocks • Analysis of historic and present carbon uptake rates • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>SBP recognises that at some times in some catchments, due to natural forest cycles that may be wholly unassociated with wood for energy, carbon stocks may decline for a period. These declines will be naturally recovered and carbon stocks will be maintained or increased.</p> <p>Assessment of risks to the carbon stock may include:</p> <ul style="list-style-type: none"> • Collection of reliable data on current stocks, 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 risk over various spatial and temporal scales, with a minimum horizon of five to ten years

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- Awareness of pressures or opportunities from outside the supply area
 - Recognition that there may be periods of transition requiring management
 - Regular review

Where there is a direct land use change, the carbon emissions associated with this may need to be calculated.

Sources of information include:

- <https://www.ofgem.gov.uk/publications-and-updates/renewables-obligation-sustainability-criteria-guidance>
 - http://ec.europa.eu/energy/renewables/biofuels/doc/2010_bsc_example_land_carbon_calculation.pdf
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Criterion 2.10: Genetically modified trees are not used

Reference	Indicator	Guidance
2.10.1	<p>Genetically modified trees are not used.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> ▪ Reference sources, interviews and records concerning use of genetically modified trees ▪ Regional, publicly available data from a credible third party ▪ The existence of a strong legal framework in the region 	<p>Genetically modified trees are those in which the genetic material has been altered in a way that does not occur naturally by pollination and/or natural recombination, taking into account applicable legislation providing a specific definition of genetically modified organisms.</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • http://www.globalforestregistry.org/

~~Instruction Note 1A: Instructions for Biomass Producers for the development of Locally Applicable Verifiers~~

Adapted from reference source: *FSC STD 20-002 (V3-0) EN: Structure, content and local adaptation of Generic Forest Stewardship Standards*

~~1 Scope~~

This Instruction Note sets out the requirements for the development Locally Applicable Verifiers (LAVs) required in the absence of an SBP endorsed Regional Risk Assessment. The LAVs will facilitate evaluation of the risk that Biomass Producers (BPs) must manage in their own local contexts.

~~2 Modification of means of verification and guidance~~

2.1 — The BP will specify appropriate means of verification for every indicator, and may also develop additional guidance for indicators.

~~SBP approval is not required for adaptation of means of verification or guidance.~~

~~3 Modification of indicators~~

3.1 — The BP will review the SBP Feedstock Compliance Standard (SBP Standard 1) to:

- a) Identify any aspects that may conflict with legal requirements in the area to which the Standard applies, and evaluate any effects on certification, in discussion with the affected parties;

~~NOTE: Conflicts are considered to exist where a legal obligation prevents the implementation of some aspect of the generic standard. A conflict is not considered to exist if the requirements of the generic standard exceed the minimum requirements for legal compliance.~~

- b) Identify any instances where indicators include performance thresholds lower than the minimum legal requirement in the region concerned. When such instances are identified, the relevant thresholds should be modified to ensure that they meet or exceed the minimum legal requirements; and
- c) Add specific indicators (with appropriate means of verification, if required) and/or cross references to appropriate documentation, in order to conform with relevant national and local forest laws or administrative requirements.

3.2 — The BP will only modify or add to the indicators in order to:

- a) Take account of the regional forest management context;
- b) Take account of regional environmental, social and economic perspectives;
- c) Ensure that the Standard is appropriate to the country and region concerned;
- d) Ensure that the Standard is appropriate to the characteristics of the SB concerned; or
- e) Address issues of concern to stakeholders in the region concerned, if applicable in the context of the Standard.

3.3 — Any proposed changes to Indicators must be approved by the SBP prior to implementation.

4 Adaptation process

4.1 — The BP will consult stakeholders to inform the LAV development process.

4.2 — The BP is not required to develop a consensus with stakeholders, but it will seek to address relevant stakeholder concerns.

4.3 — The BP will contact relevant stakeholders in the country or region concerned, one month prior to the Supply Base Evaluation. The following are examples of relevant stakeholder groups:

- a) Any registered committee or working group developing forestry standards;
- b) The state forest service;
- c) Regional NGOs that are involved or have an interest in social or environmental aspects of forest management, either at national or sub-national level, in the locality of the SB to be evaluated;
- d) Representatives of indigenous peoples and local communities involved or interested in forest management, either at national or sub-national level, in the locality of the SB to be evaluated;
- e) Representatives of forest workers;
- f) Representatives of forest harvesting industry/forest owners associations;
- g) Forest research and education institutions; and
- h) Forest industries and associations.

5 Records

5.1 — The BP will keep the following records:

- a) Lists of individuals/organisations invited to comment; and
- b) Copies of all correspondence and/or comments received with respect to modifications of the Standard.

6 Legal compliance

6.1 — The BP will identify and include as annexes to the Standard:

- a) A list of the national and local forest laws and administrative requirements, which apply to the country or region in which the Standard applies;
- b) A list of multilateral environmental agreements and ILO Conventions that the country has ratified, relevant to the Standard; and
- c) A list of, or reference to official lists of, endangered species in the country or region in which the Standard is to be used.

7 Replacement by an SBP-endorsed Regional Risk Assessment

7.1 — Where a RRA has been endorsed by the SBP that RA and its means of verification will replace the LAVs.